# Contents Overview

1 History, Purpose, Structure  
   (1A) History, Charter, Bylaws, and Covenant ........................................ 16  
   (1B) Institutional Mission ................................................................. 41  
   (1C) Administrative Structure ........................................................... 44

2 Faculty Governance Structure  
   (2A) Faculty Constitution ................................................................. 65  
   (2B) UCC Bylaws .................................................................................. 80  
   (2C) University Curriculum Council Standard Operating Procedures .............. 94  
   (2D) Faculty Senate Bylaws .................................................................. 98  
   (2E) Standing Committees ................................................................. 103

3 Faculty Governance Policy  
   (3A) Academic Freedom, Responsibility, Employment .................................. 123  
   (3B) Documentation for Candidates for Promotion and Tenure ....................... 157  
   (3C) Academic Administrative Governance ............................................. 161  
   (3D) Distinguished Professorships ......................................................... 174  
   (3E) Faculty Appointments and Evaluation (Other Policies) ......................... 183  
   (3F) Faculty Records ............................................................................ 188
CONTENTS OVERVIEW

4 Faculty Development
   (4A) Statement on Faculty Development ........................................ 192
   (4B) FDC Procedures ............................................................... 208
   (4C) Discretionary Funds .......................................................... 213
   (4D) Faculty Fellowships ............................................................ 214

5 Researcher Responsibilities
   (5A) Sponsored Projects ............................................................. 217
   (5B) Intellectual Property Policy .................................................. 231
   (5C) Open Access Policy ............................................................. 235
   (5D) Human Subjects ................................................................. 236
   (5E) Animal Care ...................................................................... 242
   (5F) Scientific Misconduct ......................................................... 243
   (5G) Consulting Policy ............................................................... 251
   (5H) Undergraduate Research ...................................................... 255

6 Instructional Policies, Responsibilities, and Guidelines
   (6A) Student Rights and Responsibilities ...................................... 260
   (6B) Faculty Instructional Responsibilities ..................................... 264
   (6C) Evaluation of Students (Grades) .......................................... 273
   (6D) Academic Integrity Policy .................................................... 277
   (6E) Advising ............................................................................. 282
   (6F) Student Records .................................................................. 284
   (6G) Exceptions to Academic Policies .......................................... 288
   (6H) Student Evaluations ............................................................. 290
   (6I) Nonsexist Language, Etc. ....................................................... 294
   (6J) CC Course Guidelines ........................................................... 295
   (6K) The Academic Honor Code .................................................. 308
CONTENTS OVERVIEW

7 Administrative Policies
   (7A) Fiscal, Safety, and Health Policies 333
   (7B) Information Technology Policies 335
   (7C) Use of Facilities 362
   (7D) Conferences and Special Programs 370
   (7E) Bookstore Policies and Procedures 373
   (7F) Conflict of Interest Policy 377

8 Employment Policies and Benefits
   (8A) Employment 385
   (8B) Non-Discrimination and Diversity Policy 389
   (8C) Anti-Harassment Policy 390
   (8D) Code of Conduct 396
   (8E) Educational Benefits 399
   (8F) Insurance and Other Benefits 405
   (8G) Leaves and Scheduled Absences 412

9 Appendix
   (9A) Summary of Recent Revisions to this Handbook 422
   (9B) Other Handbooks, Bulletins, and Publications 431
   (9C) P&T Policies and Procedures 438
Contents

1 History, Purpose, Structure 15
(1A) History, Charter, Bylaws, and Covenant ................................. 16
   I. Historical Overview .................................................. 16
   II. Articles of Incorporation ............................................. 19
   III. Board of Trustees Bylaws ............................................ 23
   IV. The University Covenant ............................................. 33
(1B) Institutional Mission .................................................... 41
   I. Mission Statement ..................................................... 41
   II. Diversity for Excellence .............................................. 41
   III. Commitment to Excellence .......................................... 42
(1C) Administrative Structure .................................................. 44
   I. Office of the President ................................................. 44
   II. Academic Affairs ..................................................... 44
   III. Finance and Administration ........................................ 50
   IV. The Office of Alumni Relations and Development ............ 51
   V. Student Affairs ....................................................... 53
   VI. Information Resources .............................................. 55
   VII. Communications .................................................... 58

2 Faculty Governance Structure 63
(2A) Faculty Constitution ..................................................... 65
   I. Purpose ................................................................. 65
   II. The Academic Faculty ............................................... 65
   III. The UCC .............................................................. 68
   IV. The Faculty Senate .................................................. 68
   V. The P&T Commission ................................................... 74
   VI. Implementation ...................................................... 79
(2B) UCC Bylaws .............................................................. 80
   I. Authority ............................................................... 80
   II. Membership .......................................................... 80
III. Meetings ................................................................. 83
IV. Consent and Discussion Agendas .................................. 86
V. Effective Dates ......................................................... 87
VI. UCC Standing Committees ............................................. 87
VII. Adjunct Bodies ......................................................... 92
VIII. Procedures ............................................................ 92
IX. Amendments ........................................................... 92
(2C) University Curriculum Council Standard Operating Procedures ........ 94
  I. Submissions to the UCC ............................................... 94
  II. UCC operations ....................................................... 95
  III. Curricular Priorities ............................................... 96
  IV. Substantive Change Procedure ..................................... 97
  V. Amendment Procedure ............................................... 97
(2D) Faculty Senate Bylaws .................................................. 98
  I. Officers ................................................................. 98
  II. Meetings and Agenda ............................................... 99
  III. Committees .......................................................... 100
  IV. Amendments ........................................................ 102
(2E) Standing Committees .................................................. 103
  I. Overview ............................................................. 103
  II. University Committees ............................................. 105
  III. Faculty Committees ............................................... 111
  IV. Elected Committees ............................................... 113
  V. Administrative Committees ....................................... 114
  VI. Academic Programs ................................................. 117

3 Faculty Governance Policy ............................................. 121
  (3A) Academic Freedom, Responsibility, Employment .................... 123
    I. The Academic Faculty .............................................. 123
    II. Academic Freedom ............................................... 123
    III. Academic Responsibility ....................................... 124
    IV. Appointment and Tenure ......................................... 124
    V. Termination of Appointments .................................... 133
    VI. Due Process ..................................................... 134
    VII. Financial Exigency .............................................. 146
    VIII. Other Sanctions ................................................. 148
    IX. Grievance Procedures ............................................ 149
    X. Ranks and Promotion ............................................. 150
    XI. Public Service .................................................... 152
    XII. Amendment Procedure .......................................... 153
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>(XIII). Timetable Summary</td>
<td>155</td>
</tr>
<tr>
<td>(3B) Documentation for Candidates for Promotion and Tenure</td>
<td>157</td>
</tr>
<tr>
<td>(3C) Academic Administrative Governance</td>
<td>161</td>
</tr>
<tr>
<td>1. Selection, Evaluation, and Retention of Administrators</td>
<td>161</td>
</tr>
<tr>
<td>2. Curriculum</td>
<td>168</td>
</tr>
<tr>
<td>3. Resource Development</td>
<td>170</td>
</tr>
<tr>
<td>4. Salary Recommendations</td>
<td>170</td>
</tr>
<tr>
<td>5. Faculty Recruitment</td>
<td>171</td>
</tr>
<tr>
<td>6. Advice and Consent</td>
<td>171</td>
</tr>
<tr>
<td>7. Conflict Mediation</td>
<td>172</td>
</tr>
<tr>
<td>8. Implementation and Amendment</td>
<td>172</td>
</tr>
<tr>
<td>(3D) Distinguished Professorships</td>
<td>174</td>
</tr>
<tr>
<td>1. Search Committees — Composition</td>
<td>174</td>
</tr>
<tr>
<td>2. Search Committee Duties</td>
<td>176</td>
</tr>
<tr>
<td>3. DP Committee</td>
<td>179</td>
</tr>
<tr>
<td>4. Negotiation by President</td>
<td>180</td>
</tr>
<tr>
<td>5. General Considerations</td>
<td>181</td>
</tr>
<tr>
<td>6. Implementation and Amendment</td>
<td>181</td>
</tr>
<tr>
<td>7. Addendum: General Criteria</td>
<td>182</td>
</tr>
<tr>
<td>(3E) Faculty Appointments and Evaluation (Other Policies)</td>
<td>183</td>
</tr>
<tr>
<td>1. Filling a Position</td>
<td>183</td>
</tr>
<tr>
<td>2. Spouse/Partner Appointment</td>
<td>184</td>
</tr>
<tr>
<td>3. Faculty Records</td>
<td>184</td>
</tr>
<tr>
<td>4. Disposition of Materials</td>
<td>185</td>
</tr>
<tr>
<td>5. Adjunct Faculty</td>
<td>186</td>
</tr>
<tr>
<td>6. Early Retirement</td>
<td>187</td>
</tr>
<tr>
<td>(3F) Faculty Records</td>
<td>188</td>
</tr>
<tr>
<td>1. Interim Agreement</td>
<td>188</td>
</tr>
<tr>
<td>2. Implementation</td>
<td>189</td>
</tr>
<tr>
<td>3. Amendment</td>
<td>189</td>
</tr>
<tr>
<td>4 Faculty Development</td>
<td>191</td>
</tr>
<tr>
<td>(4A) Statement on Faculty Development</td>
<td>192</td>
</tr>
<tr>
<td>1. The FDC</td>
<td>192</td>
</tr>
<tr>
<td>2. Purposes and Responsibilities</td>
<td>194</td>
</tr>
<tr>
<td>3. Categories of Awards</td>
<td>195</td>
</tr>
<tr>
<td>4. Oversight Responsibilities</td>
<td>206</td>
</tr>
<tr>
<td>5. Implementation and Amendment</td>
<td>207</td>
</tr>
<tr>
<td>(4B) FDC Procedures</td>
<td>208</td>
</tr>
<tr>
<td>1. Overview</td>
<td>208</td>
</tr>
<tr>
<td>Section</td>
<td>Page</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>II. Proposal Submission</td>
<td>208</td>
</tr>
<tr>
<td>III. Application Procedures</td>
<td>209</td>
</tr>
<tr>
<td>IV. Preparation of Proposals</td>
<td>210</td>
</tr>
<tr>
<td>V. Proposal Review</td>
<td>210</td>
</tr>
<tr>
<td>VI. NEH Applications</td>
<td>211</td>
</tr>
<tr>
<td>VII. Amendments</td>
<td>212</td>
</tr>
<tr>
<td>(4C) Discretionary Funds</td>
<td>213</td>
</tr>
<tr>
<td>(4D) Faculty Fellowships</td>
<td>214</td>
</tr>
<tr>
<td>I. Overview</td>
<td>214</td>
</tr>
<tr>
<td>II. Fellowship Conditions</td>
<td>214</td>
</tr>
<tr>
<td>5 Researcher Responsibilities</td>
<td>215</td>
</tr>
<tr>
<td>(5A) Sponsored Projects</td>
<td>217</td>
</tr>
<tr>
<td>I. Statement on Sponsored Projects</td>
<td>217</td>
</tr>
<tr>
<td>II. Investigator Responsibilities</td>
<td>218</td>
</tr>
<tr>
<td>III. University Responsibilities</td>
<td>221</td>
</tr>
<tr>
<td>IV. Proposal Development</td>
<td>222</td>
</tr>
<tr>
<td>V. Administration</td>
<td>228</td>
</tr>
<tr>
<td>VI. Definitions</td>
<td>229</td>
</tr>
<tr>
<td>(5B) Intellectual Property Policy</td>
<td>231</td>
</tr>
<tr>
<td>I. Principle of Ownership</td>
<td>231</td>
</tr>
<tr>
<td>II. Equities</td>
<td>231</td>
</tr>
<tr>
<td>III. Copyrights</td>
<td>233</td>
</tr>
<tr>
<td>(5C) Open Access Policy</td>
<td>235</td>
</tr>
<tr>
<td>(5D) Human Subjects</td>
<td>236</td>
</tr>
<tr>
<td>I. IRB Procedures</td>
<td>236</td>
</tr>
<tr>
<td>II. Sample Consent Form</td>
<td>240</td>
</tr>
<tr>
<td>(5E) Animal Care</td>
<td>242</td>
</tr>
<tr>
<td>(5F) Scientific Misconduct</td>
<td>243</td>
</tr>
<tr>
<td>I. Definition</td>
<td>243</td>
</tr>
<tr>
<td>II. Procedures</td>
<td>243</td>
</tr>
<tr>
<td>III. Conclusion</td>
<td>250</td>
</tr>
<tr>
<td>(5G) Consulting Policy</td>
<td>251</td>
</tr>
<tr>
<td>I. Principles and Guidelines</td>
<td>251</td>
</tr>
<tr>
<td>II. In-House Consulting</td>
<td>252</td>
</tr>
<tr>
<td>(5H) Undergraduate Research</td>
<td>255</td>
</tr>
<tr>
<td>I. Research Assistant</td>
<td>255</td>
</tr>
<tr>
<td>II. Research Participant</td>
<td>255</td>
</tr>
<tr>
<td>6 Instruction Policies, Responsibilities, and Guidelines</td>
<td>257</td>
</tr>
<tr>
<td>(6A) Student Rights and Responsibilities</td>
<td>260</td>
</tr>
<tr>
<td>Contents Section</td>
<td>Title</td>
</tr>
<tr>
<td>------------------</td>
<td>-------</td>
</tr>
<tr>
<td>I.</td>
<td>Expression</td>
</tr>
<tr>
<td>II.</td>
<td>Campus Climate</td>
</tr>
<tr>
<td>III.</td>
<td>Orderly Processes</td>
</tr>
<tr>
<td>IV.</td>
<td>Adoption and Amendment</td>
</tr>
<tr>
<td>(6B) Faculty Instructional Responsibilities</td>
<td>I. Class Schedules</td>
</tr>
<tr>
<td></td>
<td>II. Class Periods</td>
</tr>
<tr>
<td></td>
<td>III. Class Rolls</td>
</tr>
<tr>
<td></td>
<td>IV. Course Outlines</td>
</tr>
<tr>
<td></td>
<td>V. Faculty Instructional Load</td>
</tr>
<tr>
<td></td>
<td>VI. Faculty Absence</td>
</tr>
<tr>
<td></td>
<td>VII. Excused Absences from Class</td>
</tr>
<tr>
<td></td>
<td>VIII. Field Trips</td>
</tr>
<tr>
<td></td>
<td>IX. Study Tours</td>
</tr>
<tr>
<td></td>
<td>X. Food in the Classroom</td>
</tr>
<tr>
<td></td>
<td>XI. Student Attendance</td>
</tr>
<tr>
<td></td>
<td>XII. Policy Regarding Disruption of Class</td>
</tr>
<tr>
<td></td>
<td>XIII. Examination Security</td>
</tr>
<tr>
<td></td>
<td>XIV. Final Examinations</td>
</tr>
<tr>
<td></td>
<td>XV. Reading Days</td>
</tr>
<tr>
<td></td>
<td>XVI. Safety in the Classroom</td>
</tr>
<tr>
<td></td>
<td>XVII. Faculty Presence</td>
</tr>
<tr>
<td></td>
<td>XVIII. Sales to Students</td>
</tr>
<tr>
<td></td>
<td>XIX. Outside Speakers</td>
</tr>
<tr>
<td></td>
<td>XX. Student Evaluation of Courses and Faculty</td>
</tr>
<tr>
<td>(6C) Evaluation of Students (Grades)</td>
<td>I. Grade Scale</td>
</tr>
<tr>
<td></td>
<td>II. Midterm Grades</td>
</tr>
<tr>
<td></td>
<td>III. Grade Reports</td>
</tr>
<tr>
<td></td>
<td>IV. Pass/Fail Option</td>
</tr>
<tr>
<td></td>
<td>V. Courses in Progress</td>
</tr>
<tr>
<td></td>
<td>VI. Incomplete Grades</td>
</tr>
<tr>
<td></td>
<td>VII. Non-Credit Grades</td>
</tr>
<tr>
<td></td>
<td>VIII. Withdrawal</td>
</tr>
<tr>
<td></td>
<td>IX. Dismissal from a Course</td>
</tr>
<tr>
<td></td>
<td>X. Grade Change Policy</td>
</tr>
<tr>
<td>(6D) Academic Integrity Policy</td>
<td>I. Violations of Academic Integrity</td>
</tr>
<tr>
<td></td>
<td>II. Procedures</td>
</tr>
<tr>
<td></td>
<td>III. Amendments</td>
</tr>
</tbody>
</table>
(6E) Advising ................................................................. 282
  I. Introduction ......................................................... 282
  II. Change of Advisor ................................................ 282
(6F) Student Records ................................................... 284
  I. Purpose ............................................................. 284
  II. Definition ......................................................... 284
  III. Availability of Records ......................................... 284
  IV. Custody of Records ............................................... 285
  V. General Rules of Policy ......................................... 285
(6G) Exceptions to Academic Policies ................................ 288
  I. Registrar .......................................................... 288
  II. AVPAA:SAI ........................................................ 288
  III. VPFSA ............................................................ 289
(6H) Student Evaluations ............................................... 290
  I. Purpose for Course Evaluations ................................. 290
  II. Uses of Course Evals ............................................. 291
  III. Guidelines for the Course Evaluation Instrument ............ 292
  IV. Amendment ........................................................ 293
(6I) Nonsexist Language, Etc. ........................................ 294
  I. Resolution on Nonsexist Language .............................. 294
  II. Resolution on Effective Writing ............................... 294
  III. Resolution on Speaking ........................................ 294
(6J) CC Course Guidelines ............................................. 295
  I. The Purpose of the Curriculum .................................. 295
  II. Retroactive Approval ............................................ 299
  III. Transfer Credit and the CC ................................... 300
  IV. FYS Guidelines .................................................. 300
  V. Writing Workshop ................................................ 301
  VI. Criteria - All CC Courses ...................................... 302
  VII. The Common Curriculum Understandings ..................... 303
(6K) The Academic Honor Code ......................................... 308
  I. The Pledge ........................................................ 308
  II. Violations ........................................................ 308
  III. Academic Honor Council ....................................... 309
  IV. Miscellaneous Guidelines ...................................... 327
  V. Assessment Procedures .......................................... 329
  VI. Amendments ...................................................... 329

7 Administrative Policies .................................................. 331
(7A) Fiscal, Safety, and Health Policies ............................... 333
## CONTENTS

### (7B) Information Technology Policies

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Acceptable Use Policy</td>
<td>335</td>
</tr>
<tr>
<td>II. Network Protection Policy</td>
<td>337</td>
</tr>
<tr>
<td>III. Password Policy</td>
<td>338</td>
</tr>
<tr>
<td>IV. Mass Email</td>
<td>339</td>
</tr>
<tr>
<td>V. Security Policy</td>
<td>340</td>
</tr>
<tr>
<td>VI. Information Security Incident Response Policy</td>
<td>342</td>
</tr>
<tr>
<td>VII. Cell Phone Purchasing Policy</td>
<td>344</td>
</tr>
<tr>
<td>VIII. Administrator Access Policy</td>
<td>345</td>
</tr>
<tr>
<td>IX. Student Computer Service Center Policy</td>
<td>347</td>
</tr>
<tr>
<td>X. Computing Lab Policy</td>
<td>351</td>
</tr>
<tr>
<td>XI. Patch Management Policy</td>
<td>352</td>
</tr>
<tr>
<td>XII. Web Privacy Statement</td>
<td>354</td>
</tr>
<tr>
<td>XIII. VPN Policy</td>
<td>356</td>
</tr>
<tr>
<td>XIV. Electronic Communication</td>
<td>358</td>
</tr>
<tr>
<td>XV. World-Wide Web Policy</td>
<td>360</td>
</tr>
</tbody>
</table>

### (7C) Use of Facilities

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Definitions</td>
<td>362</td>
</tr>
<tr>
<td>II. General Principles</td>
<td>363</td>
</tr>
<tr>
<td>III. Scheduling</td>
<td>363</td>
</tr>
<tr>
<td>IV. Trinity-Sponsored Events</td>
<td>365</td>
</tr>
<tr>
<td>V. Non-Trinity-Sponsored Events</td>
<td>366</td>
</tr>
<tr>
<td>VI. Reservation of Special Facilities by an Individual</td>
<td>368</td>
</tr>
<tr>
<td>VII. Financial Responsibility of Users</td>
<td>368</td>
</tr>
<tr>
<td>VIII. Housing</td>
<td>369</td>
</tr>
<tr>
<td>IX. Implementation and Amendment</td>
<td>369</td>
</tr>
</tbody>
</table>

### (7D) Conferences and Special Programs

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Administration and Coordination</td>
<td>370</td>
</tr>
<tr>
<td>II. Conference Procedures</td>
<td>371</td>
</tr>
</tbody>
</table>

### (7E) Bookstore Policies and Procedures

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Statement of Purpose</td>
<td>373</td>
</tr>
<tr>
<td>II. Operations</td>
<td>373</td>
</tr>
<tr>
<td>III. Policies</td>
<td>374</td>
</tr>
</tbody>
</table>

### (7F) Conflict of Interest Policy

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Policy</td>
<td>377</td>
</tr>
<tr>
<td>II. Exceptions</td>
<td>379</td>
</tr>
<tr>
<td>III. Standard for Compliance</td>
<td>379</td>
</tr>
<tr>
<td>IV. Reports and Investigation</td>
<td>379</td>
</tr>
<tr>
<td>V. Definitions</td>
<td>380</td>
</tr>
</tbody>
</table>
8 Employment Policies and Benefits

(8A) Employment .......................................................................................................................................... 385
  I. Faculty Employment .................................................................................................................................. 385
  II. Contract Staff Employment ...................................................................................................................... 385
  III. Postdoctoral Staff Employment ............................................................................................................. 388
  IV. Classified Staff Employment ................................................................................................................... 388

(8B) Non-Discrimination and Diversity Policy .................................................................................................. 389

(8C) Anti-Harassment Policy ............................................................................................................................. 390
  I. Anti-Harassment .......................................................................................................................................... 390
  II. Implementation and Amendment ............................................................................................................... 395

(8D) Code of Conduct ....................................................................................................................................... 396
  A. Policy .......................................................................................................................................................... 396
  B. Procedure .................................................................................................................................................... 396

(8E) Educational Benefits ................................................................................................................................. 399
  I. Tuition Remission Policy ............................................................................................................................ 399
  II. Tuition Exchange ...................................................................................................................................... 402
  III. Tuition Remission and Exchange Policy Summary .................................................................................. 402
  IV. Conference and Special Programs Reduction .......................................................................................... 403

(8F) Insurance and Other Benefits ................................................................................................................... 405
  I. Flexible Benefits ......................................................................................................................................... 405
  II. Other Benefits .......................................................................................................................................... 406
  III. Financial Services ................................................................................................................................... 408
  IV. Cultural Benefits ...................................................................................................................................... 409
  V. Retired Faculty and Staff ............................................................................................................................ 410

(8G) Leaves and Scheduled Absences ............................................................................................................... 412
  I. Academic Leaves ...................................................................................................................................... 412
  II. Court Duty ............................................................................................................................................... 412
  III. Disability Leave ..................................................................................................................................... 412
  IV. Family and Medical Leave ......................................................................................................................... 414
  V. Funeral Leave .......................................................................................................................................... 416
  VI. Parental Leave ......................................................................................................................................... 416
  VII. Parental Leave - Sick Time ...................................................................................................................... 418
  VIII. Military Leave ...................................................................................................................................... 419
  IX. Probationary Period and Leave .................................................................................................................. 419
  X. Short-Term Medical Leaves ...................................................................................................................... 419
  XI. Sick Leave ............................................................................................................................................... 420
  XII. Vacation Leave ....................................................................................................................................... 420

9 Appendix ......................................................................................................................................................... 421

(9A) Summary of Recent Revisions to this Handbook ..................................................................................... 422
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>(9B) Other Handbooks, Bulletins, and Publications</td>
<td>I. Handbooks and Policy Manuals</td>
<td>431</td>
</tr>
<tr>
<td></td>
<td>II. Bulletins of Trinity University</td>
<td>434</td>
</tr>
<tr>
<td></td>
<td>III. Other Publications</td>
<td>435</td>
</tr>
<tr>
<td>(9C) P&amp;T Policies and Procedures</td>
<td>I. The Academic Faculty</td>
<td>438</td>
</tr>
<tr>
<td></td>
<td>II. Mission Statement</td>
<td>438</td>
</tr>
<tr>
<td></td>
<td>III. Probationary Appointments</td>
<td>439</td>
</tr>
<tr>
<td></td>
<td>IV. Pre-Tenure Evaluation</td>
<td>439</td>
</tr>
<tr>
<td></td>
<td>V. Evaluation for Tenure</td>
<td>441</td>
</tr>
<tr>
<td></td>
<td>VI. Evaluation - Promotion to Professor</td>
<td>443</td>
</tr>
<tr>
<td></td>
<td>VII. Appeal of Negative Decisions</td>
<td>444</td>
</tr>
<tr>
<td></td>
<td>VIII. Standards for Ranks and Promotion</td>
<td>444</td>
</tr>
<tr>
<td></td>
<td>IX. Criteria for Reappointment</td>
<td>445</td>
</tr>
<tr>
<td></td>
<td>X. P&amp;T Documentation</td>
<td>448</td>
</tr>
<tr>
<td></td>
<td>XI. Amendment Procedure</td>
<td>452</td>
</tr>
</tbody>
</table>
Chapter 1

Institutional History, Purpose, and Structure

Contents

(1A) History, Charter, Bylaws, and Covenant .......................... 16
  I. Historical Overview ............................................. 16
  II. Articles of Incorporation ........................................ 19
  III. Board of Trustees Bylaws ...................................... 23
  IV. The University Covenant ....................................... 33

(1B) Institutional Mission ........................................... 41
  I. Mission Statement ............................................... 41
  II. Diversity for Excellence ...................................... 41
  III. Commitment to Excellence .................................... 42

(1C) Administrative Structure ......................................... 44
  I. Office of the President ........................................... 44
  II. Academic Affairs ............................................... 44
  III. Finance and Administration ................................... 50
  IV. The Office of Alumni Relations and Development .......... 51
  V. Student Affairs ................................................. 53
  VI. Information Resources ......................................... 55
  VII. Communications .............................................. 58
HISTORY, CHARTER, BYLAWS, AND COVENANT

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. HISTORICAL OVERVIEW

A. Origin and Locations

Three small antebellum Presbyterian schools in Texas—Ewing College (1848), Chapel Hill College (1849), and Larissa College (1855)—were the antecedents of Trinity. When each became a casualty of the Civil War, Texas Presbyterians in 1866 began to make plans to establish a single institution of higher learning.

Trinity University opened its doors on September 23, 1869, in the town of Tehuacana. As early as 1888 the question of transferring the University to a larger and more advantageous location was discussed, but it was not until 1902 that Trinity was moved to Waxahachie, where it remained for four decades. While there, Trinity became a member of the Southern Association of Colleges and Schools. During this period graduates of the Fairemont Female Seminary at Weatherford were accepted as alumnae of Trinity when the Seminary was closed.

On February 25, 1942, the Synod of Texas voted to accept an invitation of the San Antonio Chamber of Commerce to transplant Trinity University to the City of the Alamo. In order to facilitate the move, the Southwest Texas Conference of the Methodist Church and the Board of Trustees of the University of San Antonio transferred the property of the University of San Antonio without restriction to the Board of Trustees of Trinity University. The San Antonio Chamber of Commerce gave assistance in this enterprise. All credits and degrees given by the University of San Antonio and its predecessors, San Antonio Female College and Westmoorland College, are acknowledged by Trinity University, which also recognizes as alumni/alumnae the former students of these institutions.

In February, 1945, an attractive new campus site of more than one hundred acres was obtained on the north side of San Antonio. Construction was begun in 1949 and on May 13, 1952, the University officially moved into its new skyline campus overlooking the city.

B. Independent Status, Charter, Covenant

Trinity University is an independent university founded in 1869 by Presbyterians, an institution that served a full century as “the college of The Synod of Texas.” In 1969 a covenant was adopted between the Synod and the University, and the previous legal ties were dissolved. Trinity’s covenant
with the Synod of Texas was reaffirmed in 1973 by the newly organized Synod of the Sun. The covenant is one of mutual trust and obligation in which the Board of Trustees commits itself to continue to pursue the purposes for which Trinity University was founded. The church pledges itself to continue its interest in and support of the University. The covenant was reaffirmed with the Presbyterian Church (U.S.A.) in 1983, 1989, and again in 2000.

The amended charter creates a self-perpetuating Board of Trustees consisting of thirty-six persons who have complete control and management of the institution. The legal purpose of the corporation is to maintain and operate a coeducational institution and to confer degrees upon graduating students and other deserving persons.

C. Presidents of Trinity University

<table>
<thead>
<tr>
<th>Name</th>
<th>Years</th>
</tr>
</thead>
<tbody>
<tr>
<td>William E. Beeson</td>
<td>1869-82</td>
</tr>
<tr>
<td>Robert W. Pittman</td>
<td>1877-78</td>
</tr>
<tr>
<td>Samuel T. Anderson</td>
<td>1882-83</td>
</tr>
<tr>
<td>Benjamin G. McLeskey</td>
<td>1883-85</td>
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<tr>
<td>Luther A. Johnson</td>
<td>1885-89</td>
</tr>
<tr>
<td>John L. Dickens</td>
<td>1889-90</td>
</tr>
<tr>
<td>Benjamin D. Cockrill</td>
<td>1890-96</td>
</tr>
<tr>
<td>Luther A. Johnson</td>
<td>1896-900</td>
</tr>
<tr>
<td>Samuel L. Hornbeak</td>
<td>1900-01</td>
</tr>
<tr>
<td>Jesse Anderson</td>
<td>1901-02</td>
</tr>
<tr>
<td>Leonidas C. Kirkes</td>
<td>1902-04</td>
</tr>
<tr>
<td>Archelaus E. Turner</td>
<td>1904-06</td>
</tr>
<tr>
<td>Samuel L. Hornbeak</td>
<td>1907-1921</td>
</tr>
<tr>
<td>John H. Burma</td>
<td>1921-33</td>
</tr>
<tr>
<td>Samuel L. Hornbeak</td>
<td>1933-34</td>
</tr>
<tr>
<td>Raymond H. Leach</td>
<td>1934-37</td>
</tr>
<tr>
<td>Frank L. Wear</td>
<td>1937-42</td>
</tr>
<tr>
<td>Monroe G. Everett</td>
<td>1942-50</td>
</tr>
<tr>
<td>M. Bruce Thomas</td>
<td>1950-51</td>
</tr>
<tr>
<td>James W. Laurie</td>
<td>1951-70</td>
</tr>
<tr>
<td>Duncan G. Wimpress</td>
<td>1970-76</td>
</tr>
<tr>
<td>M. Bruce Thomas</td>
<td>1976-79</td>
</tr>
<tr>
<td>Ronald K. Calgaard</td>
<td>1979-99</td>
</tr>
<tr>
<td>John R. Brazil</td>
<td>1999-2010</td>
</tr>
<tr>
<td>Dennis A. Ahlburg</td>
<td>2010-</td>
</tr>
</tbody>
</table>
D. Chairs of Board of Trustees

James S. Wills, Cotton Gin, Texas 1869-1877
Luke B. Prendergast, Springfield, Texas 1877-1884
Davis M. Prendergast, Mexia, Texas 1884-1900
Phillip M. Riley, Cleburne, Texas 1900-1903
Frank N. Drane, Corsicana, Texas 1903-1938
Royal R. Watkins, Dallas, Texas 1938-1941
Robert E. Joiner, Athens, Texas 1941-1942
Rasmus Thomsen, Amarillo, Texas 1942-1949
T. Frank Murchison (Acting), San Antonio, Texas 1949-1950
Clint C. Small, Austin, Texas 1950-1957
Cecil W. Miller, San Antonio, Texas 1957-1960
Robert R. Witt, San Antonio, Texas 1960-1963
Forrest M. Smith, San Antonio, Texas 1966-1970
Gilbert M. Denman, Jr., San Antonio, Texas 1970-1973
Joseph N. Sherrill, Jr., Wichita Falls, Texas 1973-1976
William H. Bell, Tulsa, Oklahoma 1984-1987
Paul H. Smith, San Antonio, Texas 1994-1997
James F. Dicke II, New Bremen, Ohio 1997-2001
Lissa Walls Vahldiek, Houston, Texas 2004-2007
George C. Hixon, San Antonio, Texas 2007-2010
Walter R. Huntley Jr., Atlanta, Georgia 2010-2012
John Korbel, San Antonio, Texas 2012-
II. (RESTATED) ARTICLES OF INCORPORATION OF TRINITY UNIVERSITY

(Sometimes called the Charter of Trinity University)

The original Charter was an act of the legislature of the State of Texas, approved August 13, 1870 entitled, “An act to incorporate Trinity University, located at Tehuacana Hills, Limestone County, Texas.” This Charter was variously amended on March 29, 1877; September 28, 1888; October 3, 1901; September 14, 1914; August 25, 1924; July 28, 1942; October 13, 1966.

In connection with the move to a Covenant Relationship, the Charter was further amended by action of the Board of Trustees on May 7, 1969, concurred in by the Synod of Texas on June 10, 1969, and officially approved and registered with the Secretary of State on July 3, 1969.

The Charter of Trinity University was also amended on October 15, 1969, and recorded with the Secretary of State, State of Texas, on October 20, 1969. The existing Restated Articles of Incorporation of Trinity University were amended on May 1, 1998, and recorded with the Secretary of State, State of Texas, on May 11, 1998.

Section 1:

This institution shall be known by the name of TRINITY UNIVERSITY, hereinafter sometimes referred to as the “Corporation.”

The purpose of this Corporation is to purchase, erect, maintain, and operate an educational institution at San Antonio, Texas, and at such other place or places in the State of Texas as the Board of Trustees of Trinity University may select, and to engage in any and all lawful activities incidental to the foregoing purposes. Trinity University recognizes the alumni of its predecessors, San Antonio Female College, Westmoorland College, and the University of San Antonio, as alumni of Trinity University, and in this connection Trinity University is authorized to use the names of its predecessors, San Antonio Female College, Westmoorland College, and the University of San Antonio.

The Board of Trustees and their successors in office are hereby constituted and continued a body corporate and politic under the name and style of the “Board of Trustees of Trinity University,” and they shall have charge of the interests of said institution, and by said name they shall have succession and be capable of suing and being sued; pleading and being impleaded; to contract and be contracted with; to enact bylaws, rules, and regulations for their own government and the government of the institution; to buy, sell, acquire and hold property of any and every kind; to manage, sell, and control the same whether purchased or acquired by said institution by gift, devise, bequest or otherwise; and generally to do and perform whatever in the opinion of said Board will advance the interests of said institution, when not inconsistent with the laws of the land.
Section 2:
The Board of Trustees shall have a common seal for the transaction of all its business, which shall be kept by the Secretary of the Board.

The Board of Trustees shall consist of thirty-six persons who shall have complete control and management of said institution.

Section 3:
The administration and faculty of said institution shall consist of a president (who also shall be president of the faculty), one or more vice presidents and other officers, and such professors, teachers, administrators, and other personnel as the Board of Trustees may deem necessary, who shall be appointed and may be removed, and whose salaries shall be fixed by the Board of Trustees. It shall be the responsibility of the Board of Trustees to establish policies for the governance of the institution, and it shall be the responsibility of the president and other officers, administrators, and faculty of the institution to implement such policies. To the extent deemed necessary or appropriate, the Board of Trustees may delegate to the president all or any part of its responsibilities relating to (a) employment, promotion, and termination of personnel of the institution, and (b) any other matters pertaining to the academic administration of the institution. The faculty are the principal officers of instruction, with primary responsibility for matters of curriculum, including the establishment of requirements for degrees. On matters of academic personnel, the faculty have the responsibility to review and recommend academic appointments as well as review and recommend the granting of promotion and tenure.

Section 4:
Said institution shall be a coeducational institution admitting both males and females on an equality to all of its privileges, classes, courses, and departments. Said institution shall maintain a standard literary, scientific, and classical college department of fine and liberal arts, and may also give postgraduate and special courses, and may maintain such other departments as its Board of Trustees may deem proper.

Section 5:
No part of the net earnings of the Corporation shall inure to the benefit of any trustee or officer of the Corporation, or any private individual (except that reasonable compensation may be paid for services rendered to or for the Corporation affecting one or more of its purposes), and no trustee or officer of the Corporation, or any private individual shall be entitled to share in the distribution of any of the corporate assets on dissolution of the Corporation. No substantial part of the activities of the Corporation shall include the carrying on of propaganda, or otherwise attempting, to influence legislation, and the Corporation shall not participate in or intervene in (including the publication or distribution of statements) any political campaign on behalf of any candidate for public office.

Notwithstanding any other provisions of these Articles, the Corporation shall not conduct or carry
on any activities not permitted to be conducted or carried on by an organization exempt under Section 501(c)(3) of the Internal Revenue Code and its regulations as they may now exist or as they may hereafter be amended, or by any organization, contributions to which are deductible under Section 170(c)(2) of such Code and Regulations as they now exist or as they may hereafter be amended.

All property purchased, donated, bequeathed or otherwise acquired by said institution shall be deemed to be held in the name of and for the use of the Board of Trustees of Trinity University with full power to sell, control, and manage the same for the benefit of said institution. Upon the dissolution of the Corporation or the winding up of its affairs, the assets of the Corporation shall be distributed exclusively for the tax-exempt purposes of the Corporation, either by direct distribution or by distribution to the Synod of the Sun of the Presbyterian Church (U.S.A.) for educational purposes within the State of Texas. If the Synod of the Sun of the Presbyterian Church (U.S.A.), or its successors, shall not be in existence at the time of the dissolution of the Corporation or the winding up of the Corporation’s affairs, then the assets of the Corporation shall be distributed exclusively to charitable or educational organizations which would then qualify under the provisions of Section 501(c)(3) of the Internal Revenue Code.

Section 6:

The Board of Trustees shall elect a chairman, secretary, treasurer, and such other officers as are stipulated in the Bylaws of the Board of Trustees. The chairman shall be a member of the Board, but the secretary and treasurer may or may not be, at the option of the Board. These several officers shall hold their offices for such times, and shall respectively perform such duties, and be subject to such orders, rules, restrictions, and obligations as may be prescribed by the Board.

Section 7:

The Board of Trustees shall meet on its own adjournment, but special meetings may be called by the Chairman or Vice Chairman, upon order of the Executive Committee, or by any ten members of the Board, of which each member shall have at least three days’ notice. The meetings of the Board shall be held at the institution, or at such other place as the Board, or the Chairman, may designate; and a majority of the Board shall constitute a quorum for the transaction of all business except as herein otherwise provided.

Section 8:

The Board of Trustees shall have power to remove or expel any of its members for grossly immoral or disreputable conduct, or for continued and willful neglect of the duties incident to membership; to do this, however, it shall require a two-thirds vote of the entire Board and the reasons for so doing shall be entered in full upon the minutes of the Board. A member of the Board whom the Board seeks to remove from membership shall be given a full and impartial hearing at a regular meeting of the Board or at a meeting called for the specific purpose of hearing the charge(s). At least thirty days prior to such meeting, the member shall be furnished with a complete written
description of the reason(s) his/her removal is sought, and such member may be represented at the hearing by counsel.

Section 9:

All donations heretofore made to said institution or to the Board of Trustees acting in behalf thereof, and all sales, contracts, and obligations heretofore made and entered into by or with said Board shall be held to be as valid and of the same binding force as if said institution had at that time been incorporated and said Board of Trustees had then been by law a body corporate and politic.

Section 10:

All vacancies which may occur in the Board of Trustees by death, resignation, or expiration of term shall be filled by said Board.

Trustees shall be elected for terms of three years, and shall be subject to re-election. Terms shall be arranged so that the terms of one-third of the Board expire at the end of each fiscal year, or as soon thereafter as their successors are elected and qualified.

(This section, when amended May 1, 1998, contained a listing of the names of the members of the Board of Trustees for the Classes of 1999, 2000, and 2001. This list of names of trustees is omitted from this publication of the charter.)

Section 11:

The Board of Trustees may elect Advisory Trustees, not to exceed twelve, who shall have the privilege of the floor at regular meetings of the Board but without vote. They shall be elected for terms of three years and divided into classes so that the terms of approximately one-third expire at the end of the fiscal year.

Section 12:

The Board of Trustees, acting in conjunction with the faculty, shall have the power to confer such degrees upon graduating students and upon other deserving persons as are usually conferred by institutions of learning of university level and to give diplomas or certificates in such forms as they may deem proper.

Section 13:

The property owned and held by said institution, being set apart exclusively for educational purposes, is hereby declared to be exempt from both state and county taxation.

Section 14:

The period of the corporation’s duration is perpetual.

Section 15:
The Corporation is a nonprofit corporation and shall have no members.

Section 16:

The Corporation shall have the power to indemnify its trustees, officers, employees and agents and to purchase and maintain liability insurance for those persons to the fullest extent permitted by Article 1396-2.22A of the Texas Non-Profit Corporation Act now in effect or hereafter amended.

To the fullest extent not prohibited by law, a trustee of the Corporation shall not be liable to the Corporation for monetary damages for an act or omission in the trustee’s capacity as a trustee, except for liability of a trustee for (a) a breach of the trustee’s duty of loyalty to the Corporation, (b) an act or omission not in good faith that constitutes a breach of duty of the trustee to the Corporation or an act or omission that involves intentional misconduct or a knowing violation of the law, (c) a transaction from which the trustee received an improper benefit, whether or not the benefit resulted from an action taken within the scope of the trustee’s office, or (d) an act or omission for which the liability of a trustee is expressly provided by an applicable statute.

If the Texas Non-Profit Corporation Act (the “TNPCA”) or the Texas Miscellaneous Corporation Laws Act (the “TMCLA”) hereafter is amended to authorize further limitation of the liability of trustees, then the liability of a trustee of the Corporation, in addition to the limitation on the personal liability provided herein, shall be limited to the fullest extent permitted by the TNPCA, as amended, and the TMCLA, as amended. No amendment to or repeal of this Section 16 shall apply to or have any effect upon the liability or alleged liability of any trustee of the Corporation for or with respect to any act or omission of such trustee occurring prior to such amendment or repeal.

Section 17:

The street address of the registered office of the Corporation is One Trinity Place, San Antonio, TX 78212-7200, and the registered agent of the Corporation is the Vice President for Finance and Administration.
The Board of Trustees (herein called the “BOARD”) of Trinity University (herein called the “UNIVERSITY”) shall consist of thirty-six members to be elected in classes of twelve each year for terms of three years, and each trustee may be re-elected.

Section 2: Vacancies

All vacancies which may occur in the membership of the Board shall be filled by the Board.

Section 3: Nominations

Members of the Board shall be nominated by the Committee on Trusteeship. Such committee shall have as a member one representative of the Synod of the Sun of the Presbyterian Church (U.S.A.) or its successor, duly elected by the Synod.

Section 4: Trustees Emeriti

The Board may elect any number of Trustees Emeriti who shall have the privilege of the floor at regular meetings of the Board but without vote. A Trustee Emeritus shall be a person who has demonstrated unusual competence in educational leadership and who has served faithfully as a member of the Board.

Section 5: Advisory Trustee

The President of the Trinity University Alumni Association and the Executive of the Synod of the Sun or his/her designee shall serve on the Board as Advisory Trustees, ex officio, during their terms of office. Advisory Trustees shall have the privilege of the floor at regular meetings of the Board but without vote.

Section 6: Conflict of Interest

All trustees, officers, and persons employed by the University, if any, who have dealings with outside parties relating to the acquisition of supplies, services or other financial matters must comply with the University’s policy on conflicts of interest. Each trustee, officer and employee of the University, as required by the Board, shall annually acknowledge compliance with the policy and report exceptions thereto to the Board.

ARTICLE II: OFFICERS OF THE BOARD OF TRUSTEES

Section 1: Enumerated

The officers of the Board shall be a Chairman, a Vice Chairman, a Treasurer, a Secretary, an Assistant Treasurer, and an Assistant Secretary.

Section 2: Term
All of such officers shall be elected at the May meeting of the Board for a term of two years commencing June 1, and each shall serve until his/her successor is duly elected and qualified.

Section 3: Officers as Trustees

The Chairman, Vice Chairman, Secretary, and Treasurer shall be members of the Board; however, the Assistant Secretary and the Assistant Treasurer need not be members of the Board, and only these two officers may be the same person. No officer or employee of the University may be a member of the Board.

Section 4: Honorary Chairman and Vice Chairman

Where a member of the Board has served at least one full term as Chairman, the Board may, at its discretion, elect him/her to the position of Honorary Chairman. Where a member of the Board has served at least one full term as Vice Chairman, the Board may, at its discretion, elect him/her to the position of Honorary Vice Chairman.

Section 5: Chairman

It shall be the duty of the Chairman to preside over all meetings of the Board, to serve as Chairman of the Executive Committee, to call special meetings of the Board, and to perform such other duties as may be required of him/her by the Board. The Chairman shall appoint all committees of the Board including their respective Chairs (and their respective subcommittees) at the beginning of each fiscal year, except as otherwise herein provided.

Section 6: Vice Chairman

The Vice Chairman shall be a member of, and Vice Chairman of, the Executive Committee and shall preside over the meetings of the Board and of the Executive Committee in the absence of the Chairman.

Section 7: Secretary

The Secretary, or in his/her absence or inability to act, on the appointment of the Chair, any other member of the Executive Committee, shall be the Secretary of the Executive Committee, and shall, through the Assistant Secretary, keep all the records of the Board and of the Executive Committee, and shall have charge of the Seal of the University. He/she shall be responsible, through the Assistant Secretary, for maintaining a complete record of the official actions of the Board and its several committees.

Section 8: Treasurer

The Treasurer shall, through the Assistant Treasurer, make a complete report to the Board at least annually, including a statement of properties and securities owned and held by or for the University or others, and perform such other duties as the Board designates.
ARTICLE III: OFFICERS OF THE UNIVERSITY

Section 1: President

The President shall be the chief executive officer of the University. In his/her absence, his/her duties shall be discharged, successively, by the Vice Presidents in an order recommended by the President and approved by the Board.

Section 2: Vice Presidents

The President shall have the responsibility, authority and discretion, such responsibility, authority and discretion having been delegated to the President by the Board of Trustees, to appoint one or more Vice Presidents and other officers of the University with such compensation (subject to review by the Compensation Committee), and with such titles, duties and responsibilities as may be determined by the President from time to time. Without limiting the generality of the foregoing, the President may appoint a Vice President for Faculty and Student Affairs, a Vice President for Finance and Administration, a Vice President for Information Resources and a Vice President for External Affairs. Any Vice President or other officer of the University appointed by the President may be removed by the President, for or without cause, at any time whenever in the judgment of the President the best interests of the University would be served thereby, but such removal shall be without prejudice to the contract rights, if any, of the Vice President so removed.

ARTICLE IV: BOARD MEETINGS

Section 1: Regular

Three regular meetings of the Board shall be held each fiscal year; one in May; one in September; and one in February; or at such other times as the Board may determine.

Section 2: Special

Special meetings of the Board may be held as deemed necessary on call of the Chairman or the Vice Chairman, or upon order of the Executive Committee.

Section 3: Notice, Time, and Place

Notice of the time and place of all meetings of the Board shall be given not less than three (3) days before the meeting, and such notice shall be given in accordance with the provisions of Article VII, Section 1. A trustee may waive notice of a meeting. Except as otherwise expressly provided herein or in the corporate charter or by statute, notice of any meeting of the Board need not state the business to be transacted.

Section 4: Quorum
A majority of the members of the Board shall constitute a quorum for any meeting.

**Section 5: Action Without a Meeting**

Any action required or permitted to be taken at any meeting of the Board may be taken without a meeting if a written consent, setting forth the action so taken, is signed by the number of members of the Board necessary to take that action at a meeting at which all of the members of the Board are present and voting, and such consent shall have the same force and effect as a unanimous vote at a meeting. Any action required or permitted to be taken at any meeting of any committee may be taken without a meeting if a written consent, setting forth the action so taken, is signed by the number of members of such committee necessary to take that action at a meeting at which all of the members of the committee are present and voting, and such consent shall have the same force and effect as a unanimous vote at a meeting. Prompt notice of the taking of any such action by less than unanimous consent shall be given to each member of the Board or committee who did not consent in writing to the action. Any photographic, photostatic, facsimile, or similarly reliable reproduction of a consent in writing signed by a member of the Board or committee may be substituted or used for any purpose for which the original could be used for purposes of this Article IV, Section 5. An electronic transmission of a consent by a member of the Board or committee to the taking of such action shall be regarded as a signed writing if the transmission contains or is accompanied by information from which it can be determined the such transmission by such member and the date on which such member transmitted such transmission.

**Section 6: Participation by Conference Telephone**

Members of the Board or members of any committee may participate in and hold a meeting of the Board or such committee by means of conference telephone or similar communications equipment, or another suitable electronic communications system, including videoconferencing technology or the Internet, or any combination thereof, if the telephone or other equipment or systems permits all persons participating in the meeting to communicate with all other persons participating in the meeting, and participation in such a meeting shall constitute presence in person at such meeting. If voting is to take place at the meeting, the University shall implement reasonable measures to verify that each person considered present and permitted to vote at the meeting by means of remote communications is sufficiently identified, and maintained a record of any vote or other action taken at the meeting.

**ARTICLE V: STANDING COMMITTEES**

**Section 1: Standing Committees**

The standing committees of the Board shall be appointed for each fiscal year and shall consist of an Executive Committee, a Committee on Trusteeship, and such other standing committees as may be established by the Board from time to time. With the exception of the Executive Committee, the
membership of which is specified in these bylaws, and the Committee on Trusteeship, which shall include one person elected by the Synod of the Sun who may not be a trustee, the membership of each standing committee shall be made up of trustees designated by the Chairman of the Board. Each of the Board’s committees (and their respective subcommittees) shall meet upon the call of its respective chairman, who is appointed by the Chairman of the Board, and a majority of its members shall constitute a quorum for each. Except for the Executive Committee, the duties of which are specified in these bylaws, the duties, responsibilities and functions of the standing committees are set forth in the Book of Committee Charters heretofore adopted and approved by the Board, as the same may be amended by the Board from time to time.

Section 2: Ex Officio Members and Staff

The Chairman and Vice Chairman shall be ex officio members of each of the Board’s standing committees and the President shall be a nonvoting ex officio member of each standing committee. The President shall designate an appropriate member of the University’s administrative staff to provide staff assistance to the committees and their respective subcommittees, if any.

Section 3: Discharge or Reorganization

The Board may discharge or reorganize any standing committee(s) or subcommittee(s) or create other committees and subcommittees at any regular meeting of the Board, or at any duly called meeting of the Board upon an affirmative vote of a majority of the members of the Board present and voting at such a regular or called meeting.

Section 4: Activities

The Chairman shall determine which committee(s) or subcommittee(s) shall consider any matter, and he/she shall determine the sequence of consideration of the same matter by more than one of such committees or subcommittees.

ARTICLE VI: EXECUTIVE COMMITTEE

Section 1: Membership

The Executive Committee shall be composed of the Chairman, the Vice Chairman, the Secretary, the Treasurer, and such other members of the Board as the Chairman may designate.

Section 2: Duties

It shall be the duty of the Executive Committee to act on behalf of the Board, in accordance with the provisions of Article VI, Section 4, while the Board is not in session and to coordinate the efforts of all the standing committees. The Executive Committee shall receive from the Committee on Trusteeship the recommended slate of officers of the Board. Every second year at the Board’s annual May meeting, the Executive Committee and the Committee on Trusteeship shall jointly
nominate a slate of officers of the board for election by the Board to serve for two-year terms. A majority of its members shall constitute a quorum for each meeting.

Section 3: Meetings

The Executive Committee shall meet upon the call of the Chairman, or the Vice Chairman, or upon the request of the President, or any two members of the Committee. Either the Chairman or the Vice Chairman must be in attendance, and a majority of its members being present shall constitute a quorum. All of the Committee’s actions shall be reported to the Board at its next regular meeting.

Section 4: Authority

The Executive Committee shall have the authority to take any action which the Board is authorized to take EXCEPT: the election of trustees; the election of Board or University officers; the approval of the University budget; the amendment of the Charter of the University or these Bylaws; or the establishment or amendment of any Board or University policy.

ARTICLE VII: NOTICES

Section 1: Notices

Whenever under applicable law or governing documents of the University, notice is required to be given to any trustee, whether as a member of the Board or of a committee of the Board, such notice shall be given either in writing and sent by hand delivery, through the United States mail, by a nationally recognized overnight delivery service for next day delivery, by means of electronic transmission if consented to by the trustee (and if specified by the trustee, only by the form of electronic transmission specified by the trustee), or by oral notice given personally or by telephone. A notice to a trustee shall be deemed given as follows: (i) if given by hand delivery, when actually received by the trustee, (ii) if sent through United States mail, when deposited in the United States mail, with postage and fees thereon prepaid, addressed to the trustee at the trustee’s address appearing on the records of the University, (iii) if sent for next day delivery by a nationally recognized overnight delivery service, when deposited with such service, with fees thereon prepaid, addressed to the trustee at the trustee’s address appearing on the records of the University, (iv) if sent by facsimile transmission, when transmitted to a facsimile number provided by the trustee for the purpose of receiving notice, (v) if sent by electronic mail, when transmitted to an electronic mail address provided by the trustee for purpose of receiving notice, or (vi) when communicated to the trustee by any other form of electronic transmission consented to by the trustee. A trustee may revoke the trustee’s consent to notices being given by means of electronic transmission by delivering written notice of such revocation to the University. A trustee’s consent to notices being given to the trustee by means of electronic transmission will be deemed revoked if the University is unable to deliver by electronic transmission two (2) consecutive notices and the Secretary of the Board or other person responsible for delivering the notice on behalf of the University knows that
the delivery of these two (2) electronic transmissions was unsuccessful. The inadvertent failure to treat the unsuccessful transmissions as a revocation of the trustee’s consent does not invalidate a meeting or other action. An affidavit of the Secretary of the Board or such other agent of the University that notice has been given by electronic transmission is, in the absence of fraud, prima facie evidence that notice was given.

Section 2: Waiver of Notice

Whenever any notice is required to be given under applicable law or the governing documents of the University, a waiver thereof in writing signed by the person or persons entitled to such notice, or a waiver by electronic transmission by the person entitled to notice, regardless of whether the waiver is signed before or after the time of the meeting, shall be deemed equivalent to the giving of such notice.

ARTICLE VIII: FISCAL YEAR

The fiscal year of the University shall begin on June 1 and end on May 31 of the following calendar year.

ARTICLE IX: ACADEMIC DEGREES

Upon certification to the Board by the President that candidates have completed all of the requirements established by the faculty in the respective courses, and upon the further certification by the faculty that the candidates have respectively met all other applicable scholastic, moral, and financial requirements established by the faculty and approved by the Board, the Board will thereupon authorize the conferment of Academic Degrees respectively upon the said candidates.

ARTICLE X: CHURCH RELATIONSHIP

Section 1: Covenant

The University has a relationship with the Presbyterian Church (U.S.A.) through the Synod of the Sun based upon a covenant understanding and affiliation. These bylaws evidence the Board’s official recognition of such relationship and the relevance of such covenant.

Section 2: Founding of University

The Board authorizes the giving of due recognition in its publications and literature to the fact that the University was founded in 1869 by the Cumberland Presbyterian Church.
ARTICLE XI: INDEMNIFICATION

Section 1: Indemnification of Trustee and Officers

The University shall indemnify and hold harmless, to the fullest extent permitted by applicable law as it presently exists or may hereafter be amended, any person who was or is made or is threatened to be made a party or is otherwise involved in any action, suit or proceeding, whether civil, criminal, administrative or investigative (a “Proceeding”) by reason of the fact that such person is or was a trustee or officer of the University who is or serving as a trustee, director, officer, employee, or agent of another organization, corporation, partnership, joint venture, trust or other enterprise, including service with respect to employee benefit plans, against all liability and loss suffered and expenses reasonably incurred by such person in connection with any such Proceeding. The University shall be required to indemnify a person in connection with a Proceeding (or part thereof) initiated by such person only if the Proceeding (or part thereof) was authorized by the Board.

Section 2: Indemnification of Others

The University shall have the power to indemnify and hold harmless, to the fullest extent permitted by applicable law as it presently exists or may hereafter be amended, any person who was or is made or is threatened to be made a party or is otherwise involved in any Proceeding by reason of the fact that such person is or was an employee or agent of the University or is or was serving at the request of the University as a trustee, director, officer, employee or agent of another organization, corporation, partnership, joint venture, trust or other enterprise, including service with respect to employee benefit plans, against all liability and loss suffered and expenses reasonably incurred by such person in connection with any such Proceeding.

Section 3: Prepayment of Expenses

The University shall pay the expenses incurred by any trustee or officer of the University, and may pay the expenses incurred by any employee or agent of the Corporation, in defending any Proceeding in advance of such Proceeding’s final disposition; provided, however, that the payment of expenses incurred by a person in advance of the final disposition of the Proceeding shall be made only upon receipt of an undertaking by the person to repay all amounts advanced if it should be ultimately determined that the person is not entitled to be indemnified under this Article XI or otherwise.

Section 4: Non-Exclusivity of Rights

The rights conferred on any person by this Article XI shall not be exclusive of any other rights which such person may have or hereafter acquire under any statute, the governing documents of the University, agreement, vote of the disinterested trustees or otherwise.

Section 5: Insurance

The University may purchase and maintain insurance on behalf of any person who is or was a
trustee, officer, employee or agent of the University, or is or was serving at the request of the University as a trustee, director, officer, employee, or agent of another organization, corporation, partnership, joint venture, trust or other enterprise, including service with respect to employee benefit plans, against any liability asserted against such person and incurred by such person in any such capacity, or arising out of such person’s status as such, whether or not the University would have the power to indemnify such person against such liability under applicable law.

Section 6: Amendment or Repeal

Any repeal or modification of the foregoing provisions of this Article XI shall not adversely affect any right or protection hereunder of any person in respect of any act or omission occurring prior to the time of such repeal or modification.

ARTICLE XII: AMENDMENTS

These Bylaws may be changed or amended upon notice of the proposed change or amendment two weeks before a regular meeting of the Board followed by an affirmative vote of a majority of the members at the meeting.

Adopted May 9, 1945
Revised May 6, 1953
Amended May 9, 1957
Amended October 7, 1959
Amended May 11, 1960
Revised May 7, 1969
Amended May 24, 1971
Revised May 13, 1972
Amended October 20, 1973
Amended February 6, 1976
Amended May 9, 1980
Amended October 10, 1980
Amended February 11, 1983
Amended October 5, 1990
Amended May 2, 1997
Revised February 13, 1998
Revised June 6, 2001
Amended June 6, 2005
Amended May 16, 2008
Amended January 23, 2009
Amended May 13, 2011
IV. THE UNIVERSITY COVENANT

(This amended Covenant was unanimously approved and adopted by the Board of Trustees on May 5, 2001. It was presented to and adopted by the Synod of the Sun on November 11, 2000. It is now in effect as the official statement of Church-University relationship.)

THE COVENANT RELATIONSHIP BETWEEN THE SYNOD OF THE SUN, THE PRESBYTERIAN CHURCH (U.S.A.), AND TRINITY UNIVERSITY

Preamble

The Church affirms that the creating and redeeming God sustains all of life. That same God as revealed in Jesus the Christ calls humanity to love God and neighbor with heart, soul, strength, and mind. Taking seriously the life of the mind, the Reformed tradition continuously seeks to express this aspect of God’s call in encouragement of and support for education. From the beginning of its presence on the North American continent, the Presbyterian branch of the Reformed tradition has committed itself to establishing church-related colleges and universities. Changing circumstances may call for new forms of relationship between the Church and its related colleges and universities, but the commitment itself remains consistent.

Historical Context

The Cumberland Presbyterian Church established Trinity University in 1869 in Tehuacana, Texas, to serve and witness in the field of higher education. The Church called its educational enterprise “Trinity” because of the joint work of the three founding Synods, in the name of the Holy Trinity. Trustees were elected to operate the university. These Trustees were granted the direct control and management of the institution in accordance with the legislative act of August 13, 1870, adopting the original charter. The university was moved to Waxahachie, Texas, in 1902, and in 1906, with the union of the Cumberland Presbyterian Church and the Presbyterian Church in the U.S.A., the university became related to that united church. In 1942 Trinity was moved to San Antonio. The legal relationship between the Church and the University continued, through the Synod’s authority to elect the Trustees, until the Board of Trustees became a self-perpetuating body in 1969 and entered a covenant relationship with the Synod of the Sun of the United Presbyterian Church in the U.S.A. In 1983, with the reunion of the United Presbyterian Church in the U.S.A. and the Presbyterian Church U.S., the University retained its vital covenantal relationship with the reunited Church called the Presbyterian Church (U.S.A.). The Synod and Trinity University are intimately bound to one another in common heritage and in contemporary witness. Each institution should express in structure its own integrity and its own distinctive mission. As each understands its own unique role, the mission of the other will be enriched and strengthened. The mission of each to the other will be hindered if the distinctive role of either is blurred or absorbed in that of the other. Trinity University and the Synod of the Sun of the United Presbyterian Church in the U.S.A. with the dissolving of legal ties, in 1969, declared themselves bound in a covenant of trust and mutual obligation, to which were added in 1983 and 1989 supplemental Statements of Understanding,
further interpreting the *Covenant Affirmation*. The following is a revision of that *Covenant and Statements of Understanding* approved by the Trinity University Board of Trustees on May 5, 2001, and by the Synod of the Sun on November 11, 2000.

**The Covenant Affirmation**

I. The Trustees of Trinity University, affirming their covenant relationship with God, enter into a covenant with their predecessors in office, with the Synod of the Sun of the Presbyterian Church (U.S.A.), and with each other to pursue the purpose for which Trinity University was founded and the mission for which it endures. This Covenant commits the Board of Trustees to the following:

   A. That Trinity University shall recognize its birth and origin in the concern of the Presbyterian Church for the intellectual and spiritual growth of men and women.

   B. That Trinity University shall continue to express this concern of the Church in higher education by offering quality education committed to the wholeness of life interpreted and illumined by the Christian faith; that love of God and God’s creation and love for one another find opportunities for expression in campus, classroom, and chapel; and that the University, by exercising its responsibility to be free to pursue truth under God, shall continue to be a resource to the Church for creative leadership and for the interpretation of new discoveries for the enrichment of life under God.

   C. That Trinity University shall continue to be an institution in the tradition of the liberal arts and sciences with a balance between the humanities, fine arts, social sciences, and natural sciences, with the addition of limited and carefully selected professional degree programs, and with such other academic offerings as may seem to the Board of Trustees wise and proper in accordance with a continued goal for academic excellence.

   D. That Trinity University shall continue to recognize its opportunity to provide leadership for the various aspects of the Church’s life, to make available its facilities for meetings of the Synod, Presbyterian Women, youth events, and other church activities, to bear witness to its heritage and to seek the blessing of the Church for its work and worship.

   E. That Trinity University shall administer faithfully funds given in trust for purposes related to the training of leadership for the Church and other specified or related purposes.

   F. That Trinity University shall be nondiscriminatory and affirmative in all its policies, admitting qualified students and employing faculty and staff without restrictions as to race, ethnic origin, faith, creed, gender, sexual orientation, age or disability.

   G. That Trinity University shall be maintained and perpetuated to merit regional and national recognition for quality and leadership as it represents free and responsible
education, an essential resource in a free society as well as a particular commitment of the Presbyterian Church (U.S.A.).

H. That Trinity University, through its Board of Trustees, shall nominate and elect its own trustees and shall continue its century-old commitment to avoid discrimination on the basis of race, ethnic origin, faith, creed, gender, sexual orientation, age or disability.

I. That Trinity University shall seek to instill in its students the ideals of rigorous pursuit of truth, freedom of thought and investigation, and respect for differing opinions, including differences in religious beliefs and practices.

J. That Trinity University shall provide to the Synod informational materials for the Synod’s use in supporting Trinity University throughout the region.

II. The Synod of the Sun of the Presbyterian Church (U.S.A.), recognizing its covenant relationship with God, enters into a covenant with its predecessors and with the Trustees of Trinity University to pursue the purposes for which Trinity University was founded and for which it continues. This covenant commits the Synod to the following:

A. That the Synod and the appropriate General Assembly agencies shall continue their interest in and support of Trinity University, and that Trinity University shall continue to be listed as a college related to the Presbyterian Church (U.S.A.).

B. That the Synod shall provide annually to the Board of Trustees a report on the current work and ministry of the Synod of the Sun.

C. That the Synod shall provide appropriate resource persons to confer and to consult with representatives of Trinity University as may be desired, and shall participate in the Committee on the Nomination of Trustees as specified in the Bylaws of the Board of Trustees of Trinity University.

D. That the Synod shall provide financial support to Trinity University and shall encourage financial support from individuals, churches, and presbyteries.

E. That the Synod shall continue to present to Presbyterian youth the educational opportunities available at Trinity University, and that particular encouragement be extended to persons interested in church-related professions.

F. That the Synod and its appropriate agencies and committees shall continually re-think their role in higher education and communicate their concepts and vision and challenges to the University, and that the Synod shall continue to support the University, its faculty, students and administration with its prayers.

Statements of Understanding
I. Trinity University’s understanding of its commitment to the *Covenant* is expressed through the following intentions:

A. Persons elected to Trinity University’s Board of Trustees shall support the University’s covenantal relationship with the Synod as represented by this Covenant.

B. Trinity University’s Board of Trustees shall have as one of its standing committees a Committee on Church Relations and Religious Life. The Committee shall have a continuing concern for the University’s fulfillment of its covenantal relationship with the church, and shall be appointed and charged as all other standing committees.

C. Trinity University shall make an annual report to the Synod of the Sun furnishing the Synod with materials relating to its mission and progress.

D. There shall be a report, review, and, if necessary, revision of the *Statements of Understanding* portion of the *Covenant Relationship* every four years. The Synod Executive and the Chairman of the Board of Trustees shall see that such a review is accomplished, that a report over the past four years and a projection and agreement for the next four years is presented to the Synod and the Board of Trustees of Trinity University, and that adequate time be allocated for such a presentation before the Synod and Board of Trustees.

E. University Programs and Services for the Church:

   1. *Interpretation.* The University shall provide to the Synod an interpretation of its role and mission as a university in covenant relationship with the Church through printed materials and personal contact. The University will inform the Synod of its perspective as an institution in covenant relationship with the Church on contemporary issues in higher education. A person within the University designated by the President who is responsible for Church Relations and Religious Life shall be the primary agent responsible for this interpretative service.

   2. *Student Admission and Financial Aid.* The University shall admit students through its regular admissions policies, seeking heterogeneity, geographic and denominational diversity, admitting qualified students without discrimination or preference with regard to race, ethnic origin, faith, creed, gender, sexual orientation, age or disability. The University shall charge students a proper proportion of the cost of their education. The University assumes the responsibility for promotion of the financial aid of the University through the churches, presbyteries, and individuals. The student aid program of scholarships, grants, employment and loans shall be justly administered, and the University shall make a concerted effort to encourage students from within the membership of the Presbyterian Church (U.S.A.),
and any related churches which permit and facilitate such efforts, to consider Trinity University in making their college decisions. The University shall also make certain that potential students with very limited financial resources who meet the academic requirements are challenged to consider Trinity University as a viable option for their education.

3. **Chaplaincy/University Ministry.** The University has an endowed chaplaincy and shall maintain for the university community a full-time chaplain to provide a ministry of worship, counseling, religious education and the encouragement of service activities. A regular program of Sunday worship shall be maintained for those students who prefer to remain on campus for worship in the setting of the university community. The University also encourages students to support local congregations and religious groups by active participation in their worship and congregational life.

4. **Formal and Ceremonial Presence.** In its formal and ceremonial observances such as commencements and convocations, the historic and covenantal relationship of the University and the Synod shall be symbolically visible in the ritual of the occasion.

5. **Personnel.** Nothing in this statement or generally in the relationship of University and the Synod shall be interpreted so as to infringe upon the integrity and freedom of the faculty and administration in the pursuit of truth, nor shall the autonomy of the University’s internal policies and procedures be compromised by any religious requirement or restriction. However, persons employed in faculty or administrative positions shall be made aware of the institution’s covenantal relationship with the Synod of the Sun represented by this covenant and shall be asked if they will respect such covenant and be comfortable with the covenant regardless of their possible differing personal judgments and convictions. The Board of Trustees, when seeking a President, shall recognize the unique function of the President to represent and articulate publicly the institution’s commitments, and thereby may properly include a personal Christian commitment with a high regard for the Reformed tradition as a principle of preference among its criteria for candidates. In the filling of appropriate administrative positions, such as the Office of the Chaplain, the President will consider active involvement in the Christian community in addition to those superior professional qualifications that naturally would be expected.

6. **Religious Studies.** Fully recognizing the authority of the faculty over the specific content of the University curriculum, the University is committed to supporting a strong program of academic study of religion, including
biblical, historical, religious, and ethical studies. The University believes such study is an important component of a liberal education and a distinctive resource contributed by the church-related institution but by few other institutions of higher education within our geographical region.

7. **Pre-Seminary Preparation.** The covenant commits the University to be a resource for the education of creative leadership in the church. Subject again to the curricular authority of the faculty, the University, in addition to offering the common range of liberal studies, commits itself to budgetary support of studies in Greek for the benefit of students planning to attend seminary, when there is demand and enrollment for such studies.

8. **University Touring Groups.** The University shall make available the University Choir and any other touring groups on the understanding that such tours shall generally be self-sustaining through appropriate financial arrangements between the University and local groups.

9. **Resources.** The University shall consider itself to be a resource for the Synod and other church governing bodies and agencies. University personnel shall be encouraged to participate as their time permits when invited to leadership roles, and University facilities shall be made available insofar as possible for conferences, institutes, workshops, seminary, and other programs including Synod youth events and workshops, and Synod and Presbytery meetings. The provisions of these resources shall respect the primary educational responsibility of the University and shall be on a self-sustaining basis.

10. **Lecture Series.** The University shall provide its Willson Lectureship and its Fund for Christian Renewal for the enrichment of the spiritual life of the campus. For these series, clergy and laypersons in the Synod shall be encouraged to attend. For these as well as other appropriate lectures which may be sponsored through the University Lectures Committee and the academic departments, clergy and laity of various denominations in the community shall also be encouraged to attend.

11. **Relationship With Other Faith Traditions.** Throughout its history, Trinity University’s student body has been diverse and has included a substantial number of dedicated laypersons of other faith traditions. The University shall seek to maintain and further cultivate its relations with individuals, and where appropriate, with congregations and governance structures of other expressions of faith and also with other denominations closely linked by historical and ecumenical relationships to the Presbyterian Church (U.S.A.).
12. **Conferences and Special Programs.** Through its diverse program of conferences and special programs, the University shall offer educational resources for persons in the community. Where workshops or institutes of particular interest to clergy or laypersons are offered, a wider regional participation shall be invited. Through its Office of Conferences and Special Programs, the University commits itself to sponsoring conferences and special programs which would bring enrichment to the church and its leadership.

II. The Synod of the Sun of the Presbyterian Church (U.S.A.) understands its commitment to the Covenant through the following intentions:

A. The Synod of the Sun, through its appropriate representatives, shall suggest the names of persons who could ably serve on the Board of Trustees who would be supportive of the covenant relationship.

B. The Synod of the Sun shall continue to find ways to support the University as it articulates its vision, mission, interests and concerns.

C. The Synod shall provide regular reporting about Trinity University through *The Presbyterian Sun* newspaper to presbyteries, congregations, and members within the Synod.

D. The Synod shall provide to the University an annual interpretation of its role and mission as a governing body of the Church in covenant relationship with the University through printed materials and personal contact. A person on the staff of the Synod shall be the primary agent responsible for this interpretative service.

E. The Synod of the Sun shall endeavor to make available to Trinity University the names of Presbyterian high school students within the Synod. The clergy of the Synod shall be urged to be advocates for church-related colleges and universities to high school students and their parents, and will especially make known the resources of the University for those interested in religious studies and pre-seminary education.

F. The Synod of the Sun shall encourage its churches to host the University’s touring groups as a way of strengthening the Covenant on an ongoing basis. In addition, the Synod should seek to discover and utilize the gifts and expertise of the University’s faculty and administration for education, resource, and advocacy. The Synod shall also publicize through the media available to it the lectureships and continuing education opportunities available at Trinity.

G. The Synod shall serve as a resource to the University for the recruitment of minority members to the University community (student body, faculty, staff, and the Board) and shall encourage the University in its nondiscriminatory commitments.
H. The Synod shall work with the Presbyterian Church (U.S.A.) and Trinity University to support mutually beneficial efforts to utilize the Presbyterian scholarship program.

This covenant was reviewed in 2009 and shall be reviewed again in the year 2013 by a covenant review team of representatives from the University and the Synod.
(1B) INSTITUTIONAL MISSION

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. THE MISSION OF TRINITY UNIVERSITY: STATEMENT OF INSTITUTIONAL IDENTITY AND STRATEGIC OBJECTIVES

(Approved by the Trinity University Board of Trustees on January 20, 2006)

Trinity University is an independent co-educational university whose mission is excellence in the interrelated areas of teaching, research, and service. Trinity seeks to provide broad and intensive educational opportunities primarily to undergraduates in liberal arts and sciences, and in selected professional and pre-professional fields. It also offers a small number of selected high quality graduate programs.

Trinity University is dedicated to creating a superior intellectual environment by: recruiting, developing and retaining outstanding faculty members dedicated to teaching, to scholarship and creative endeavor, and to service to the University and its community; identifying, and attracting talented and highly motivated students to its predominantly full-time, residential student body; and providing a supportive and challenging experience wherein students, faculty, and staff can realize the potential of their abilities and engage their responsibilities to others. Trinity respects its historic ties to the Presbyterian Church, with which it continues to have a covenant relationship.

II. DIVERSITY FOR EXCELLENCE AT TRINITY: A STATEMENT OF INTENT

(Adopted by the Board of Trustees, May, 1985)

Trinity University stands committed to the attainment of excellence in liberal arts education. It affirms that, in our pluralistic society and world, excellent education must be carried out in a pluralistic setting. To the extent that education is carried out in a monocultural context, the quality of educational transactions suffers, and any claim to excellence is seriously weakened. Socializing young people to be liberally educated citizens of a democracy must take place in a context where the diversity of the experience, points of view, interests, and contributions of their fellow citizens is fairly and unavoidably encountered.

As it moves toward recognition as a nationally distinguished educational institution, Trinity University recognizes that such status demands the achievement and maintenance of ethnic diversity
within all of its constituent groups, thereby reducing the prospect that the University may be un-
fairly stereotyped. Trinity University is also a member of a community that is massively Hispanic
in character and identity. This not only opens unique educational opportunities for all who teach
and study at Trinity, but also places a special obligation on the University to be responsive to
and to enrich the life of its larger community. Because of its national aspirations and location in
San Antonio, Trinity University has a special responsibility to assure that minorities—Blacks and
Hispanics in particular—become an integral and significant part of its constituencies.

Trinity University, therefore, affirms that promotion of diversity and avoidance of racial, sex, class
and ethnic exclusivity are moral imperatives. It affirms that the University’s highest goal must
be to educate men and women for moral sensitivity and responsible action in society. To achieve
diversity for excellence, Trinity University will endeavor:

1. Actively to seek the enrollment and retention of significant numbers of qualified
   students of Hispanic, Black, Native American and Asian American origin.

2. Actively to promote the financial, academic and social conditions which will make
   it possible for qualified students of all ethnic and social class backgrounds to be signif-
   icant components of, and positive contributors to, the Trinity University community.

3. Actively to seek a larger component of minorities and women in the Trinity Univer-
   sity Faculty and Administration.

4. Actively to promote Trinity’s openness to social and ethnic diversity, using aca-
   demic programs, lectureships, artistic endeavors and other means to create within the
   University community an awareness of the life, concerns and contributions of all na-
   tional minorities.

5. Actively to promote, by similar means, Trinity’s appreciation of the special multi-
   cultural composition of San Antonio, and of the Hispanic culture of the region.

III. COMMITMENT TO EXCELLENCE

(Also known as Trinity University: Commitment to Excellence. Approved by the Trinity University Board of
Trustees, May 4, 1990)

In its commitment to excellence Trinity University is not only concerned with intellectual develop-
ment, but also with moral and spiritual growth. The integration of body, mind, and spirit to achieve
a wholeness in human life is fundamental to the well-being of the individual and to the very nature
of the University itself. Recognizing these truths the University strives to create an atmosphere
in which civility and human decency are expected, mutual respect and open communication are
fostered, and sound religious faith and expression are encouraged.
In response to these principles Trinity University affirms the following:

1. The essential moral code rooted in the Judeo-Christian heritage has been foundational to Western civilization and continues to inform and shape life on the University campus.

2. Members of the University community are responsible for their actions and how those actions impinge on those around them.

3. Wisdom, good judgment and concern for others are to be held in higher regard than narrow, self-interest.

4. The basic rights and dignity of each individual are to be upheld in the climate of a just and humane environment.

5. Behavior that is psychologically or physically destructive either to the self or to others is unacceptable in the University setting.

6. An on-going and historic church relationship that encourages religious and academic freedom is a positive force both in the continuing development of the University and in fostering a Christian presence and ethos on the campus.

7. The willingness to give of one’s time, talents, and resources in service to the larger world is a primary end-product of quality education.

Trinity University and its Board of Trustees embrace commitment to excellence in the moral and spiritual realm as vital to the University’s mission, its present well-being and its long-term good.
(1C) ADMINISTRATIVE STRUCTURE

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. THE OFFICE OF THE UNIVERSITY PRESIDENT

The President is the chief executive officer of the University. He/She is appointed by the Board of Trustees and serves at its pleasure. He/She is responsible for carrying out the educational and administrative policies of the Board, for the effective management of the resources of Trinity University and for providing leadership to the University in fulfilling its educational mission.

Reporting directly to the President are the Vice Presidents for Faculty and Student Affairs; Alumni Relations and Development; Finance and Administration; and Information Resources, Communications and Marketing; the University Chaplain; and the Executive Assistant to the President. These persons, with the exception of the Vice President for Faculty and Student Affairs and the Vice President for Information Resources, Communications, and Marketing, are evaluated by the President of the University. The annual evaluation is usually completed during mid-semester in the spring. The evaluation is in the form of a conference between the President and the individual. At the conference, the President reviews the person’s performance during the previous year and discusses his or her job expectations for the following year. The evaluation of the Vice President for Faculty and Student Affairs is carried out according to the policy articulated in Chapter 3C Section I.C: Evaluation of the Vice President for Faculty and Student Affairs, Associate Vice Presidents for Academic Affairs, the Vice President for Information Resources, Communications, and Marketing, and the University Librarian.

II. THE OFFICE OF ACADEMIC AFFAIRS

A. The Vice President for Faculty and Student Affairs

The Vice President for Faculty and Student Affairs (VPFSA) is responsible for the academic and co-curricular operations of the University. In consultation with students, faculty members, departmental and program chairs, directors, and others, and at the direction of the President of the University, the VPFSA develops goals, policies, and procedures relating to the following:

- Strategic priorities with regard to undergraduate and graduate curricula and to the development, modification, and elimination of academic programs
• Integration of academic and co-curricular programs

• Appointment and supervision of academic department chairs and interdisciplinary program directors, the Associate Vice Presidents for Academic Affairs, the Associate Vice President for Student Affairs and Dean of Students, the Associate Vice President for Enrollment and Student Retention, the Registrar, the Director of Athletics, the Director of International Programs, and the Director of the Trinity University Press

• Recruitment, evaluation, compensation, and retention of faculty and contract staff members

• Preparation and oversight of capital equipment and renovation budgets

• Preparation and oversight of the annual divisional budget

• Enforcement of University policies and insurance of due process

The VPFSA advises and assists the President of the University in intermediate and long-term planning, as well as in the day-to-day operations of the University.

The VPFSA works with the Vice Presidents for Finance and Administration, Alumni Relations and Development, and Information Resources, as well as the Academic Affairs and Student Affairs Committees of the Board of Trustees.

B. Associate Vice Presidents for Academic Affairs

The Associate Vice Presidents for Academic Affairs function as the senior staff persons and assist the VPFSA in all aspects of academic administration with particular responsibility, as assigned, for the following:

1. Associate Vice President for Academic Affairs: Student Academic Issues (AVPAA:SAI)

• Academic programs lead for the New Student Orientation Steering Committee

• Coordination of first-year student academic advising and advisor training; health professions advising liaison; Advising and Registration Committee

• Coordination of the First-Year Seminar and training of peer tutors

• Administration of the First-Year Programming and Advising budget

• “Allies,” a support group for first-year generation and under-represented students

• Coordination of the Academic Honor Code and the Academic Honor Council

• Exceptions to academic policies, including academic records, course substitutions, grade changes, and overload approvals

• Coordination of the grade appeal process
CHAPTER 1. HISTORY, PURPOSE, STRUCTURE

- Academic honors programs, including the Major Scholarship and Fellowship Committee, the Honor Awards Convocation, and the Academic Showcase of Talent
- Spring and Fall Family Weekend Academic Programs
- South Texas Region liaison to the Duke University Talent Identification Program for Gifted Students
- A Trinity Summer pre-college institute
- Academic Affairs representative on the Crisis Management Team
- Parent liaison in matters related to Academic Affairs
- Course evaluations
- Student leaves and withdrawals
- Student success and behavioral assessment

2. Associate Vice President for Academic Affairs: Curriculum and Faculty Development (AVPAA:CFD)

- Liaison with the Commission on Graduate Studies, the Collaborative for Learning and Teaching, the Languages across the Curriculum program, and the University Curriculum Council
- Providing leadership in the development and reform of undergraduate and graduate curricula in collaboration with the University Curriculum Council and the Commission on Graduate Studies
- Editing and preparation of the Courses of Study Bulletin
- Organization of New Faculty Orientation and oversight of faculty mentoring
- Supporting departments and individual faculty members with regard to faculty promotion and tenure, reviews of probationary faculty members, and termination
- Administration of Curricular and Pedagogical Innovations grants
- Providing leadership in the development of effective teaching
- Oversight of academic policies and procedures for graduate students
- Supervision of the selection process for the Z.T. Scott Faculty Fellowship, the Piper Professor nomination, and other faculty awards
- Supervision of the preparation of the class schedule and the assigning of classroom space in consultation with academic departments and the Office of the Registrar
- Administration of summer sessions
• Maintenance and interpretation of the *Faculty and Contract Staff Handbook*

• Preparation of the administrative calendar in conjunction with the ad hoc Calendar Committee

• Supervision of undergraduate and graduate commencement

3. **Associate Vice President for Academic Affairs: Budget and Research (AVPAA:BR)**

• Oversight of budgets within Academic Affairs

• Administration of capital improvement/renovation and capital equipment requests

• Administration of start-up funds for new faculty and cost-sharing funds grants

• Oversight of sponsored research (external grants) and supervision of the Coordinator of Research Programs

• Oversight of undergraduate research funds and the undergraduate summer research program

• Review of assessment plans and reports from academic programs

• Liaison to the Faculty Development Committee; oversight of academic leave and summer stipend proposals and reports

• Administration of faculty development/discretionary/special project grant funds

• Coordinator of the Stieren Arts Enrichment Series, Distinguished Scientists Lecture Series, DeCoursey Lecture Series, and Lennox Seminar Series

• Administration of Faculty Research Dinners program

• Administrative representative to the Institutional Review Board and the Institutional Animal Care and Use Committee

• Administrative representative to the Lecturers and Visiting Scholars Committee and Upward Bound Advisory Board

• Liaison to Institutional Research

C. **Other Academic Affairs Officers**

1. **The Associate Vice President for Enrollment and Student Retention (AVPESR)**

The Associate Vice President for Enrollment and Student Retention is responsible for the University’s efforts to meet annual enrollment goals. These goals include headcount, net student revenue, academic profile, and diversity measures. To accomplish these aims, the AVPESR has oversight for the following:
• Assisting in the development of annual enrollment goals
• Developing an annual recruitment plan, including initiatives and strategies to support and meet determined enrollment goals
• Working with faculty and staff members to enroll a first-year class that is prepared to succeed academically and that has varied academic and co-curricular commitments
• Strategically using financial aid dollars to meet enrollment goals
• Managing Admissions and Financial Aid directors and the overall operation of the Admissions and Financial Aid Center
• Overseeing staff members’ hiring, responsibilities, and performance
• Overseeing the admissions budget, financial aid budget, and budget requests
• Compliance with office and University policies and ethical and legal standards
• Recruitment and travel to include chief University admissions programs, selected high school programs, and conferences
• Updating University committees on admissions and financial aid (e.g., Board of Trustees, Board of Visitors, National Alumni Board, Admissions and Financial Aid Committee)
• Working with University colleagues in improving retention efforts
• Using retention research to help inform admissions decisions
• Advising faculty and staff members’ dependents who are interested in attending Trinity or another college

The AVPESR works under the direction of the Vice President for Faculty and Student Affairs, and in consultation with and the support of numerous University administrators, faculty members, and staff members to achieve enrollment goals.

2. The Director of Financial Aid

a. The Director of Financial Aid reports to the Associate Vice President for Enrollment and Retention and is responsible for providing financial assistance for all academic semesters to students who apply and qualify. The basic responsibility of the Director is to ensure that all interested and inquiring students are served in the best and most expedient manner.

b. Specific duties include:

• Supervises all necessary functions for computing and making awards.
• Supervises all record keeping concerned with financial aid functions.
• Coordinates financial aid and related functions with other administrative offices, faculty, and students.

• Ensures accountability of all funds that are processed through the Financial Aid Office.

• Completes applications and all supportive data required for the annual funding for all programs and also for re-allocations during the year.

• Conducts periodic surveys and follow-up to support reasonable expense budget allowances for students by state and federal agencies.

• Assists the Registrar and Associate Vice President for Enrollment and Student Retention in the implementation of the Merit Scholarship Program.

• Provides leadership and guidance to the Admissions, Scholarships, and Financial Aid Committee.

3. The Athletic Director
Reports to the VPFSA and is responsible for the administration of the Athletic program.

4. The Director of International Programs
Reports to the VPFSA and is responsible for Study Abroad, the International Studies Program, and coordination of international education and international student affairs and support services on campus, including communication of international events and issues, coordination of efforts by departments and individuals to stage international programs, recruitment and retention of international students, effective advising in nonacademic areas for international students, an institutional mechanism for inviting and hosting foreign scholars, and the disbursal of funds for international activities.

2. The Registrar
The Registrar is responsible for student records and registration of students, including the maintenance of records. The Registrar specifically is responsible for:

• Academic registration.

• The interpretation of academic rules and regulations.

• Counsel regarding academic policy with University constituencies.

• Publication of schedule of classes.

• Scheduling of classroom resources.

• Assisting in the preparation of the University calendar.
• Certification of University degrees.
• Preparation of program material for commencement.
• Administration of the Veterans Affairs and Social Security programs.
• Certification of eligibility for honors, athletic participation and student body offices.
• Providing student-related information to University offices and departments.
• Security of student records.
• Student identification cards.
• Transcript service.
• Advisor support.
• Application for major records and degree tracking information.

III. THE OFFICE OF FINANCE AND ADMINISTRATION

A. The Vice President for Finance and Administration

The Vice President for Finance and Administration (VPFA) is responsible for the administration of the University’s financial operations and for most campus support services. Reporting to the VPFA are:

B. The Associate Vice President for Budget and Business Operations

The Associate Vice President for Budget and Business Operations administers all University accounting activities, including endowments, current and restricted funds, loan fund, plant fund, and sponsored projects. In addition, the Associate Vice President for Budget and Business Operations is responsible for the Business Office, endowments, central purchasing, risk insurance, and budget control.

C. Other Finance and Administration Administrators

1. The Director of Campus Planning and Sustainability reports directly to the Vice President for Finance and Administration (VPFA) and is responsible for the development of all construction projects undertaken by the University and ensuring they are
effectively managed and comply with state and city regulations and procedures. The Director assists in the development of long-range plans to meet the academic and support needs of the University and in the selection of consultants and contractors and coordination and oversight of their work. The Director is also responsible for compliance with and maintenance of sustainability standards and policies.

2. The Chief and Director of University Police is responsible for campus law enforcement, campus parking, traffic control, loss prevention, and campus safety.

3. The Director of Purchasing supervises the purchase of goods and services for the University, office equipment and its maintenance contracts, inventory control, pest control, campus vending machines, and central receiving. The Purchasing Director is also responsible for the campus print shop and the convenience copy center.

4. The Director of Internal Audit is responsible for ensuring Compliance with all University rules, regulations, and policies pertaining to fiscal affairs. This position reports directly to the Audit Committee of the Board of Trustees, but for daily operations reports directly to the VPFA.

5. Reporting to the Vice President for Finance and Administration (VPFA), the University Controller provides leadership and management oversight for the daily operations of the University accounting, financial reporting including sponsored projects, endowments, and similar funds, accounts payable, payroll, student accounts, receivable and cashiering functions. The Controller is the primary liaison with the external auditor and, working with the VPFA, prepares annual and periodic financial reports and analyses.

6. The Director of Investments reports directly to the Vice President for Fiscal Affairs (VPFA) and acts as a liaison between the University Investments Committee, University administration, and the investments consultant with regard to the University endowment.

IV. THE OFFICE OF ALUMNI RELATIONS AND DEVELOPMENT

A. The Vice President for Alumni Relations and Development

The Vice President for Alumni Relations and Development directs Trinity University’s programs in development (fund raising) and alumni relations. The Vice President and his/her staff of fundraising and alumni relations specialists are responsible for communication and engagement with the University’s many constituencies, both external and internal. All fund-raising efforts, stewardship activities, and alumni activities are under his/her jurisdiction.
All Trinity University faculty should clear foundation, corporation, individual and other fund-raising proposals first with the Vice President for Faculty and Student Affairs and then with the Assistant Vice President for Alumni Relations and Development or the Vice President for Alumni Relations and Development. Non-faculty should clear foundation and other fund-raising proposals with the Assistant Vice President for Alumni Relations and Development or the Vice President for Alumni Relations and Development.

B. Other Alumni Relations and Development Administrators

- **Assistant Vice President for Alumni Relations and Development** coordinates all alumni and fund raising activities at Trinity University.

- **Senior Director of Annual Giving** leads the yearly fundraising outreach of the Trinity Fund and the Trinity Parents Fund, both of which support the University’s core priorities: scholarship and financial aid, innovative and world-class faculty, and the student programs which enrich a productive learning environment. The Office of Annual Giving works to broaden the base of participation by alumni and parents in both engagement through volunteerism and giving.

- **Senior Director of Advancement Services** is responsible for the operational aspects of the Division of Advancement through the management of five primary areas: gift processing, data management, research, prospect coordination, and information technology. This position will work directly with the front line fundraising units, the information technology support team, and other relevant departments at Trinity to promote the improvement of resources for donor cultivation and information management. This position is also responsible for formulating and training policies, procedures, and best practices.

- **Director of Corporate and Foundation Relations/ Special Projects** supports the strategic objectives of Trinity University through the cultivation, solicitation, and stewardship of local, regional, and national corporations and foundations. This position also develops and produces special projects including the creation and production of fundraising materials.

- **Director of Alumni Relations** and the Office of Alumni Affairs are charged with strengthening and maintaining close ties with former students of Trinity University, through the Alumni Association, chapter activities, newsletters, and special events.

- **Director of Major and Planned Gifts** leads the staff program charged with fostering the development of the relationships between Trinity University’s major donors and prospective major donors to advanced Trinity’s mission.
V. THE OFFICE OF STUDENT AFFAIRS

A. Associate Vice President for Student Affairs and Dean of Students

The Associate Vice President for Student Affairs and Dean of Students is the chief administrative officer in the Office of Student Affairs. The Associate Vice President oversees all functions of the Student Affairs area, including Campus & Community Involvement, Career Services, Counseling and Health Services, Dining Services, and Residential Life. Those functions include leading divisional strategic planning, assessment, and annual reporting; overseeing professional staff selection, supervision, development, and evaluation; managing annual processes related to budget, including capital improvement and equipment requests; and overseeing divisional communications. In addition, the Associate Vice President represents the division outwardly in developing reports for the Board of Trustees and the National Alumni Board and Visitors Committee. The Associate Vice President reports directly to the Vice President for Faculty and Student Affairs.

The Dean of Students roles include management of student and parent issues. Specifically, the Dean of Students assists students and families in distress, particularly around personal and academic issues. The Dean of Students communicates actively with students and parents through social media and newsletters. Other areas of direct responsibility include participation on the campus Crisis Management Team; co-chairing the Student Success Behavioral Assessment Team; managing student conduct, including policy and procedure development and advising the Student Conduct Board; overseeing programs related to alcohol and sexual assault; and advising the student representative organization.

B. Other Student Affairs Administrators

1. The Director of Campus & Community Involvement (CCI) is responsible for the planning, delivery, and assessment of programs in CCI, including but not limited to student activities programming, student organizations advisement, leadership programs, new student orientation, parent programming, diversity initiatives, service programs, fraternity and sorority life (local social organizations), and student-edited publications. Additionally, the Director oversees the Coates University Center. The Director reports to the Associate Vice President for Student Affairs and Dean of Students.

2. The Director of Career Services The Director of Career Services is the senior administrative officer for the Office of Career Services. Primary responsibilities include overall leadership and direction for Career Services, supervision of all staff members...
within the department, and managing the departmental budget and day-to-day operation of Career Services. The Director is the primary staff person engaged in employer and recruiter development, and oversees staff members engaged in on-campus services including career counseling and advisement, programming and workshops, and on-campus recruitment activities. Acting as the primary liaison with Alumni Relations and faculty, the Director helps to coordinate networking programs, assists alumni with career development, and coordinates with faculty members to meet career needs within their disciplines. The Director reports directly to the Associate Vice President for Student Affairs and Dean of Students.

3. **The Director of Counseling and Health Services** is responsible for the supervision of Counseling Services, Disability Services for Students, and the Elizabeth Rhea Health Services. The Director is responsible for counseling and health services in areas of staffing, policy, budget, clinical services, programming, and adherence to legal, professional, and ethical standards. As a member of the clinical staff of Counseling Services, the Director provides counseling, consultation, outreach and urgent-response services to Trinity University students. The Director reports directly to the Associate Vice President for Student Affairs and Dean of Students.

4. **The Director of Residential Life**, assisted by the Assistant Director for Residential Education and four Residential Life Coordinators, is responsible for the overall leadership of the Residential Life Office. The Director oversees development and implementation of the departmental mission, goals, and assessment. Areas of responsibility include managing the selection, training, and supervision of full-time professional staff members and part-time student staff members; overseeing departmental budgets; managing annual processes related to housing operations, including assignments, opening and closing, and summer student housing; selecting and purchasing residence hall furnishings; and coordinating the department’s educational program. Additionally, the Director coordinates with the offices of Conferences and Special Programs, Facility Services, and Housekeeping. The Director reports directly to the Associate Vice President for Student Affairs and Dean of Students.

C. **Contracted Services**

The University Bookstore and University Dining Services are both provided by contracted services, Barnes & Noble, Inc. and ARAMARK, respectively. The General Manager of the Bookstore and the Director of Dining Services report to the Associate Vice President for Student Affairs and Dean of Students.
VI. THE OFFICE OF INFORMATION RESOURCES, COMMUNICATIONS, AND MARKETING

A. The Vice President for Information Resources, Communications, and Marketing

The Vice President for Information Resources, Communications, and Marketing (VPIRCM) is responsible for the information and technology areas of the University and other areas of administration as assigned by the President. Working with the other Vice Presidents as well as the President and the Board of Trustees and in consultation with members of the University community, and at the direction of the President, the VPIRCM develops goals, policies and procedures related to the following areas:

- The University Library
- Information Technology Services
- Center for Learning and Technology
- Institutional Research
- Collaborative for Learning and Teaching

B. Other Information Resources Officers

1. The Associate Vice President for Information Resources

The Associate Vice President also serves as the Director of Institutional Research. The Associate Vice President assists the Vice President for Information Resources in the leadership and management of the areas reporting to the Vice President, as directed by the Vice President. As the Director of Institutional Research, the Associate Vice President is responsible for the collection and organization of information to assist the University in its operations. Particular emphasis is given to maintaining University data for reporting to national associations, groups and accrediting agencies. Working with various offices of the University, the director advises on outcomes assessment programs, monitors admissions data and assists offices in their own data collection.

3. The Director of Information Technology Services

The Director of Information Technology Services is responsible for managing the University technology resources in both the administrative and academic areas. In that capacity the director is specifically responsible for:

- The University data network.
• The University telephone system.
• The management and procurement of the University computer inventory.
• The effective deployment of technology personnel in the Office of Information Technology Services.
• The preparation, in consultation with the Vice President, of an annual technology budget.
• The University e-mail system.
• The residence hall computer network.
• University computer laboratories.
• The approval of all technology-related equipment that will be connected to the data or telephone network.
• Maintaining and approving the software inventory of the University.
• Maintaining the University administrative information system(s).
• The security of network resources.

4. The University Librarian

The University Librarian is responsible for managing and providing leadership for the University Library. The University Librarian is responsible for all aspects of Library operations. Specifically, the University Librarian has the following responsibilities:

• To recruit and retain outstanding Library faculty and staff.
• To oversee the development of appropriate Library resources in print and/or digital formats.
• To oversee the Library faculty promotion and tenure process.
• To plan for the Library’s role in the information literacy needs of our students and other end users.
• To encourage and assist Library staff in the development of grant and contract proposals that advance the mission of the Library.
• To develop, in consultation with the academic faculty and in cooperation with the Vice President for Information Resources and the University President, plans and goals for the Library consistent with the goals of the University.
• To prepare an annual budget for the library, in consultation with the Vice President for Information Resources.
To be responsible for the effective and strategic utilization of budget resources.
• To represent the Library in outreach activities which advance the mission of the library and the University.
• To be responsible for the effective use of Library resources.
• To provide effective management and administration of the Library.
• To liaison with faculty regarding Library needs.

5. The Director of the Center for Learning and Technology

The Director of the Center for Learning and Technology is responsible for the management of the University collection of media materials, the multimedia laboratory and the general management of the Office of Instructional Media Services (IMS). Specifically the Director is responsible for:

• The campus cable and IPTV television system.
• The acquisition of appropriate media software.
• The maintenance and operation of the multimedia laboratory.
• The hiring and retention of outstanding CLT personnel.
• Assists in training of campus constituencies in the use of various educational software systems.
• The design, maintenance and support of electronic classrooms.
• Recommending and consulting with the campus community regarding digitally-enhanced teaching resources.

6. The Director of Conferences and Special Programs

The Director of Conferences and Special Programs is responsible for the summer conference hosting activities of the University as well as conferences and special programs hosted by the University throughout the year. The Director is responsible for the management and oversight of the Holt Center for Conferences and Special Programs. Specifically, the Director is responsible for:

• The management and scheduling of the Holt Center.
• The hiring and retention of outstanding conference staff.
• The recruitment of conferences to the campus.
• The effective and optimal utilization of University resources for summer conferences.
The scheduling of University resources for conferences and special programs.

The Policy Maker Breakfast Series.

The exposure of the University to appropriate groups with potential to advance the University agenda through effective national exposure to visitors for conferences and programs hosted by the University.

The oversight of summer sports camps and related activities in the summer.

7. The Assistant Vice President for Human Resources

The Assistant Vice President for Human Resources serves Trinity University’s classified personnel in the areas of personnel records maintenance, recruitment, wage and salary administration, fringe benefits, student employment, CETA and SANYO programs, policy development, personnel development, counseling and affirmative action, and Environmental Safety.

8. The Director of the Tiger Card Office

- Management of the university one card program
- Management of the automated door access system
- Management of the video surveillance system
- Reconciliation of accounts utilizing one card
- Work with off campus vendors to facilitate acceptance of Tiger Bucks
- Establish on campus opportunities for the use of Tiger Bucks
- Management of campus networked printing system
- Oversight of Paw Prints in the Coates Library

VII. THE OFFICE OF UNIVERSITY COMMUNICATIONS

A. The Assistant Vice President for University Communications

The Assistant Vice President for University Communications is responsible for the overall management and staff supervision of the Office of University Communications; directs and implements integrated marketing strategies; directs University’s media relations and sports information outreach; serves as a University spokesperson; supervises development of University publications
and electronic communications; serves as executive editor of *Trinity* magazine and calendar; directs the University’s community relations; oversees operation of Laurie Auditorium; develops and manages budgets of the Office of University Communications, Laurie Auditorium, Catalogs & Bulletins; manages special events as assigned.

**B. Assistant Director, Community Relations and Special Events**

Coordinates the use of University facilities by off-campus groups (approximately 50 per year); manages the University’s Speakers Bureau; maintains the University Central Calendar; manages Trinity’s special events such as dedications, open houses, and the commencement receptions; and records University events announcements on KRTU 91.7 FM.

Responsible for the logistics, promotions, and media relations for the Trinity University Distinguished Lecture Series, the Cameron Lecture on Politics and Public Affairs, the Distinguished Scientist Lecture Series, and other major public University lectures such as the MLK Jr. Commemorative Lecture, the Stieren Arts Enrichment Series, the Policy Maker Breakfast Series, and Food for Thought Luncheon Lecture Series.

**C. Associate Director/Publications**

Responsible for the management and production of more than 300 publications annually; serves as editor of *Trinity* magazine; writes, edits copy (magazine, calendar, various mailers, and brochures); manages University photography; supervises publications designer and publications technician; manages special events, as required; and develops budgets for magazine, calendar.

**D. Publications Designer**

Serves as designer and publications manager of *Trinity* magazine and calendar; handles design, illustration, camera-ready production of all publications assigned; writes publication specifications; solicits bids and contracts; maintains University logos and seals, electronic and paper versions.

**E. Assistant Director/News and Information**

Manages the news bureau; writes news releases and magazine stories as well as campus news stories for alumni and Web publications; interfaces with reporters by cultivating media placements and responding to media inquiries; monitors ProfNet service to connect professors with reporters; supervises production five times a year of electronic campus newsletter,*On Trinity Hill*; monitors
distribution of LeeRoy, the daily events listing during the academic year; coordinates the distribution of news clips on and off campus; oversees database services and contracts; and serves on the Campus Board of Publications. Serves as the liaison to the administrative offices of Career Services, Coates Library, and Parker Chapel as well as to the Biology, Chemistry, Engineering Science, Geosciences, Mathematics, and Physics and Astronomy departments, and the departments of Accounting, Business Administration, Finance and Decision Sciences, Economics, Education, Health Care Administration, and Political Science.

F. Web Content Specialist

Serves as primary coordinator of web-based and social media communications, providing web writing/editing, content posting and development, as well as leadership and strategic planning for existing and future content. Coordinates the effective and appropriate use of the web and social media to reach and serve internal and external stakeholders and audiences.

G. Web Developer

Responsible for development and maintenance of the University’s websites and microsites, participates in the development of other digital applications that extend the University’s brand to its constituents. The Web Developer works as part of a team to provide web development, web services, and technical support on behalf of the whole University, including development of the University’s website through the content management system and providing CMS training for University’s web end users.

H. Sports Information Director

Provides news coverage, directs media relations for all intercollegiate athletics; manages statistical reporting for all teams; maintains athletic Web site; develops, writes, produces team game programs; develops, writes, produces recruitment brochures for each sport; manages, direct, maintains photography for intercollegiate activities.

I. Director of Laurie Auditorium

Manages and coordinates all events in the Auditorium; maintains up-to-date calendar of all events scheduled; negotiates all performance contracts for use of Auditorium; directs and supervises routine physical maintenance of Auditorium; supervises Auditorium staff and stage crew.
J. Laurie Auditorium Box Office Manager

Manages box office operations including monthly budget statements, purchasing, and billing; manages Ticketmaster system; supervises student workers; meets and greets visitors and telephone callers.
Chapter 2

Faculty Governance Structure

Contents

(2A) Faculty Constitution ................................................. 65
   I. Purpose ................................................................ 65
   II: The Academic Faculty ............................................. 65
   III. The UCC ............................................................... 68
   IV. The Faculty Senate .................................................. 68
   V. The P&T Commission ............................................... 74
   VI. Implementation ..................................................... 79

(2B) UCC Bylaws ............................................................... 80
   I. Authority ................................................................ 80
   II. Membership .......................................................... 80
   III. Meetings ............................................................... 83
   IV. Consent and Discussion Agendas ............................. 86
   V. Effective Dates ....................................................... 87
   VI. UCC Standing Committees ...................................... 87
   VII. Adjunct Bodies ...................................................... 92
   VIII. Procedures ........................................................ 92
   IX. Amendments ........................................................ 92

(2C) University Curriculum Council Standard Operating Procedures .... 94
   I. Submissions to the UCC ............................................ 94
   II. UCC operations ...................................................... 95
III. Curricular Priorities ........................................... 96
IV. Substantive Change Procedure ............................... 97
V. Amendment Procedure ......................................... 97

(2D) Faculty Senate Bylaws ........................................ 98
I. Officers ............................................................. 98
II. Meetings and Agenda .......................................... 99
III. Committees ....................................................... 100
IV. Amendments ..................................................... 102

(2E) Standing Committees .......................................... 103
I. Overview .......................................................... 103
II. University Committees ........................................ 105
III. Faculty Committees ........................................... 111
IV. Elected Committees ............................................ 113
V. Administrative Committees ................................... 114
VI. Academic Programs .......................................... 117
ARTICLE I: PURPOSE OF THE FACULTY ORGANIZATION

In order to fulfill the responsibilities of the faculty in the areas of academic life and governance of Trinity University, the Faculty Organization at Trinity University is established according to the provisions of this Constitution as adopted by the Faculty and ratified by the Board of Trustees.

ARTICLE II: THE ACADEMIC FACULTY

K. Membership

Membership of the Academic Faculty shall consist of all full-time members of the faculty whose primary responsibility is teaching, research and/or professional librarianship, plus all administrative personnel holding faculty rank within a department.

L. Officers

1. The President of the University shall be the President of the Academic Faculty, and shall preside over the meetings of the Academic Faculty Assembly.

2. The Vice President for Faculty and Student Affairs of the University shall be the Vice President of the Academic Faculty, and in the absence of the President shall preside over the meetings of the Academic Faculty Assembly.

3. The Academic Faculty shall elect annually one of its members to serve as Secretary and Parliamentarian of the Academic Faculty Assembly.

M. Meetings of the Academic Faculty Assembly

(Section 8 added by the Faculty March 19, 1993)
1. There shall be four stated meetings of the Academic Faculty Assembly during each academic year: two in the fall semester and two in the spring semester.

2. Called meetings of the Assembly shall be held at the request of the President, or of the Vice President, or of the Faculty Senate, or by petition signed by no less than 10% of the members of the Academic Faculty.

3. A simple majority of the members of the Academic Faculty shall constitute a quorum for meetings of the Assembly, with the provision that, for meetings to be held in the summer, the quorum shall be determined on the basis of faculty members actually teaching during the summer months.

4. Meetings of the Assembly held during the Summer Session shall not consider or vote on matters of amendment of the Constitution of the Faculty Organization at Trinity University (Chapter 2A) or changes in general policies of the University.

5. A simple majority of those present and voting at a given meeting shall be sufficient to carry all motions, unless otherwise specified in this document or in the rules of procedure.

6. Academic Faculty members holding administrative positions above the rank of departmental Chair shall have voice and vote at meetings of the Assembly, with the following exceptions:

   a. They shall be ineligible to serve on the Hearing and Investigating Committees.

   b. With the exception of the Vice President for Faculty and Student Affairs, who serves as an ex officio non-voting member, they shall be ineligible to serve on the Commission on Promotion and Tenure.

7. Notice of any stated or called meeting shall be circulated in writing to all the members of the Academic Faculty at least one week prior to the date of the meeting. Such notice shall include a docket of the business to come before the meeting, and its preparation and distribution shall be the responsibility of the Vice President of the Academic Faculty.

8. Meetings of the Faculty Assembly shall be open to all members of the University Community. The Office of Academic Affairs shall routinely send a copy of the agenda to the Student Association. If there is an item of business on the agenda to which any member of the University Community would like to speak, permission from the President should be obtained in advance of the meeting. The Faculty Assembly reserves the right to exclude students and other observers when, by majority vote, it decides to go into executive session.
N. Duties of the Faculty Assembly

(Paragraph 3 amended by the Faculty December 10, 1992; paragraph 4 amended by the Faculty March 20, 2009; paragraph 5 amended by the Faculty October 29, 2010.)

1. The Academic Faculty Assembly shall be responsible for setting the requirements for academic degrees through approval of the actions of the University Curriculum Council and Commission on Graduate Studies, and for certifying those candidates who have met said requirements.

2. The Academic Faculty Assembly shall approve, either directly or through delegation, the granting of honorary degrees.

3. The Academic Faculty Assembly shall receive the minutes and approve the actions of the University Curriculum Council or its successors. Reception of the minutes shall be by individual distribution to all members of the Academic Faculty. Approval of the Council’s actions shall take place either by formal action or by consent.

   a. Approval shall take place by formal action when the materials to be approved and appropriate documentation are transmitted on the Council’s Discussion Agenda and distributed to all Academic Faculty members at least twenty-one days before the meeting of the Academic Faculty at which they are to be considered and are placed on the agenda of the Assembly. Proposed amendments to items on the Discussion Agenda must be circulated in writing at least seven days prior to the meeting. Other amendments or substitute motions to a circulated proposal will be in order if their effect is to lessen the degree of change from the present status as compared with the effect of the circulated proposal. Amendments to a previously circulated amendment will be in order if their effect is to lessen the degree of change from the original proposal as compared with the effect of the circulated amendment.

   b. Approval shall be effective by consent fifteen days following distribution on the Council’s Consent Agenda unless within the fifteen days a member of the Academic Faculty notifies the Vice President for Faculty Student Affairs that the member requests a specified item be considered at the next meeting of the Academic Faculty Assembly. The Vice President for Faculty and Student Affairs shall notify the Academic Faculty of the transfer of the item to the Discussion Agenda and shall place the specified item or items on the agenda of the next meeting.

4. The Academic Faculty Assembly shall be the electing body for members of the Hearing and Investigating Committees.
5. The Academic Faculty Assembly shall receive all reports and act upon all recommendations which require reception and/or action by the Academic Faculty. Legislation that requires a vote will be circulated to the Academic Faculty at least fourteen (14) days before the meeting of the Faculty Assembly. Substantial amendments to proposed legislation (amendments extending beyond minor revisions or multiple amendments to a single piece of legislation) should be submitted in writing to the Academic Faculty at least seven (7) days prior to an Assembly vote.

O. Rules of Procedure

Except on points otherwise specifically stated in this document or in the Bylaws of the Faculty Organization, the latest edition of Robert's Rules of Order shall be the parliamentary authority for procedure at all meetings of the Academic Faculty Assembly.

ARTICLE III: THE UNIVERSITY CURRICULUM COUNCIL

A. Authority

The University Curriculum Council will be the agency of the Faculty exercising the Faculty’s authority and responsibility in the area of curriculum and academic policy. Actions of the Council will be subject to approval by the Academic Faculty and, where appropriate, by the Board of Trustees.

B. Membership

The basis for membership of the University Curriculum Council will be determined by act of the Academic Faculty Assembly, although proposals may originate from the University Curriculum Council, the Faculty Senate, or the Administration. If persons other than members of the Academic Faculty are to be included as members of the Council, the overall basis for membership will be subject to approval by the President.
ARTICLE IV: THE FACULTY SENATE

A. Membership

(The amended by the Academic Faculty Assembly on October 21, 2011; approved by the Board of Trustees on February 17, 2012.)

The Faculty Senate shall be composed of nineteen members of the Academic Faculty who do not hold administrative positions above the rank of departmental Chair, who, at the time of election, are completing at least their second academic year on the faculty of Trinity University.

One member shall be elected at large to serve as Vice Chair/Chair-elect of the Senate. Any member of the faculty eligible for membership in the Senate may hold this office.

Six members shall be elected at large from those faculty members holding the rank of professor for the following academic year.

Six members shall be elected at large from those faculty members holding the rank of associate professor for the following academic year.

Six members shall be elected at large from those faculty members holding the rank of assistant professor or instructor for the following academic year. For all purposes of representation assistant professor and instructor are considered one rank.

B. Terms of Office

(The amended by the Academic Faculty Assembly on October 21, 2011; approved by the Board of Trustees on February 17, 2012.)

Senate elections will be held each year. The normal term of office for members of the Senate shall be three years. Following election, the Vice Chair/Chair-elect will serve in that office for a term of two years, followed by a two-year term as Chair (for a total of four years). If an elected Vice Chair/Chair-elect is not available to succeed to the office of Chair, an election at large will be held to fill both the office of Vice Chair/Chair-elect and the office of Chair.

At the conclusion of a regular three-year term on the Senate, or at the conclusion of any consecutive terms which extend longer than two years, a member is ineligible for re-election for one year. Neither may the Chair succeed to a second term without an interval of at least one year. However, a currently sitting member of the Senate may, in any year of the term, be a candidate for the office of Vice Chair/Chair-elect. Consequently, that member could serve as many as seven consecutive years on the Senate.
C. **Nomination**

(Amended by the Academic Faculty Assembly on September 23, 1996; approved by the Board of Trustees on October 4, 1996; amended by the Academic Faculty Assembly on October 21, 2011; approved by the Board of Trustees on February 17, 2012.)

Immediately after the annual announcement of promotion and tenure decisions, the Faculty Senate shall distribute lists of the Academic Faculty members who are eligible to hold membership in the Senate. Listing shall be by rank for the following academic year as supplied by the Office of the Vice President for Faculty and Student Affairs.

Nominations for filling vacancies in the Senate, other than that of the Vice Chair/Chair-elect, shall be by petition in writing and bearing signatures of two members of the Academic Faculty of the same rank as the nominee for the current academic year.

Nominations for the position of Vice Chair/Chair-elect of the Faculty Senate may be made by petition to the Senate in writing and bearing the signatures of two voting members of the Academic Faculty.

These signed petitions shall be in the hands of the Senate within two weeks following original distribution.

D. **Election**

(Amended by the Academic Faculty Assembly on September 23, 1996; approved by the Board of Trustees on October 4, 1996; amended by the Academic Faculty Assembly on October 21, 2011; approved by the Board of Trustees on February 17, 2012.)

By one week after receipt of the nominations, the Faculty Senate shall distribute ballots to members of the Academic Faculty. The ballot shall bear the names of all the nominees, categorized by rank. Each Academic Faculty member may vote for a number of nominees within each rank equaling the number of vacancies in each rank. When within any single rank terms of different length are being filled, the nominees for all vacancies within the rank shall be listed together on a single slate, and the terms awarded according to the order of total votes received.

Elections shall be by plurality, except in the case of the Vice Chair/Chair-elect. If a tie should occur, the Senate shall conduct a runoff election. If a second tie should occur, the Senate shall determine the outcome by lot. To be valid, ballots must be returned to the Senate not later than four class meeting days following distribution. Ballots shall be counted and results posted immediately after the elections.

Election of the Vice Chair/Chair-elect shall be by majority. If no candidate receives a majority on the first ballot, the Senate shall conduct a runoff election with the names of the leading candidates
whose combined votes constitute a majority of the votes cast. This process shall be repeated, if necessary, until one candidate has received a majority of the votes cast.

Newly elected Senators shall assume their duties at the first Senate meeting after completed elections and before Spring Break, replacing members whose terms have just expired.

E. Vacancies of Unexpired Terms

Vacancies of unexpired terms on the Faculty Senate shall be filled by the Senate. A person named to fill a vacancy shall have the same rank as the member being replaced, and shall serve until the next stated election, when the unexpired term, if any, shall be filled by the regular nomination and election procedure.

F. Change in Rank

In the event that a member of the Faculty Senate changes rank before the expiration of the term of membership, that Senator shall complete the unexpired term at the new rank. Adjustments in the Senate membership necessary to comply with the proper distribution by rank shall be made, to the extent possible, as vacancies are filled at the time of the next regular election.

G. Duties

1. The Faculty Senate shall represent the Academic Faculty of Trinity University in all matters of professional concern and work with the Administration in the formulation, interpretation, and implementation of general University policy.

2. The Faculty Senate shall recommend standards for academic freedom, responsibility, employment, tenure, due process, rank, and promotion for members of the Academic Faculty.

3. The Faculty Senate may consider any communications brought to it by committees, constituent groups, or individuals within the University.

4. The Faculty Senate shall have general responsibility for recommendations concerning the committee structure of the University.

   a. The Senate will receive and may at its discretion consider reports from standing and ad hoc committees of the University.
b. The Senate may recommend to the President of the University the creation, the elimination or the combination of committees, or a change in their responsibilities or composition.

c. The Senate shall make recommendations concerning the appropriate category and consequent mode of selection of faculty representation for all permanent standing committees of the University.

5. The Faculty Senate shall have general responsibility for executing or facilitating the responsibility of the Academic Faculty with regard to representation of the Academic Faculty as a constituent group.

a. The Senate shall supervise the annual nominations and elections of its own membership, of the Investigating and Hearing Committees, and of any other offices within the governance structure of the University which require representation elected by the Academic Faculty.

b. The Senate shall appoint faculty members to any body which requires representation selected by the Academic Faculty.

c. Where appropriate the Senate shall recommend the names of faculty members to fill places in other bodies whose membership is to be appointed by the Administration or by student governance organizations.

d. In the event that a faculty member serving in any position elected by the Academic Faculty at large or appointed by the Senate shall be unable to continue his or her duties, the Senate will appoint a replacement to serve until the next election of members of that committee or governing body. If the faculty member is to be absent on leave for not more than one year during the course of a term extending beyond his or her expected return, he or she may, instead of resigning, request to be temporarily replaced without vacating the term. The Senate will appoint the temporary replacement, who will have full membership rights for the period of the leave. Permanent or temporary replacement members appointed under either of these provisions shall meet whatever formal qualifications were met by the member being replaced.

e. Nothing in this or the preceding paragraphs shall be construed to prohibit the establishment and appointment of committees responsible for specific elements of academic program, either by the Administration or by the curricular governance councils. However, the Senate may make recommendations concerning the structure or the concerns of such committees or councils. In the case of administrative establishment of and appointment of faculty to such committees, Senate nominations or approval should be
sought insofar as the Academic Faculty as a constituent group rather than specific academic programs or narrowly defined functional expertise is the basis for representation.

6. The Faculty Senate shall be responsible for directing to the appropriate committee and for maintaining general supervision of the procedures in any cases in which Academic Faculty members contest decisions concerning matters of tenure, academic freedom, due process, and conditions of employment after normal administrative channels of appeal, as described in the *Trinity University Policy Statement on Academic Freedom, Responsibility, and Employment of Faculty (Chapter 3A)*, have been exhausted.

a. The Senate shall be responsible for the establishment each year of two standing committees to deal with matters relating to academic freedom, tenure, due process, and conditions of employment of members of the Academic Faculty. One of these shall be the Investigating Committee, responsible for initial investigations. The second, a Hearing Committee, shall be responsible for formal hearings on matters of academic freedom, tenure, due process, and conditions of employment recommended for a hearing by the Investigating Committee and referred to the Hearing Committee by the Senate. The Investigating Committee shall consist of three members and three alternate members to serve in case of vacancy or challenge during the process of an investigation. The Hearing Committee shall consist of five members and five alternate members to serve in case of vacancy or challenge during the process of a hearing.

b. Members of the Investigating and Hearing Committees shall be elected in time for report at the last Faculty Assembly of the academic year, and shall ordinarily serve three-year terms. At the time of the first election following the ratification of this Article, the Investigating Committee shall be divided by lot into three classes: one member to serve one year, one to serve two years and one to serve three years. The Hearing Committee shall also be divided by lot into three classes: two members to serve one year, two to serve two years, and one to serve three years. All Academic Faculty members who are completing one academic year at Trinity University will be eligible to vote in the election of these committees. The Faculty will be advised by a committee of the Senate of the responsibilities of each committee, and will be provided with ballots listing all eligible faculty members. Those members of the Academic Faculty, excluding members of the Senate, members of the Commission on Promotion and Tenure, and members holding administrative positions above the rank of departmental Chair, who are completing at least two years at Trinity University will be eligible for membership on these committees. Members of the Investigat-
CHAPTER 2. FACULTY GOVERNANCE STRUCTURE

The duties and Hearing Committees should have the qualifications of competence to render unbiased opinions, objectivity in weighing evidence, and independence of pressures from colleagues or administrators, and in support of these qualifications it is advisable that they have tenure.

c. Each eligible voter shall cast one vote for each vacancy in each committee election. According to the number of places open in a given year, the candidates who receive the highest number of votes shall be considered elected to the respective committee. Candidates not elected will serve as alternates, in order of their number of votes, if and when needed. Ties will be settled by lot. Those members of the faculty who are elected as members or alternates on one of these committees shall be ineligible to serve on the other committee during their terms of service. Terms of service for alternates shall be one year. All terms of service shall begin and end at the beginning of the following fall semester.

7. The Faculty Senate by a two-thirds vote of its membership may call meetings of the Academic Faculty to seek advice and counsel on matters of faculty concern. The call of the meeting should include the general purpose for which the meeting is called. The Senate may also, for the purpose of seeking advice and counsel, call caucuses of the faculty grouped either by rank or in units corresponding to academic organization. The Chair of the Faculty Senate shall preside at these called meetings.

8. The Faculty Senate may establish whatever bylaws and standing or ad hoc committees it deems necessary to fulfill its responsibilities.

9. The Faculty Senate shall distribute its approved minutes to the Academic Faculty.

ARTICLE V: THE COMMISSION ON PROMOTION AND TENURE

(Amended by the Academic Faculty Assembly on March 20, 2009)

A. Duties

1. The Commission on Promotion and Tenure shall have both an evaluation role and an oversight role. The primary oversight function is that the Commission will participate, jointly with the Administration, in the review of departmental and library promotion and tenure criteria and procedures.
2. The Commission on Promotion and Tenure shall review every candidate for promotion and/or tenure and make a recommendation to the President of the University. In making its review and formulating its recommendations, the Commission shall have as its primary concern the maintenance of fair and objective standards for peer-review decisions across the University.

3. The Commission on Promotion and Tenure shall hold an open meeting late in the spring semester of each academic year for the purpose of reviewing promotion and tenure policies and procedures, as well as reviewing the nature and extent of the documentation to be submitted.

4. The Commission on Promotion and Tenure shall present an annual report to the President of the University and to the Faculty Senate representing its periodic review of policies and procedures for promotion and tenure, and suggesting to the Senate any changes it may deem necessary in the *Constitution* and/or the *Policy Statements*. At the same time the Commission shall also report the results of its scheduled reviews of departmental and library criteria, undertaken jointly by the Commission and the Vice President for Faculty and Student Affairs/Vice President for Information Resources.

**B. Composition**

(Article B amended by the Academic Faculty Assembly on December 6, 2002, and approved by the Board of Trustees on January 27, 2003)

1. The voting members shall be seven tenured members of the Academic Faculty who hold the rank of Associate Professor or Professor. Each one of the following disciplinary groups shall elect to the Commission one of its own members:

   - Group 1: Classical Studies, History, Modern Languages and Literatures
   - Group 2: English, Philosophy, Religion
   - Group 3: Art and Art History, Communication, Human Communication and Theatre, Library, Music
   - Group 4: Biology, Chemistry, Geosciences, Physics and Astronomy
   - Group 5: Computer Science, Engineering, Mathematics
   - Group 6: Education, Political Science, Psychology, Sociology and Anthropology
   - Group 7: Accounting, Business Administration, Finance and Decision Sciences, Economics, Health Care Administration

2. The non-voting Chair will be either the Vice President for Faculty and Student Affairs (VPFSA) or the Vice President for Information Resources (VPIR), serving *ex officio*. The VPIR shall serve as Chair for all deliberations regarding candidates
who are members of the Library Faculty. The VPFSA shall serve as Chair for all deliberations regarding candidates from all other areas of the Academic Faculty.

3. With the exception of the VPFSA and the VPIR, Academic Faculty members who hold administrative positions above the rank of Chair shall not be eligible to serve on the Commission.

C. Nominations and Elections

(Article C amended by the Faculty April 3, 1992; amended by the Faculty March 30, 2001, amended by the Faculty April, 19, 2002)

1. When places on the Commission need to be filled, the Faculty Senate shall call for nominations after February 15 in the spring semester of the year preceding the commencement of the term.

2. Nominations shall be by petition to the Senate in writing and bearing the signatures of two members of the Academic Faculty who belong to the relevant disciplinary group. Each member of the Faculty shall nominate no more than one candidate.

3. Faculty members who have been granted a leave during the academic year following the election shall be ineligible for nomination to the Commission until the leave is completed. Faculty members who anticipate a leave occurring during the term of service are requested to consider postponing their nomination until after the leave is completed.

4. The Faculty Senate shall distribute ballots to Academic Faculty members in the relevant disciplinary group within one week after the close of the nomination process. Election shall be by majority of the total ballots received. If no candidate receives a majority on the first ballot, the Senate shall conduct a runoff election with the names of the leading candidates whose combined votes constitute a majority of the ballots cast. This process shall be repeated if necessary, or in case of a tie. If the second runoff does not produce a candidate with a majority of the votes, the Senate shall determine the outcome by plurality, or in case of a tie, the outcome shall be decided by lot.

5. Only Academic Faculty members who have completed one academic year at Trinity University shall be eligible to vote in the election of Commission members.

6. All elections will be completed in time for report at the last Faculty Assembly of the academic year. The terms commence at the beginning of the fall semester.

7. When a vacancy occurs outside the normal schedule of nominations and elections (for instance, when a member of the Commission resigns during the Fall semester),
the Faculty Senate, in consultation with the department chairs within the relevant disciplinary group, will appoint an eligible Academic Faculty member from that group to serve on the Commission until the vacancy can be filled by election in the Spring semester.

D. Terms of Office

(Amended by the Faculty September 21, 2000 and approved by the Board of Trustees October 14, 2000. Amended by the Faculty December 12, 2003 and approved by the Board of Trustees January 16, 2004)

The normal term of office on the Commission shall be three years. At the time of the initial organization of the Commission, the members shall be divided by lot into three classes: three with three-year terms, two with two-year terms, and two with one-year terms. Thereafter, each member shall be replaced after expiration of his or her term in the manner of election described above. After serving a regular, three-year term, a member shall be ineligible for reelection for one year.

E. Mandatory Resignation

Any member of the Commission who is to be reviewed for promotion during the current year must resign from the Commission by the first meeting of the Academic Faculty in the fall semester. The remainder of the unexpired term will be filled by the Faculty Senate or disciplinary group as appropriate.

F. Disqualification

(Amended by the Faculty September 21, 2000 and approved by the Board of Trustees October 14, 2000)

A member of the Commission shall be disqualified from participating in decisions concerning:

1. Promotion or tenure of a member of his/her own department; 2. Promotion or tenure of a spouse or other relative.

Should a member of the Commission be disqualified under either of these conditions from participating in a decision, a member of the alternate pool shall be chosen by the Faculty Senate to participate in the decision that brought about the disqualification.

G. Rules for Senate Appointments of Alternate Members

(Amended by the Faculty on December 12, 2003, and approved by the Board of Trustees at their January 16, 2004 meeting)
CHAPTER 2. FACULTY GOVERNANCE STRUCTURE

When it falls upon the Faculty Senate to appoint alternate members of the Commission, that is, in cases of unexpired terms of members who are disqualified from participating in a particular decision of the Commission because the decision concerns a spouse, relative or departmental colleague, then the Senate shall observe the following guidelines:

a) Alternates must have served previously on the Commission.

b) An alternate should not be selected from a department already represented on the Commission.

c) If alternates are required for two or more cases in the same department, whenever possible one person should be appointed for all cases.

d) Selection preference whenever possible will be given to the former commissioner in the target disciplinary group who has most recently served on the Commission. If this individual refuses the appointment, the Senate will then consider the next most recent commissioner from the target disciplinary group until a willing individual is found. If no such alternate is available from the target disciplinary group, then preference will be given to the next most recent commissioner belonging to the same set of allied disciplinary groups as the target group. The allied sets consist of groups 1, 2, 3; groups 4, 5; and groups 6, 7.

Allied groups as currently constituted are:

- Group 1: Classical Studies, History, Modern Languages and Literatures
- Group 2: English, Philosophy, Religion
- Group 3: Art and Art History, Communication, Library, Music, Speech and Drama
- Group 4: Biology, Chemistry, Geosciences, Physics and Astronomy
- Group 5: Computer Science, Engineering, Mathematics
- Group 6: Education, Political Science, Psychology, Sociology and Anthropology
- Group 7: Accounting, Business Administration, Finance and Decision Sciences, Economics, Health Care Administration

If still no alternate is available, the choice shall be made by lot from the list of former commissioners.

H. Abstention and Required Majority

(Added by the Faculty September 21, 2000 and approved by the Board of Trustees October 14, 2000.)

Abstentions shall count as negative votes, and a clear majority of positive votes (i.e., four votes) shall be necessary to carry a recommendation for tenure and/or promotion.
I. Confidentiality

(Amended by the Faculty March 31, 1995 and approved by the Board of Trustees April 27, 1995.)

The confidentiality of all evaluations, discussions, and recommendations shall be strictly maintained by members of the Commission on Promotion and Tenure.

ARTICLE VI: IMPLEMENTATION AND AMENDMENT

A. Implementation

This *Constitution* shall go into effect when approved by a two-thirds majority of those present and voting at a properly constituted meeting of the Academic Faculty Assembly, and after ratification by the Board of Trustees.

B. Amendment

Proposed amendments to this *Constitution* shall be circulated in writing to the Academic Faculty at least fourteen (14) days prior to the stated meeting of the Academic Faculty Assembly at which they will be considered. They shall become effective if passed by a two-thirds majority of those present and voting at that meeting, and subsequently ratified by the Board of Trustees.
(2B) UNIVERSITY CURRICULUM COUNCIL BYLAWS

(Approved by the Academic Faculty, April 29, 1991)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

ARTICLE I: AUTHORITY

The University Curriculum Council [is] the agency of the Faculty exercising the Faculty’s authority and responsibility in the area of curriculum and academic policy. Actions of the Council will be subject to approval by the Academic Faculty and, where appropriate, by the Board of Trustees. (Quoted from the Constitution of the Faculty Organization (Chapter 2A), Article III.A.)

ARTICLE II: MEMBERSHIP

A. Constitutional Provision

The basis for membership of the University Curriculum Council will be determined by act of the Academic Faculty Assembly, although proposals may originate from the University Curriculum Council, the Faculty Senate, or the Administration. If persons other than members of the Academic Faculty are to be included as members of the Council, the overall basis for membership will be subject to approval by the President. (Quoted from the Constitution of the Faculty Organization (Chapter 2A), Article III.B.)

B. Composition and Election According to Act of Academic Faculty Assembly

Article II.B was adopted by the Academic Faculty March 6, 1991 in accordance with Article II.A: Constitutional Provision (above).

1. Composition

The University Curriculum Council consists of eleven voting and four non-voting members. Of the voting members, nine are representatives of the faculty with seven elected from the seven groups listed below (one from each group) and two elected at large; one is a member of the Association of Student Representatives; and one is from the office of the Vice President for Faculty and Student Affairs.
Group 1: History, Classical Studies, Modern Languages and Literatures

Group 2: English, Philosophy, Religion

Group 3: Art/Art History, Communication, Human Communication and Theatre, Music

Group 4: Biology, Chemistry, Geosciences, Physics and Astronomy

Group 5: Computer Science, Engineering, Mathematics

Group 6: Education, Political Science, Psychology, Sociology and Anthropology

Group 7: Accounting, Business Administration, Finance and Decision Sciences, Economics, Health Care Administration

The four non-voting members are a secretary appointed by the Vice President for Faculty and Student Affairs, the Registrar, a representative from the Library, and a student alternate appointed by the Association of Student Representatives. The student alternate shall vote in the absence of the voting student member.

None of the nine faculty representatives on the Council shall hold an administrative position above that of departmental Chair. No faculty member is eligible to serve on the Council until he or she has completed three full years of service in a tenure-track or tenured position at Trinity University. No more than one member of a department shall serve on the Council at the same time. The two faculty members who are elected at large shall hold the rank of Professor by the beginning of their terms.

2. Election and Terms of Service

The term of faculty membership is three years. At the conclusion of a three-year term, a member is ineligible for reelection to the University Curriculum Council for one year. Faculty who have been granted a leave during the academic year following the election shall be ineligible for nomination to the University Curriculum Council until the leave is completed. Faculty who anticipate a leave occurring during the term of service on this council are requested to consider postponing their nomination until after the leave is completed.

The faculty representative for each departmental group is elected by the Academic Faculty members of that departmental group. The at-large faculty representatives are elected by the entire Academic Faculty. Elections will be on a staggered basis in order to retain continuity of the Council. The Executive Committee of the University Curriculum Council conducts the election of Council members.

After February 15, the Executive Committee shall call for nominations to fill the vacancies on the University Curriculum Council. Nominations shall be by petition to
the Committee in writing and bearing the signatures of two members of the Academic Faculty. Each member of the Faculty may nominate only one candidate for each of the vacancies.

The Executive Committee shall distribute ballots to members of the Academic Faculty within one week after receiving the nominations. Each Academic Faculty member may vote once for each full term vacancy. Election shall be by majority of the total ballots received. If no candidate receives a majority on the first ballot, the Committee shall conduct a runoff election with the names of the leading candidates whose combined votes constitute a majority of the ballots cast. This process shall be repeated if necessary, or in case of a tie. If the second runoff does not produce a candidate with a majority of the votes, the Committee shall determine the outcome by plurality, or in case of a tie, the outcome shall be decided by lot.

Should an election be necessary to fill replacement positions of shorter than a full term, these elections will occur after the full term elections have been completed. These procedures will occur in a fashion similar to the full term elections but shall include only one runoff. Candidates nominated for full terms may choose to enter these elections without repeating the nomination process. Vacancies of equal term length will appear on the same ballot. Vacancies of unequal term will be filled by consecutive elections, occurring in decreasing order of term length.

The departmental group elections will occur after the at-large elections have been completed. All elections will be completed in time for report at the last Faculty Assembly of the academic year. The terms commence at the conclusion of the spring semester.

C. Resignations and Replacements

A faculty member who wishes to resign from the University Curriculum Council will submit a letter of resignation to the Chair of the Council. The Executive Committee will immediately conduct an election to fill the unexpired term at the earliest possible date. The same replacement procedure will apply in the event of vacancies caused by death or departure from the university. A faculty member may withdraw from the Council during a period of leave or temporary disability without forfeiting the position. A temporary replacement will be selected by the Executive Committee in such cases.

D. Organization of the Council

The Chair and the Vice Chair will be elected from the faculty membership of the University Curriculum Council. The Vice Chair will be elected each year from the first or second year faculty
members and will succeed to the Chair in the following year. Should it happen that the Vice Chair becomes unavailable to succeed the Chair in the following year, the Council may elect any one of its faculty members to the Chair at the same time that it elects a new Vice Chair. No one may serve as Chair for more than one year during a single term of membership on the Council.

1. **The Chair**, in consultation with the Vice Chair and the Secretary, sets the agenda for council meetings. The Chair calls and conducts the Council’s meetings, and normally presents the recommendations of the Council to the Academic Faculty Assembly.

2. **The Vice Chair** performs the functions of the Chair in the latter’s absence.

3. **The Secretary**, who is assigned to the Council by the Vice President for Faculty and Student Affairs, performs such duties as the following in accordance with instructions from the Chair: receives proposals from the Faculty, issues the agenda and other notices before meetings of the Council, prepares and circulates the Consent and Discussion agendas and related documentation to the Academic Faculty before meetings of the Academic Faculty Assembly, records the minutes of Council meetings and circulates them to the Academic Faculty, and maintains the Council’s files.

4. The **Executive Committee** is composed of the Chair, Vice Chair and Secretary.

E. Committees

The University Curriculum Council may establish such committees and task forces as its responsibilities and needs may dictate. The Council may appoint members of the Academic Faculty to these groups. It may also request the Association of Student Representatives and the Administration to appoint members when the Council deems this appropriate.

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**ARTICLE III: MEETINGS**

A. **Schedule**

The University Curriculum Council sets its own meeting schedule.

B. **Quorum**

Seven voting members of the University Curriculum Council (including the student alternate if the voting student member is not present) constitute a quorum.
C. **Docket and Disposition of Business**

1. **Types of Business**

   a. **Proposals initiated by the University Curriculum Council.** The Council may initiate, discuss and bring to the Faculty for adoption proposals on any matters within its area of competence.

   b. **Curriculum proposals.** Any department, or program, may bring business before the University Curriculum Council. Proposals relating to courses, departments, and programs will first be endorsed by the appropriate departmental group. However, the Council may review proposals not endorsed by a departmental group when asked to do so by a member of the faculty as a matter of appeal. Proposals having a substantive impact on more than one departmental group should be reviewed by all the relevant departments.

   c. **Common Curriculum requirements and University degree requirements.** Proposals regarding general University degree requirements including the Common Curriculum may be brought to the Council by any member of the Academic Faculty or by the Administration.

   d. **Academic policy proposals.** Matters of policy relating to curriculum may be brought to the Council by any member of the Academic Faculty or by the Administration.

2. **Disposition of Business**

   a. No fewer than seven days before each meeting of the Council, the Secretary will circulate to the Academic Faculty an agenda showing the time and place of the meeting and a list of the specific items of business to be brought before the Council. A copy of the documentation provided for members of the University Curriculum Council will be placed on reserve in the library.

   b. Although all business brought to the Council must be in writing, the originating person, department, or program, may ask for time to present the proposal orally.

   c. Upon deliberation, the Council may dispose of a proposal in various ways, including the following:

   1. The Council may approve a proposal and recommend it to the Academic Faculty on either the consent agenda or the discussion agenda.

   2. The Council may defer a proposal pending further study by the members, or refer it to a committee or task force for further study and rec-
ommendations.

3. The Council may remand a proposal to the originating person or body with suggestions, questions, or recommendations for possible re-submission.

4. The Council may reject a proposal. In this case, the originating person or body may exercise the right of appeal by taking the proposition directly to the floor of the Academic Faculty Assembly, using established procedures for placing matters on the Assembly agenda.

3. Executive Session

The Council by two-thirds vote may decide to go into Executive Session.

4. Participation of Nonmembers

In addition to the provisions regarding opportunity to present their case for sponsors of proposals and for departments affected by substantive proposals of a type likely to go on the Discussion Agenda, the Council by majority vote or consent may invite or permit nonmembers to address the Council. Invitation of specific persons may also be applied to the whole or to a limited part of an executive session.

5. Reporting to the Faculty

After each meeting of the University Curriculum Council the Secretary will circulate to the Academic Faculty a list of the propositions to be approved by consent (cf. Article IV.A: The Consent Agenda) or to appear on the agenda of a meeting of the Academic Faculty Assembly (cf. Article IV.B: The Discussion Agenda). The Secretary will send one copy of the documentation for both the consent and discussion agendas to all departmental Chairs, and program Chairs, to the President, and to the Association of Student Representatives. Such documentation will be available to interested students and faculty. For proposals on the Discussion Agenda either the complete documentation or an abbreviated form of it prepared by the Council will also be circulated to all members of the Academic Faculty.

Ordinarily the consent and discussion agendas will be circulated along with the minutes of the meeting at which the action was taken. However, consent or discussion agenda items may be submitted to the Academic Faculty immediately following action by the Council when the Council deems such submission desirable. Documentation will be distributed as described above.

A minimum of twenty-one days must elapse between distribution of the proposals and documentation to the Academic Faculty and the meeting at which they are to be discussed. Amendments to such proposals should be circulated in writing at least seven days prior to the meeting. Other amendments or substitute motions to a circulated pro-
posals will be in order if their effect is to lessen the degree of change from the present status as compared with the effect of the circulated proposal. Amendments to a previously circulated amendment will be in order if their effect is to lessen the degree of change from the original proposal as compared with the effect of the circulated amendment. (Article III.C.5: Reporting to the Faculty is based on and in large part quoted from Article II.D.3 of the Constitution of the Faculty Organization [Chapter 2A].)

ARTICLE IV: CONSENT AND DISCUSSION AGENDAS

The Academic Faculty must approve all proposals from the University Curriculum Council concerning curriculum and curricular policy. These proposals will be presented to the faculty in the form of a consent agenda or a discussion agenda item. Items on the Consent Agenda, if not challenged within fifteen days, will stand approved. If any item on a consent agenda should be challenged by any member of the faculty, then this item will be transferred to the Discussion Agenda. Items on the Discussion Agenda will be presented to the faculty as motions from the Council for deliberation and vote at a meeting of the Academic Faculty Assembly.

A. The Consent Agenda

The Consent Agenda is intended for items of the following kind:

1. Course additions, changes and deletions;
2. Course changes in the Common Curriculum;
3. Changes in major requirements;
4. Other minor program changes that do not significantly affect the requirements for graduation;
5. Amendments to the University Curriculum Council Bylaws other than proposals affecting the basis of membership or other constitutional provisions.

B. The Discussion Agenda

The Discussion Agenda is intended for items of a substantial curricular nature, such as the following:

1. Changes in academic policy;
2. Changes in University requirements, such as graduation or Common Curriculum requirements;
3. Amendments to grading policies or course scheduling;
4. Addition and deletion of degree programs.

ARTICLE V: EFFECTIVE DATES OF COUNCIL AND FACULTY ACTIONS

An action involving an addition, deletion, or change in title of a major or degree becomes effective with the academic year of the bulletin in which the change is first published. An action involving a change in degree requirements becomes effective permissively in the semester following the one in which the action is approved by the Council and the Academic Faculty and becomes mandatory for students entering under the first bulletin in which the changed requirements are published. Unless otherwise specified in the action, curriculum changes are effective the semester following approval and other actions are effective immediately upon approval.

ARTICLE VI: UNIVERSITY CURRICULUM COUNCIL STANDING COMMITTEES

A. Commission on Graduate Studies

1. Authority and Responsibility

By way of implementing its constitutionally delegated authority and responsibility for curriculum and academic policy, the University Curriculum Council establishes the Commission on Graduate Studies and delegates to it authority and responsibility for graduate studies. The authority and responsibility of the Commission shall be exercised in three areas: (1) areas where the Commission acts independently of the Council, (2) areas where the Commission reports its actions to the Council as information, and (3) areas where the Commission recommends actions to the Council.

   a. In the area of exceptions to policy for graduate students and in any other areas that may be agreed upon by the Council, and the Commission, and the Academic Faculty Assembly, the Commission shall act independently of the Council and need not report its actions to the Council.

   b. In the area of administrative policy relating exclusively to graduate studies, the Commission shall submit its recommendations directly to the Vice
President for Faculty and Student Affairs, the Associate Vice President for Academic Affairs: Student Academic Issues, and/or other administrative officers of the University, reporting such recommendations to the Council as information.

c. In the area of academic policy relating exclusively to graduate studies and in the area of exclusively graduate courses, requirements, and programs, the actions of the Commission shall be reported to the Council. The Council will forward such actions to the Academic Faculty on the Discussion or Consent Agenda as appropriate, and may at its discretion attach its own evaluation or recommendation.

d. In the area of academic policy involving both graduate and undergraduate studies and in the area of courses, requirements, and programs involving both graduate and undergraduate studies, advice of the Commission will be sought prior to formal action by the Council.

2. Procedures

The Commission shall establish its own standing rules and procedures and shall elect its own officers.

3. Membership

The membership of the Commission shall consist of one faculty member elected by each academic department or program offering a graduate degree, two graduate students (one voting member and one alternate) selected by the Graduate Student Association, the Registrar or his/her representative, and the Vice President for Faculty and Student Affairs or his/her representative. Members shall be selected in April/May and shall serve one-year terms commencing June 1.

4. Approval of Actions

Actions of the Commission on Graduate Studies in the areas of academic policy and curriculum shall be subject to approval by the Academic Faculty Assembly in the same manner and according to the same principles distinguishing the Consent Agenda and Discussion Agenda as actions of the University Curriculum Council.

B. First Year Seminar Steering Committee

(Amended September 11, 1992)

1. The First Year Seminar Steering Committee is established by and responsible to the University Curriculum Council. It is responsible for the coordination, evaluation
and oversight of the First Year Seminar. The Steering Committee will carry out the functions of a department, insofar as appropriate, in the administration of the Seminar. In its oversight role, the Steering Committee will bring recommendations for improvements in curriculum and policy to the Council.

Specific responsibilities of the Steering Committee include, but are not limited to, the following:

- Organizing and coordinating the Seminar.
- Assisting in the recruitment of Seminar faculty and peer tutors.
- Organizing meetings of Seminar faculty and peer tutors, workshops for faculty, and an orientation program for peer tutors.
- Reviewing proposed syllabi for the Seminars, discussing them with instructors as necessary, and maintaining a file of syllabi actually used in the Seminar.
- Upholding the criteria for the Seminars as established by the Faculty.
- Conducting evaluations of the individual Seminars, using a supplementary evaluation form distinct from the standard University course evaluation.
- Serving in the role of the department when students appeal grades according to established University procedures.
- Reviewing the operation of the Seminar and forwarding recommendations regarding content or policies to the Council for consideration.

2. Membership

The membership of the Steering Committee shall consist of six members of the Seminar faculty elected by the Seminar faculty, one student with First Year Seminar peer tutor experience selected by the Association of Student Representatives, and one administrator from the Office of Academic Affairs. Faculty members shall serve two-year terms with three members retiring each year (one from each disciplinary group). Faculty positions shall be filled by election during the spring or summer of each year; those eligible to vote are Seminar instructors for the coming academic year. The student member shall serve for a one-year term and shall be selected during the spring semester. All terms of office begin at the beginning of the fall semester.

3. Procedures

The Committee shall elect its own officers and shall establish its own standing rules and procedures.
4. **Reporting to the University Curriculum Council**

   a. The Steering Committee will report to the Council on a regular periodic basis regarding the quality and operation of the Seminar.

   b. The Steering Committee shall forward to the Council any recommendations it may have regarding changes in the content or requirements of the Seminar or the principal policies governing its operations. As with all business brought to it, the Council will determine what recommendations, if any, it will make to the faculty.

C. **Committee for the Assessment of the Common Curriculum**

1. The Committee for the Assessment of the Common Curriculum is established by and responsible to the University Curriculum Council. It is responsible for the creation of procedures for and coordination of the ongoing assessment of the Common Curriculum.

2. **Membership**

   The membership of the Committee shall consist of six members to include one current member of the University Curriculum Council, one student selected by the Association of Student Representatives, three faculty members, and one administrator from the Office of Academic Affairs. Members will serve for three years and will be appointed by the UCC on a staggered basis in order to retain continuity on the Committee.

3. **Procedures**

   The Committee shall elect its own officers and shall establish its own standing rules and procedures.

4. **Reporting to the University Curriculum Council**

   The Committee will report to the Council on a regular basis regarding the assessment of the Common Curriculum and shall forward to the Council any recommendations it may have regarding changes in the content or requirements of the Curriculum or the principle policies governing it. As with all business brought to it, the Council will determine what recommendations, if any, will be recommended to the faculty for its consideration.

D. **Interdisciplinary Second Major Committee**

1. **Authority and Responsibility**
a. The Interdisciplinary Second Major Committee is established by and responsible to the University Curriculum Council. It is responsible for the coordination, evaluation, and oversight of the Interdisciplinary Second Major. The Committee will carry out the functions of a department, insofar as they are appropriate, in the administration of the major. In its oversight role, the Committee will bring recommendations to the University Curriculum Council regarding changes in requirements for the major and policies governing the Committee.

b. The general purpose of the Committee is to assist students who wish to declare an Interdisciplinary Second Major and faculty involved in such a major, and to insure the quality of such majors.

2. Membership

a. The Committee will consist of (i) five faculty members who generally represent the arts, humanities, social sciences, natural and mathematical sciences, and professional programs, and (ii) two non-voting members: an Associate Vice President of Academic Affairs and a student.

b. Faculty members will be appointed by the University Curriculum Council, and will serve for three years. Their terms will be staggered for the purpose of continuous operation. The Associate Vice President will be appointed by the Office of Academic Affairs. The student member will be appointed by the Association of Student Representatives.

c. The Committee will elect one of its members chair.

3. Procedures

a. The Committee shall establish its own standing rules and procedures.

b. The Committee shall consider any student proposal for an interdisciplinary second major.

c. Upon approval, the Committee shall recommend a student’s proposal to the University Curriculum Council for approval, providing the proposal meets the requirements set out in the Courses of Study Bulletin.

4. Reporting to the University Curriculum Council

a. The Committee will report to the Council on a regular basis regarding (i) its operations, (ii) the employment of the Interdisciplinary Second Major by students, and (iii) the completion of Interdisciplinary Second Majors.

b. The Committee will forward to the Council any recommendations it has
CHAPTER 2. FACULTY GOVERNANCE STRUCTURE

regarding (i) changes in the requirements for the major or (ii) the principal policies governing the Committee’s operations.

c. The Committee will make recommendations to the Council for approval of student proposals for Interdisciplinary Second Majors.

ARTICLE VII: ADJUNCT BODIES

Certain other standing committees of the University with responsibility for academic programs, activities, or requirements are established by and report to the Vice President for Faculty and Student Affairs. Insofar as their actions or recommendations affect matters of policy or requirements for which the University Curriculum Council has responsibility, their actions and recommendations should be submitted to the Council for approval. These committees include the Council on Teacher Education, the Committee on Academic Standing, committees for area studies and interdisciplinary studies programs, the Committee on Study Abroad, the Health Professions Advisory Committee, and the Prelaw Advisory Committee.

ARTICLE VIII: PROCEDURES

Robert’s Rules of Order (latest edition) will be used for all matters not covered in the Bylaws. The University Curriculum Council meetings, except those of Executive Session, are open to all Trinity University faculty, students, and administrators.

ARTICLE IX: AMENDMENTS

With the exception of the provisions quoted from or otherwise controlled by the Constitution of the Faculty Organization (Chapter 2A), amendments to these Bylaws may be approved by a majority vote of the University Curriculum Council, provided that any proposed amendment has been distributed in writing to all members of the Council at least seven days prior to the meeting at which the proposed amendment is to be considered. Amendments approved by the Council shall be forwarded to the Academic Faculty, normally on the Consent Agenda. Any proposed change in conflict with provisions of the Faculty Constitution (Chapter 2A) must be accompanied or preceded by a proposed constitutional amendment submitted in accordance with the Constitution’s amendment procedures (Chapter 2A Article VI). The Council, the Faculty Senate, or any member of the
Academic Faculty may propose such amendments. Changes regarding the basis of membership must be submitted to the Academic Faculty Assembly in accordance with the constitutional provision (University Curriculum Council Bylaws Article II.A; Constitution of the Faculty Organization [Chapter 2A] Article III.B).
(2C) UNIVERSITY CURRICULUM COUNCIL STANDARD OPERATING PROCEDURES

(Approved by the University Curriculum Council May 2, 1996)
(Revised February 14, 2003)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

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I. PROCEDURES AFFECTING SUBMISSIONS TO THE UCC

A. Submissions to the UCC should include the Course Approval Form and, if applicable, the Common Curriculum Course Proposal Forms. Both are readily available from the Office of Academic Affairs and from the Trinity University Academic Affairs Web page. Please insure that they are completely filled out. Incomplete proposals may be returned. Chairs must contact appropriate departments for feedback and endorsement prior to submitting documents to the UCC for consideration.

B. If a change in a program or in an individual course affects other programs, the proposing Department must consult the other programs, as explained in paragraph A above, before submitting the proposal to the Office of Academic Affairs for UCC consideration.

C. Proposers of all Discussion Agenda items must provide a brief rationale, suitable for circulation to the faculty, with the text of the proposal. The statement should concisely explain why Trinity University would benefit from the adoption of the proposal.

D. Proposers to the UCC are urged to have a representative at the UCC meeting when the items are discussed. The Council defers items for which additional information is needed. The circulation of the meeting agenda to the faculty serves as notice of the date and time at which the representative must appear.

E. Any proposed change in an interdisciplinary program must, before being submitted to the University Curriculum Council, be submitted to and endorsed by the Chair of the program and the Faculty Advisory Committee of that program. Note: This in no way negates the right of the University Curriculum Council to “review proposals not endorsed by a Faculty Advisory when asked to do so by a member of the faculty as a matter of appeal” (University Curriculum Council Bylaws [Chapter 2B] Article III.C.1.b).
II. POLICIES AFFECTING UCC OPERATIONS

A. The UCC normally meets on Fridays at 2:30 p.m. at two- or three-week intervals, as announced. Agenda items must be submitted to the Office of Academic Affairs two weeks prior to the scheduled meeting.

B. The Agenda-Setting Committee, which consists of the Chair and Vice-Chair of the UCC and an Associate Vice President for Academic Affairs, may meet during the week following the submission deadline. It will review the submitted business and establish an agenda for the next meeting. This agenda is circulated to the faculty at least one week before the meeting.

C. The Agenda-Setting Committee will provisionally indicate the status (Consent Agenda, Discussion Agenda, Non-Action Item) of each matter of business to come before the Council. Business will be reported to the faculty in the status designated by the Committee unless the Council, as part of its consideration of an item, votes to change the designation.

D. Members of the UCC are expected to raise for discussion any questions they may have about the proposals for new courses and for course changes. Unless such questions are raised, the UCC will proceed to a vote on these proposals without discussion.

E. Although members of the UCC may recommend changes in the form and language of a course title or description, this should rarely be necessary. Prior to action by the UCC, the Office of Academic Affairs shall provide editorial review of copy for the Courses of Study Bulletin to assure that the copy is clear and consistent with current bulletin style. The Office of Academic Affairs will also review all other aspects of bulletin copy to maintain accuracy and consistency as it pertains to the description of the University curriculum.

F. Discussion agenda items may be distributed to the faculty prior to the distribution and approval of UCC minutes covering the meeting when these items were discussed.

G. If a proposal is rejected by the Council or returned to the proposers because the Council needs more information to arrive at a recommendation to the faculty, the Chair will communicate with the proposers regarding the UCC’s concerns.

H. During the Spring semester, the UCC will request from all faculty the early submission of curriculum business. The intention of this notice is to encourage departments to begin work on curricular proposals prior to the start of the fall semester, thereby lessening the “catalogue crunch” in the fall.
III. STATEMENT REGARDING CURRICULAR PRIORITIES

(Approved by the University Curriculum Council February 21, 1997)
(Revised May 2, 2003)

Successful completion of the Common Curriculum is a graduation requirement for all undergraduate students at Trinity University. For this reason, the primary curricular responsibility of the University must be to provide, on a regular basis, certain course offerings in the Common Curriculum. The University also requires that all students complete a major in a particular department or program. This means that the University must also, on a regular basis, provide certain course offerings in the various major programs. In addition, students are offered the opportunity, but are not required, to complete a minor in a particular department or program. For the most part, however, courses that count toward a minor also count toward a major, and additional courses for the minor are thus not needed. Finally, students should have an opportunity to take courses that count toward neither the Common Curriculum, a major, nor a minor but are pure electives. It should be noted that courses that count toward the Common Curriculum, a major, or a minor for some students, however, generally serve as electives for others.

In light of the above, the curricular responsibilities of the University can be prioritized as follows:

A. The Common Curriculum

1. Specific Courses Required of All Students:
   a. First Year Seminar
   b. Writing Workshop

2. Other Courses That Satisfy Common Curriculum Requirements:
   a. “Skills” Courses
      1. Foreign Languages
      2. Computer Skills
      3. Fitness Education
   b. Courses in the Five Fundamental Understandings

B. The Majors (and Minors)

1. Courses Required for the Major (and Minor)

2. Other Courses That May Count Toward the Major (and Minor)

C. Pure Electives
In its curricular planning and development, as well as in its scheduling of course offerings for any given semester, it is important that each department in the University adhere to the above priorities (recognizing, to be sure, that specific responsibility for various parts of the Common Curriculum will differ somewhat from department to department).

In addition, it is clear that the creation, deletion, or substantive revision of individual courses may significantly affect a department’s fulfillment of its curricular responsibilities to the University. For this reason, the University Curriculum Council will require that a “curricular-impact” statement accompany any proposal to create, delete, or substantially revise a course. This statement should indicate how the proposed curricular change will affect the department’s ability to fulfill its curricular responsibilities, with particular reference to the Common Curriculum. If the proposed change is expected to have an adverse effect in this regard, the department should explain why, in its judgment, the change should nevertheless be approved.

IV. SUBSTANTIVe CHANGE PROCEDURE

The University Curriculum Council will notify the University’s Accreditation Liaison of any changes that the UCC deems to be substantive changes according to the Substantive Change Policy of the Southern Association of Colleges and Schools (SACS). The Accreditation Liaison will then proceed with the notification process as required by SACS.

A substantive change is a significant modification or expansion of the nature and scope of an accredited institution. The complete policy may be found here.

V. AMENDMENT PROCEDURE

These Standard Operating Procedures may be amended by a majority vote of the University Curriculum Council.
(2D) FACULTY SENATE BYLAWS

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

ARTICLE I: OFFICERS

A. Election

Officers shall consist of a Chair, a Vice Chair, and a Secretary. The Vice Chair/Chair-elect shall be elected for a term of two years followed by a two year term in the Chair position as provided for under Article IV of the Constitution of the Faculty Organization (Chapter 2A). The Secretary will serve a term of one year and will be elected by the Senate at the first meeting after the annual election of the senators. The outgoing Chair will preside until his/her successor is elected.

B. Duties of the Chair

1. To convene and preside over meetings of the Senate.

2. To prepare and distribute the call for agenda items and the agenda of meetings of the Senate.

3. To schedule any called meetings of the Senate.

4. To serve as ex officio member of all Senate committees.

5. To represent the Senate whenever such representation is called for.

C. Duties of the Vice Chair

1. To assume the duties of the Chair in the absence, or at the request of, the Chair. Should the office of Chair become vacant before expiration of the Chair’s term, the Vice Chair shall become Chair.

2. To assume such other duties as may be requested by the Chair of the Senate.
D. Duties of the Secretary

1. To be responsible for recording all proceedings of the Senate; for maintaining the minutes, correspondence, and other necessary records; and for making appropriate distribution of the minutes.

2. To receive and preserve reports from Senate committees.

3. To assume such other duties as may be requested by the Chair of the Senate.

E. Replacement of Officers

1. In the event that an officer of the Senate resigns his/her office, or resigns from the Senate, or is otherwise prevented from exercising the duties of his/her office, the Senate shall elect, from within its membership, a replacement for that office to serve the remainder of the term.

2. The Senate may, by a majority vote of its entire membership, remove from office any officer of the Senate, provided that written notice of such proposed action shall have been given to the officer and to all other members of the Senate at least one week prior to the meeting at which the removal is to be proposed.

ARTICLE II: MEETINGS AND AGENDA

A schedule of stated meetings shall be adopted by the Senate at its first meeting of the fall semester.

A call for items of business for the agenda shall be distributed in writing to all members of the Senate at least four calendar days prior to each stated meeting.

A copy of the agenda proposed by the Chair shall be distributed in writing to all members of the Senate at least two calendar days prior to each stated meeting.

Written notice of all called meetings of the Senate, together with information regarding the items of business to be conducted at such called meetings, shall be distributed to all members of the Senate at least two calendar days prior to the meeting at which such recommendations are to be voted upon.

All meetings of the Senate shall be open to all members of the Faculty except when the Senate, by a two-thirds vote of those senators present, decides to go into Executive Session.

A quorum of the Senate shall consist of ten members.
Robert Rules of Order (latest edition) shall govern the proceedings of the Senate.

ARTICLE III: COMMITTEES

A. Executive Committee

1. Membership

The Executive Committee shall be composed of the Chair, the Vice Chair, and the Secretary of the Senate.

2. Duties

The Executive Committee will set the agenda for Senate meetings and will oversee the implementation, continuation, and/or completion of Senate activities. In addition, the committee shall perform other duties as assigned.

B. Committee on Faculty Representation and Elections

1. Membership

The Committee on Faculty Representation and Elections shall be composed of a Chair and three other members of the Senate who shall be appointed by the Senate for a term of one year. Insofar as is practicable, membership on this Committee shall be drawn from the various academic ranks and there shall be a reasonable degree of continuity from year to year in its membership. The Center for Learning and Technology’s Instructional Support Manager will assist the Committee’s use of technology in the completion of its duties.

2. Duties

The Committee on Faculty Representation and Elections shall nominate and present to the Senate for approval the names of the members of the Academic Faculty to fill appointments on all Standing Committees of the University (see Chapter 2E: Standing Committees of the University) and other bodies requiring representation from the Faculty as provided in the Constitution of the Faculty Organization at Trinity University. It shall, under the direction of the Senate, supervise elections involving the Academic Faculty, such as the election of the Chair of the Senate, the annual election of members of the Senate, of the Investigating and Hearing Committees, and of the Commission on Promotion and Tenure, as provided in the Constitution (Article IV.G.5.a). It shall assume such other duties and responsibilities as shall be determined by the Senate.
C. Budget Advisory Committee

(Approved September 29, 1997)

1. Membership

The Budget Advisory Committee shall be composed of a Chair, at least one other member of the Senate who shall be elected by the Senate, and one additional member of the Academic Faculty who shall be appointed by the Senate for a term of one year. Insofar as is practicable, there shall be a reasonable degree of continuity from year to year in its membership.

2. Duties

The Budget Advisory Committee shall, on the basis of continuing consultations with administrative officers of the University, report to the Senate relevant and appropriate information regarding both the budget-making processes and the content of the annual budget of the University at all major stages of its development, during the year of its effectiveness, and at the conclusion of the fiscal year. In cooperation with the Administration and subject to approval by the Senate, it shall develop and oversee procedures for ensuring timely and significant Faculty participation in the University’s budget-making process. It shall assume such other duties and responsibilities as shall be determined by the Senate. With the exception of the Committee Chair, the other Senate member(s) of this Committee is (are) expected to be active participant(s) of a Senate working committee.

D. Outreach Committee

1. Membership

The Outreach Committee shall be composed of a Chair and at least three other members of the Senate.

2. Duties

The Outreach Committee will coordinate various outreach efforts for the Senate. The Committee will identify communication needs and opportunities related to faculty issues and will organize social events accordingly. Duties will also include the oversight of constituent group assignments.
E. University and Faculty Committee Oversight Committee

1. Membership

The University and Faculty Committee Oversight Committee shall be composed of the Secretary and 2 other members of the Senate.

2. Duties

The University and Faculty Committee Oversight Committee will provide oversight for all Standing Committees of the University (see Chapter 2E: Standing Committees of the University) and other bodies requiring representation from the Faculty as provided in the Constitution of the Faculty Organization at Trinity University. Duties will include the collection of yearly reports from standing committees and regular evaluations of committee effectiveness.

F. Committee on Course and Faculty Evaluation

Membership: The Committee on Course and Faculty Evaluation will be composed of a chair, two additional Senators, and a non-Senate faculty member selected by the Senate. Insofar as it is practical, there will be a reasonable degree of continuity from year to year in its membership.

Duties: The Committee on Course and Faculty Evaluation will guide the procedures and mechanics of administering student evaluation of courses and faculty. The Committee will coordinate with the Associate Vice President for Academic Affairs: Academic Student Issues as well as other relevant groups and individuals in the execution of its duties.

G. Working Committees

The Senate shall set up such working committees as may be necessary to carry out its duties.

ARTICLE IV: AMENDMENTS

Proposed amendments to these Bylaws shall be circulated in writing to the members of the Faculty Senate at least fourteen (14) days prior to the stated meeting of the Senate at which they will be considered. They shall become effective if passed by a two-thirds majority of the membership. Amendments approved by the Senate shall be forwarded to the Academic Faculty in writing within fourteen (14) days after Senate approval.
STANDING COMMITTEES OF THE UNIVERSITY

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. OVERVIEW

In the establishment, organization, and composition of standing committees of the University, the President, the Faculty Senate, the Association of Student Representatives, and the executive committee and council of the Graduate Student Association have participated in accordance with provisions of, respectively, Chapter 2A: Constitution of the Faculty Organization at Trinity University, Section IV.C, the Constitution of the Association of Student Representatives, and the Bylaws of the Graduate Student Association.

The standing committees are divided into categories which reflect differences in the organizations and/or individuals that are responsible for establishing the committees and to whom the committees are expected to report. University committees represent the interests of the faculty, administration, and students; they are established by the Faculty Senate, the President of the University (or his/her designee), and the Association of Student Representatives and/or the Graduate Student Association. Faculty Committees primarily represent the interests of the faculty; they are established by and report to the Faculty Senate. Administrative Committees primarily represent administrative interests and they are established by and report to the President of the University (or his/her designee). Student Committees represent student interests; they are established by and report to the Association of Student Representatives and/or the Graduate Student Association.

A. Membership

Faculty membership on any standing committee shall ordinarily be for three-year terms, arranged so that one-third of the terms expire annually. Members are eligible for reappointment, but due consideration should be given both to the principle of rotation of membership and to the principle of continuity.

Ordinarily, no standing committee should have more than one faculty member from any one academic department, nor should any faculty member serve as a voting member of more than one standing committee. Nominations or appointments to committees should preferably not include members of the Faculty Senate.

Student representatives on standing committees are nominated and/or appointed by the governing bodies of the Association of Student Representatives and the Graduate Student Association. When
the Association of Student Representatives or the Graduate Student Association makes a final appointment to a standing committee without a nomination going through the Office of the President of the University or through the Faculty Senate, a written statement of appointment, signed by the chief executive of the appointing organization, will be sent immediately to the committee Chair, and this statement will include the appointee’s local or campus mailing address and telephone number or extension. Whenever possible, student members of standing committees should be named by the end of the spring semester. Faculty and administration appointments should be completed by June 15.

Specific guidelines for the determination of membership are listed separately for each of the major categories of committees.

B. Rules of Procedure

All members of committees are voting members except those specifically designated as nonvoting.

Committees shall be called to meet during the first month of the fall semester by the Chair of that committee for the previous academic year. That past Chair, or a designated convener if past Chair is not available, shall preside over the election of the Chair, vice Chair, and secretary. In most cases, the Chair of the committee should be a faculty member who does not hold an administrative position above that of department chair. The Chair elected by each committee shall report this election to the organizations and/or individuals responsible for establishing the committees and to whom the committees are expected to report not later than September 30.

The Chair shall preside at meetings of the committee and shall perform the duties usually expected of a presiding officer. The Chair shall consult frequently with the vice Chair, the secretary, and with members of the committee about the operation of the affairs of the committee. The Chair shall appoint, with the approval of the committee, such sub-committees as deemed necessary to carry out the affairs of the committee. The Chair shall immediately ascertain the times during the week when committee members are available for meetings. The Chair shall approve drafts of minutes before distribution.

The vice Chair shall aid the Chair where possible and, in the absence of the Chair, perform his/her duties.

The secretary shall keep accurate minutes of all meetings.

A tentative calendar of meetings shall be agreed upon by the committee at its first meeting.

Each standing committee will prepare an annual report at the end of the academic year. That annual report should be sent to each of the organizations or individuals who are responsible for establishing the committee and to whom the committee is to report. In preparing the annual report, the committee members should review the purposes, intended and actual accomplishments, and
structure of the committee. In cases where the annual report indicates that the committee accomplished very little or experienced difficulties in carrying out its charge, the annual report should contain recommendations for change. Recommendations could include a proposal for eliminating the committee, a request for changing the size or structure or membership of the committee, a request for a more specific charge from organizations and/or individuals that are responsible for establishing the committee and to whom the committee is to report, or any other changes deemed appropriate by the committee. Such a recommendation should, when necessary, be accompanied by a proposed amendment to any policy statement or other chapter found within this Handbook that creates the committee and defines its function and its membership.

In addition to recommendations contained in annual reports, suggestions are always in order for improvements in committee structure and functioning. Such suggestions, as approved by committee action, should go immediately to the organizations and/or individuals that are responsible for establishing the committee and to whom the committee is to report. For University Committees, recommendations for change must be approved by the Faculty Senate, the President of the University (or his/her designee), and the Association of Student Representatives and/or the Graduate Student Association.

The annual report and recommendations for changes in committee function, structure, or size should be sent to the organizations and/or individuals that are responsible for establishing the committee and to whom the committee is to report: for University Committees, to the Faculty Senate, the President of the University (or his/her designee), and the executive officers of the Association of Student Representatives and/or the Graduate Student Association; for Faculty Committees, to the Faculty Senate; for Administrative Committees, to the President of the University (or his/her designee); and for Student Committees, to the executive officers of the Association of Student Representatives and/or Graduate Student Association.

II. UNIVERSITY COMMITTEES

Standing University Committees have responsibilities assigned to them which relate to important aspects of University affairs. University Committees have members representing at least two of three general constituencies (faculty, administration, students). A majority of these committees have representatives from the administration, the faculty, and the Association of Student Representatives and/or the Graduate Student Association.

The number of members and the ratio of membership for each committee are determined in negotiation among the administration, the Faculty Senate, and the Association of Student Representatives and/or the Graduate Student Association. Faculty members are appointed by the President of the University (or his/her designee) as recommended by the Faculty Senate; student members are appointed by the President of the University (or his/her designee) as recommended by the Associa-
tion of Student Representatives and/or the Graduate Student Association; administrative members are appointed by the President of the University (or his/her designee). An alternative basis for membership must be approved by the Faculty Senate, the President (or his/her designee), and the Association of Student Representatives and/or the Graduate Student Association.

A. Admissions, Scholarships, and Financial Aid

Revised description circulated to the faculty by the Faculty Senate on 2/27/05 and approved by the faculty on April 29, 2005.

The Admissions, Scholarships, and Financial Aid Committee serves as an advisory committee to the Offices of Admission and Financial Aid. The committee meets at least once each semester to discuss enrollment goals, recruitment strategies, decision-making, admission statistics, and financial aid budget awarding policies. Committee members introduce concerns and issues that influence the admissions process and the awarding of financial aid and may make recommendations to the Vice President for Faculty and Student Affairs. Membership consists of four faculty with three-year staggered terms; four students, to include on graduate student, with one-year terms; and ex officio, the Vice President for Enrollment and Student Retention, the second in Admissions, the Director of Financial Aid, the Associate Vice President for Student Affairs and Dean of Students or his or her designee, and a staff member from the Business Office. The Associate Vice President for Enrollment and Student Retention Aid convenes the committee meetings; a faculty member serves as chair.

B. Advising and Registration

The Advising and Registration Committee is formed to review the academic advising and registration process. The Committee is composed of six members: three faculty nominated by the senate, two undergraduate students nominated by the Association of Student Representatives, and the Registrar. The Committee shall assess the advising and registration process, including first-year advising, to suggest possible improvements. The Committee shall facilitate the exchange of information necessary to promote effective advising and registration. This Committee will report to the Associate Vice President for Academic Affairs: Student Academic Issues.

C. Board of Campus Publications

The Board operates in accordance with provisions of Chapter 6A: Student Rights and Responsibilities, Section I (revised in 1985 and in 1990), including the stipulation that the Board be composed of an equal number of students and faculty/staff representatives. The Board will consist of three faculty members, one administrative representative, and four students. The Coordinator of Student
Activities for Student-Edited Publications serves as member ex officio. The Board has general supervision and direction of the Trinitonian and other student-edited publications, including approval of annual budgets for submission to the Student Finance Board and general responsibility for financial stability, election of (and for proper and stated causes, by orderly procedures, the removal of) editors and major staff members, and determination of advertising policies. All contracts must be approved by the Business Office after recommendation by the Board. A faculty or staff business advisor may be appointed by the Board.

D. Bookstore Operations

The Committee on Bookstore Operations recommends general policies related to the operation of the University Bookstore and expresses faculty, staff, and student concerns, views and ideas related to the Bookstore. The Director of the Bookstore serves on the committee and consults it on ways to improve Bookstore operations and services. The committee is composed of one faculty member, five administrators, two undergraduate students, and one graduate student.

E. Committee to Review University Compliance with the Drug-Free Schools and Communities Act

(Committee description is forthcoming.)

F. Conduct Review Board

The Conduct Review Board reviews written appeals of cases from the Student and University Conduct Boards. The Board is composed of two students appointed by the Association of Student Representatives, two Student Affairs staff members appointed by the Dean of Students, and three faculty members appointed by the Faculty Senate. Faculty members will be appointed to alternating three-year terms.

When an appeal is submitted to the Conduct Review Board, a selected composition is convened by a member of the Student Affairs staff appointed by the Dean of Students. The convener acts as a non-voting facilitator for the review. The selected composition for each review will strike a fair gender balance and will include one student, one additional Student Affairs staff member, and one faculty member. Conduct Review Board members assigned to review an appeal should not have relationships with parties to the case.
 CHAPTER 2. FACULTY GOVERNANCE STRUCTURE

G. Diversity Committee

In spirit with Trinity University’s Institutional mission, the primary function of the Committee is to promote diversity in the university as it is essential to the health of an academic community. The committee may propose, advocate, and assist in the implementation of policies and programs designed to celebrate and increase diversity in every aspect of University Life. In consultation with appropriate groups, the Committee may annually choose to focus on issues such as, but not limited to, student admissions and retention, faculty and staff recruitment and retention, professional development, campus environment, and invited distinguished speakers. The Committee is composed of four faculty members recommended by the Faculty Senate to serve staggered two-year renewable appointments, the Vice President for Faculty and Student Affairs, the Coordinator for Diversity and Service Programming, and one student recommended by ASR. The four faculty members will in turn elect from amongst themselves a chair and a convener for the committee.

H. Employee Benefits

The committee has the responsibility to review fringe benefits and benefits policies and make recommendations to the President regarding employee benefits. The committee will periodically review the Trinity University Flexible Benefits Plan (further described by the Summary of Benefits) and determine what types of coverage employees want and are willing to contribute to with regard to the Flexible Benefits Plan, and review the employee Wellness Program. The committee will also oversee the University’s self-funded health insurance plan, receive and review regular financial updates on the plan, review possible changes in health insurance carriers and third-party administrators, and, in collaboration with the administration, determine the health care insurance premiums and benefits. In coordination with the Vice President for Finance and Administration, the committee has the authority to meet as needed with outside benefits consultants and planners. All recommendations of the committee shall be forwarded to the President for approval. The committee is composed of four faculty members, three contract staff, and four classified staff. The committee consults with the Vice President for Finance and Administration (who is an ex officio member of the committee) and reports directly to the President of the University.

I. Lecturers and Visiting Scholars

This committee has the responsibility for the administration of funds budgeted by the University or from other sources to help departments and groups of departments bring in outside speakers. It shall give due consideration to the interests of students, faculty, and the community and will work within the accepted speaker policy. The committee is composed of six faculty members, two administrative representatives, four undergraduate students, and one graduate student.
J. Library Activities

This committee has as its purpose the recommendation of general policies related to library and audiovisual activities and the expression of faculty and student concerns related to those activities. The University Librarian serves as the executive of this committee and consults it on ways of improving library services, and other appropriate matters. The committee assists the University Librarian in securing faculty and student support for library activities, and in bringing to the attention of the administration any special needs for growth and expansion of library funds and facilities. The committee may report recommendations directly to the Vice President for Information Resources as well as to the University Librarian. The committee is made up of six Faculty members, one administrative representative, four undergraduate students, and two graduate students.

K. Safety, Security, and Health

The committee reviews and recommends policies to enhance the safety and welfare of University employees, students and visitors. This includes the development and evaluation of comprehensive plans, regulations, procedures and programs to provide for the personal health and safety of persons and the security of property and records in accordance with federal, state and local codes and university policies. The committee’s areas of concern include but are not limited to security, health, injuries, facilities, vehicles, air quality and fire safety.

The Director of Campus Safety shall coordinate the activities of the committee. The committee consists of one faculty member, administrative and staff members appointed by the President, and two undergraduate representatives.

L. Student Finance Board

The Student Finance Board allocates a portion of the Student Activity Fee income to sponsored student organizations as well as to Recreational Sports and Outdoor Recreation, in accordance with established procedures required by the constitution and bylaws of the Board. The Board provides oversight for spending by recipient organizations. The Board annually recommends to the University President the amount of the Student Activity Fee two years hence. Membership is composed of the five students nominated to the University President by the Association of Student Representatives, one administrator each from the offices of Fiscal Affairs and Student Affairs, and three members of the faculty nominated to the University President by the Faculty Senate.
M. Sustainability Committee

The University Committee on Sustainability provides leadership for sustainability in University activities. It evaluates University practices and policies and makes recommendations to promote sustainability in operations. The committee evaluates and makes recommendations for sustainability in the curriculum and academic research, and for sustainable practices in co-curricular activities. The committee is composed of five faculty members recommended by the Faculty Senate to serve three-year staggered terms, one of whom is appointed as Chair; two students recommended by the Association of Student Representatives to serve two-year staggered terms; and the Director of the Physical Plant, a representative of the Office of University Communications, the Associate Vice President for Finance and Administration, the Director of Dining Services, and the Director of Residential Life/Dean of Students, or their representatives.

N. Advisory Committee for the Collaborative for Learning and Teaching

The Advisory Committee for the Collaborative for Learning and Teaching shall work with the Director of the Collaborative to shape programming and guide the direction of the Collaborative. Specific activities of this committee may include facilitating discussion among faculty members on the subject of learning and teaching by means of workshops, seminars, documents, etc., and acting as a conduit or clearing house for new and existing educational methodologies, technologies, and materials. The Committee shall consist of the Vice President for Faculty and Student Affairs or his/her designee, the Vice President for Information Resources or his/her designee, a representative from Student Affairs, and six members of the faculty including a representative from the Library. Faculty members shall serve for three years, and will be recommended by the Faculty Senate in consultation with the Director of the Collaborative and current members of the Advisory Committee. The Committee will have the option of requesting that two students be appointed by the Association of Student Representatives.

O. Traffic and Parking

This committee serves as an appeal route for persons receiving traffic or parking violation citations, and to assure adequate counsel in the establishment of the University traffic and parking regulations. The committee consults with the Director of Campus Safety and may report recommendations to the Vice President for Finance and Administration. The committee has three faculty members, three administrative representatives and three student members.
P. University Conduct Board

*See Chapter 6A Article VI.E.2.*

Q. University Standards

This committee exists to review and to formulate major standards of student conduct, the violation of which may lead to suspension or expulsion of a student from the University. The Committee is composed of the Associate Vice President for Student Affairs and Dean of Students (as Chair), another Student Affairs staff member, one faculty member nominated by the Faculty Senate and appointed by the President of the University, and three undergraduate students nominated by the Association of Student Representatives and appointed by the President of the University. The Committee meets at least once a semester to ensure that necessary corrections or additions are made in the *Student Handbook* so that it constantly meets the needs of the University community.

III. FACULTY COMMITTEES

The number of members and the ratio of membership (for faculty, students, and administrative representatives) for each committee is determined by the Faculty Senate in consultation with the administration and the Association of Student Representatives and/or the Graduate Student Association. Unless an alternative basis for membership has been approved by the Faculty Senate, faculty members will be appointed by the Faculty Senate; administrative members will be appointed by the President of the University (or his/her designee); and student members will be appointed by the President (or his/her designee) upon nomination by the Association of Student Representatives and/or the Graduate Student Association. Unless an ongoing charge is specified in the committee description, the Faculty Senate will be responsible for providing the committee with a specific annual charge. These committees are described elsewhere in this handbook as noted.

A. Faculty Development Committee

*See Chapter 4A: Statement on Faculty Development.*

B. Distinguished Professorship Committee

*See Chapter 3D: Distinguished Professorships.* [NOTE: the committee has no members, and has been recommended for elimination by the Faculty Senate, with concurrence of the University Pres-
ident; however, pending amendment of Chapter 3D: Distinguished Professorships, the elimination of this committee has not yet taken effect.

C. The Faculty Grievance Committee

See Chapter 3A Article IX: Grievance Procedures.

D. Administrator Review Oversight Committee

This standing committee will undertake a regular review of policies and protocols related to the five-year reviews of the Vice President for Faculty and Student Affairs, the Associate Vice Presidents for Academic Affairs, the Vice President for Information Resources, and the University Librarian. Suggested changes to Handbook procedures related to these reviews will be submitted to the Faculty Senate for approval. During a year when a five-year administrator review is scheduled to be completed, this committee will oversee the collection and reporting of data and will submit a final review report to (a) the appointing administrator of the administrator under review, the President, and (b) the chair of the Faculty Senate. This committee will be composed of three faculty members and one staff member assigned by the President. If multiple reviews are scheduled during the same academic year, the Administrator Review Oversight Committee may petition the Faculty Senate to convene ad hoc committees of a similar faculty and staff composition to complete additional reviews. Each ad hoc review committee, however, will be chaired by a member of the Administrator Review Oversight Committee.

E. Faculty Committee on Information Technology

The Faculty Committee on Information Technology provides a forum for reviewing, evaluating, and recommending strategies, plans, and policies for campus information technology in order to support Trinity’s educational mission. The committee will review and make recommendations regarding the campus’s information technology direction, capabilities, and strategic objectives. Members will help to identify opportunities where information technology could assist the campus in achieving its goals (e.g., through process redesign and technology-assisted service delivery, through new learning pedagogies and collaboration technologies, etc.). The Vice President for Information Resources will convene this committee of five faculty members representing different academic departments. Faculty representatives will be assigned by the Faculty Senate and approved by the President. Representatives from other departments, offices, and programs will be invited to report to the committee when necessary. The committee reports to the Faculty Senate.
F. Open Access Committee

This Open Access Committee is responsible for implementing and interpreting the Open Access Policy (Chapter 5C), resolving disputes concerning its implementation and application, and making recommendations to the Faculty Senate. Committee members promote the Open Access Policy and repository to faculty members, and verify participation with the assistance of Academic Affairs staff. The committee will review the Open Access Policy every three years and report its findings to the Faculty Senate. The committee consists of three faculty members, plus two ex-officio members: one member of the library faculty and a representative from the Office of Academic Affairs. Members serve three-year staggered terms. The library faculty member is appointed by the members of the library faculty; he or she is involved in the management of the institutional repository, including maintenance of standards, migration issues, etc.

G. The Piper Professor Committee

This committee consists of six faculty members appointed by the Faculty Senate including two former recipients of the Piper Professor Award. It is the committee’s responsibility to select Trinity University’s nominee for the annual Piper Professor Award.

IV. ELECTED FACULTY GOVERNANCE BODIES AND COMMITTEES (FACULTY CONSTITUTION)

A. Faculty Senate

See Chapter 2A Article IV: The Faculty Senate, and Chapter 2D: Faculty Senate Bylaws.

B. University Curriculum Council


C. Commission on Promotion and Tenure

See Chapter 2A Article V: The Commission on Promotion and Tenure.
D. The Investigating Committee

See Chapter 2A Article IV.G.6.a, and Chapter 3A Article VI.B.2.c.i.

E. The Hearing Committee

See Chapter 2A Article IV.G.6.a and Chapter 3A Article VI.B.1.c.

V. ADMINISTRATIVE COMMITTEES

The number of members and the ratio of membership (for faculty, student, and administrative representatives) for each committee are determined by the President of the University (or his/her designee) in consultation with the Faculty Senate and the Association of Student Representatives and/or the Graduate Student Association. Unless an alternative basis for membership has been approved by the President (or his/her designee), administrative members will be appointed by the President (or his/her designee); faculty members will be appointed by the President (or his/her designee) upon nomination by the Faculty Senate; and student members will be appointed by the President (or his/her designee) upon nomination by the Association of Student Representatives and/or the Graduate Student Association.

The President of the University (or his/her designee) will be responsible for providing the committee with a specific annual charge, unless an ongoing charge has been specified in the committee description.

A. Animal Research

The Animal Research Committee is responsible for overseeing and evaluating the use, husbandry, and disposal of vertebrate animals at Trinity University according to the guidelines established in the Animal Welfare Act (P. L. 89-544, as amended by P. L. 91-579 and P. L. 94-279) and by Public Health Service policy on Humane Care and Use of Laboratory Animals (OPRR, Health Research Extension Act, 1985, P. L. 99-185, Revised September, 1986). The committee employs as a basis of evaluation the standards published in Guide for the Care and Use of Laboratory Animals (U.S. Department of Health and Human Services, N.I.H., No. 85-23, revised 1985). Individuals desiring to house vertebrate animals for teaching, research or any other purpose either in the designated animal facility or elsewhere within the University must have the explicit permission of the Animal Research Committee. Petitioners who request to house animals in facilities other than the designated facility must provide evidence that the animals will be properly cared for and that adequate
records of their use and disposal will be kept. In accordance with Federal Guidelines, the Chair and members of the Animal Research Committee are appointed annually by the President of the University. The Committee is composed of a nonscientist, a person having no affiliation with Trinity University, a licensed veterinarian, and not more than three faculty from any one department. The person officially and legally responsible for the humane care and use of animals at Trinity University is the Institutional Official, the Associate Vice President for Academic Affairs: Budget and Research.

B. Institutional Biological Safety

The Institutional Biological Safety Committee has responsibility for the establishment and continuity of scientific procedures to insure that research at Trinity University will be conducted safely. It will assure compliance with the intent and requirements of the Federal Department of Health and Human Services, National Institutes of Health, Office of Recombinant DNA Activities regulations, and the concordant National Science Foundation procedures. In order to fulfill these commitments, the Committee will be guided by both ethical and scientific principles and procedures in monitoring research sponsored by HHS-NIH, NSF and all other scientific experimentation in assessing potential hazards, and establishing and implementing safety procedures. Faculty whose projects have been determined by departmental Chairs to be potentially hazardous shall notify the Institutional Biological Safety Chair (IBSC) of the necessity for committee consideration when proposals are submitted to NIH, NSF or any other sponsor. Forms for application for IBSC review are available in the Office of the Associate Vice President for Academic Affairs: Budget and Research. Subsequent reviews of procedures are required when awards are received, and when modifications of experimentation are made. The membership of the IBSC includes three sciences faculty members, at least two persons not affiliated with Trinity University, at least one member from the laboratory technical staff, and a Biological Safety Officer. The committee may also include consultants who are particularly knowledgeable about institutional commitments and policies, applicable law, standards of professional conduct and practice, and the environmental concerns.

C. Institutional Review Board

This Board, established in accordance with Department of Health and Human Services regulations, reviews research projects and activities to determine the extent of the risks to human subjects and to assure that safeguards are present to protect the subjects’ rights and welfare. A research project involving the use of human subjects must have the approval of this Board. For information, contact the Office of Academic Affairs; also see Chapter 5D: Use of Human Subjects in Research. This Board is appointed by the Vice President for Faculty and Student Affairs and consists of five faculty members, one undergraduate student, and two persons from the community with no affiliation with Trinity University. A representative of the Office of Academic Affairs serves as the Human
Subjects Administrator. The Human Subjects Administrator is responsible for maintenance of Board records and documentation, coordination of Board activities, and monitoring compliance with regulations approved by the Board.

D. Commencement and Convocation

This committee is responsible for the scheduling and handling of all commencement exercises and convocations. The Faculty Senate nominates the three Faculty members of the committee, the Association of Student Representatives nominates three graduating seniors, and the Graduate Student Association nominates the graduate student representative to the President of the University. The President appoints all committee members. After consultation with the Vice President for Faculty and Student Affairs, the President appoints the four administrative members of the committee. The President of the University delivers a charge to the committee each September at the initial meeting of the committee and serves as Chair of the committee.

E. Major Scholarships and Fellowships

This committee consists of faculty who have responsibility for each of the external major scholarships and fellowships for which students from Trinity University routinely compete. The committee deals with issues pertaining to the selection and preparation of students for these competitions. The committee is Chaired by the Vice President for Faculty and Student Affairs (or a designee). Current membership consists of faculty who have responsibility for the Marshall, Rhodes, Mellon, Truman, Goldwater, and Fulbright awards.

F. Intercollegiate Athletics

This committee is set up under its own bylaws, approved by the Board of Trustees, which also approves appointments. The committee is designed to fulfill all the functions assigned to such a faculty committee by the National Collegiate Athletic Association. Subject to the established policy and budgetary provisions of the Board of Trustees, the committee is responsible for the supervision and development of the total program of intercollegiate athletics. The committee consists of six faculty members, three administrative representatives, and three students.

G. Faculty Handbook

The Faculty Handbook Committee is responsible for maintaining and revising the *Faculty and Contract Staff Handbook*. The committee consists of three faculty members and two representa-
H. Faculty Gold Room Oversight Committee

This committee consists of three faculty members and one administrator from the Office of Academic Affairs. The Faculty Gold Room Oversight Committee shall be responsible for the administration of the Faculty Gold Room. These duties include overseeing the scheduling of the room as carried out by the appropriate person in the Office of the Registrar, monitoring and evaluating use of the facility, collecting and responding to suggestions regarding the space, and developing and maintaining policies for its use.

I. Martin Luther King, Jr.

The Martin Luther King, Jr., Committee is responsible for selecting Trinity University’s annual MLK, Jr., Commemorative Lecturer, coordinating the University’s participation in San Antonio’s MLK, Jr., March and Commemorative Program, and planning other related activities. The committee consists of the Assistant Director for Intercultural and Diversity Issues, the Assistant Director of University Communications: Community Relations and Special Events, the President of the Black Student Union, one additional student recommended by the Association of Student Representatives, and two faculty members recommended by the Faculty Senate. The Chair/Director of African-American Studies shall appoint one person to the committee and shall decide the length of that term. The faculty members will serve three-year terms on a staggered basis. The Assistant Director for Intercultural and Diversity Issues serves as chair.

VI. ACADEMIC PROGRAMS AND ADVISING COMMITTEES

For Academic Programs and Advising Committees, a subcategory of Standing Administrative Committees, the committees are established by and report to the Vice President for Faculty and Student Affairs. Members will normally be appointed either by the Vice President for Faculty and Student Affairs or by a person designated by the Vice President.

A. Academic Standing

This committee is charged with reviewing the status of undergraduate students who are liable for academic suspensions and/or dismissal and recommends to the Vice President for Faculty and Student Affairs any student who should remain on academic probation. In addition, the committee
reviews the record of any undergraduate student applying for readmission to the University and recommends action on the application. The committee consists of nine faculty members, the Associate Vice President for Student Affairs and Dean of Students, the Registrar, and the Associate Vice President for Academic Affairs: Student Academic Issues.

B. International Programs

The Committee on International Programs is generally responsible for policy relating to Trinity University students studying abroad under the auspices of other institutions. The committee is also responsible for hearing appeals from students with respect to decisions of the Director of Study Abroad regarding the disapproval of credit for specific programs or courses. The committee is appointed by the Vice President for Faculty and Student Affairs. Its membership should include at least one faculty member from the Department of Modern Languages and Literatures and at least one from the International Studies Program. The membership should include faculty with interest in each world area (Europe, Latin America, Asia) in which quality study abroad programs are readily available. The Director of Study Abroad serves ex officio on the committee.

C. Council on Teacher Education

The Council on Teacher Education is established as the body charged with primary review of all items related to teacher education. The membership consists of twelve faculty members appointed by the person designated head of teacher education, after consultation with the Associate Vice President for Academic Affairs: Curriculum and Faculty Development; the Director of Teacher Certification and Placement, Department of Education; and two faculty members from the Department of Education. Other than the general responsibility for teacher education at Trinity University, specifically the Council on Teacher Education is involved with the following: (1) approval of candidates for teacher education at Trinity University; (2) approval of candidates for teaching certificates and/or endorsements; (3) approval of standards for admission and certification; (4) recommendation of new education degree and certification programs at Trinity University; (5) advice to the Department of Education regarding matters related to teacher education and certification; and (6) liaison between the Department of Education and the other departments and offices throughout the University.

D. Health Professions Advisory Committee

The Health Professions Advisory Committee provides close liaison between Trinity University and professional schools in the health care area. It is concerned with maintaining proper undergraduate programs, giving counsel and academic guidance, and recommending students for admission to
medical, nursing, dental, veterinary science, and other schools in related fields. The committee reports to the Office of Academic Affairs.

E. Interdisciplinary Study Committees

These committees administer the interdisciplinary programs of study in the areas named in the committee titles. Current committees are African American Studies; American Intercultural Studies; Arts, Letters, and Enterprise; Biomathematics; Communication Management; Comparative Literature; Environmental Studies; Film Studies; International Studies; Linguistics; Mathematical Finance; Medieval and Renaissance Studies; Neuroscience; New Media; Scientific Computing; Urban Studies; and Women’s and Gender Studies.

F. Prelaw Advisory Committee

The responsibility of the committee is to advise undergraduate students seeking to prepare themselves for law careers while attending Trinity University. The committee works with the Admissions Office recruiting prelaw students, and also reviews curricular programs to enhance prelaw training. The committee reports to the Associate Vice President for Academic Affairs: Student Academic Issues. The committee is appointed by the Vice President for Faculty and Student Affairs. Its membership includes eleven faculty members appointed from academic departments that have an interest or programs related to legal studies. The Associate Vice President for Academic Affairs: Student Academic Issues serves as an *ex officio* member of this committee.
Chapter 3
Faculty Governance Policy

Contents

(3A) Academic Freedom, Responsibility, Employment ............................. 123
   I. The Academic Faculty ....................................................... 123
   II. Academic Freedom ......................................................... 123
   III. Academic Responsibility ................................................ 124
   IV. Appointment and Tenure .................................................. 124
   V. Termination of Appointments ............................................. 133
   VI. Due Process ................................................................. 134
   VII. Financial Exigency ......................................................... 146
   VIII. Other Sanctions ......................................................... 148
   IX. Grievance Procedures ..................................................... 149
   X. Ranks and Promotion ....................................................... 150
   XI. Public Service ............................................................... 152
   XII. Amendment Procedure ................................................... 153
        (XIII). Timetable Summary ................................................. 155
(3B) Documentation for Candidates for Promotion and Tenure .................. 157
(3C) Academic Administrative Governance ........................................... 161
   I. Selection, Evaluation, and Retention of Administrators ................. 161
   II. Curriculum ................................................................. 168
   III. Resource Development ................................................... 170
   IV. Salary Recommendations ................................................. 170
V. Faculty Recruitment ......................................................... 171
VI. Advice and Consent .................................................... 171
VII. Conflict Mediation ...................................................... 172
VIII. Implementation and Amendment ................................. 172

(3D) Distinguished Professorships ........................................ 174
I. Search Committees — Composition ................................ 174
II. Search Committee Duties ................................................ 176
III. DP Committee .............................................................. 179
IV. Negotiation by President ................................................. 180
V. General Considerations .................................................... 181
VI. Implementation and Amendment ...................................... 181
VII. Addendum: General Criteria .......................................... 182

(3E) Faculty Appointments and Evaluation (Other Policies) ........ 183
I. Filling a Position .............................................................. 183
II. Spouse/Partner Appointment ............................................ 184
III. Faculty Records ............................................................ 184
IV. Disposition of Materials .................................................. 185
V. Adjunct Faculty ............................................................... 186
VI. Early Retirement ............................................................. 187

(3F) Faculty Records ............................................................ 188
I. Interim Agreement ........................................................... 188
II. Implementation .............................................................. 189
III. Amendment ................................................................. 189
(3A) ACADEMIC FREEDOM, RESPONSIBILITY, AND EMPLOYMENT OF FACULTY (POLICY STATEMENT)

(Also known as the Trinity University Policy Statement on Academic Freedom, Responsibility, Employment, Tenure, and Due Process for Members of the Academic Faculty)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

(The first policy statement was written by the Faculty and approved by the administration and Board of Trustees in 1953. It was amended by the same parties in 1957. The Faculty Senate wrote a policy in 1968 which was adopted in the 1968-69 academic year and amended in 1972. An expansion of the 1968-69 document was written by the Teaching and Research Faculty Commission and approved by the Commission, the faculty and administration in the 1973-74 academic year, and the Board of Trustees approved the text October 19, 1974, with a provision for review at the May, 1976, meeting of the Board. In May 1976, the Trustees asked the President of the University to appoint a Joint Committee of trustees, administrators, and faculty to make the review. The present document is the work of this Joint Committee to Study Tenure Policy as subsequently amended from time to time. This document incorporates and endorses the 1940 Statement of Academic Freedom and Tenure and the 1970 Interpretive Comments, which are joint statements of the American Association of University Professors and the American Association of Colleges.)

ARTICLE I: THE ACADEMIC FACULTY

The Academic Faculty is defined as consisting of (1) those full-time members of the Faculty whose primary responsibility consists of teaching, research, and/or professional librarianship and (2) administrative personnel who hold faculty rank and tenure in a department or have primary responsibility in academic affairs (including the President of the University and the University Librarian) but who are excluded from tenure in their administrative positions.

ARTICLE II: ACADEMIC FREEDOM

Trinity University seeks to provide conditions whereby members of the faculty may freely pursue scholarly inquiry, discussion, and publication. Academic freedom is essential to teaching, research and artistic creation. Freedom in research and artistic creation is fundamental to the advancement of knowledge and the arts. Freedom in teaching is fundamental to the pursuit and communication of knowledge.

Each Academic Faculty member is entitled to full freedom in research and artistic creation and in the publication, display, or performance of the results; and in the exercise of professional responsibilities.
CHAPTER 3. FACULTY GOVERNANCE POLICY

Each Academic Faculty member has full freedom in the classroom in discussing the subject which he/she teaches.

Each Academic Faculty member is also a citizen of his/her community, state, and nation; and when he/she speaks, writes, or acts as a citizen, he/she will be free from institutional censorship or discipline.

Academic freedom applies to all Academic Faculty members, without regard to tenure status.

ARTICLE III: ACADEMIC RESPONSIBILITY

The guarantee of academic freedom for an Academic Faculty member must be accompanied by an equal acceptance of responsibility.

The fundamental responsibility of an Academic Faculty member as a teacher and scholar is the maintenance of professional competence as demonstrated in teaching, research, lectures, discussions, and publications, or other professional activities.

A Faculty member should avoid persistently intruding controversial material which has no relation to his/her subject.

An Academic Faculty member should recognize that the public may judge his/her profession and his/her institution by his/her statements and his/her actions. Therefore, he/she should strive to be accurate, to exercise appropriate restraint, to respect those with differing views, and to avoid creating the impression when he/she speaks or acts as a private person that he/she is speaking or acting for Trinity University.

As a matter of professional self-discipline, tenured members of the faculty are responsible to themselves and to their colleagues for continuing to meet all reasonable expectations of academic performance. The department is the primary although not the exclusive locus of this responsibility. Each department will conduct a departmental level self-study every five years, including an evaluation of all members of the department, to encourage individual and departmental excellence. The evaluations may be held at the same times as the Southern Association Self-Study and five-year review. The criteria and procedures for dismissal (Article VI.B) or lesser sanctions (Article VIII) are to be maintained entirely separate from the periodic departmental evaluations.
ARTICLE IV: APPOINTMENT, REAPPOINTMENT, AND TENURE OF THE ACADEMIC FACULTY

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

(Note: In all cases involving library faculty, teacher shall be construed to mean “librarian”; teaching to mean “librarianship”; department, departmental, or appropriate department to mean “library”; Chair to mean “University Librarian”; and Vice President for Faculty and Student Affairs to mean “Vice President for Information Resources.”)

The objective of these principles and procedures for appointment, reappointment, and tenure is to enhance the quality of the University through continuing improvement of the intellectual quality of the faculty in teaching and scholarship or librarianship. The procedures to be followed in reappointment and granting of tenure are the same; the process of evaluation has the same objective. Judgments should be based on high professional standards. Yet equity requires that each faculty member be judged individually on the basis of particular abilities to contribute to the intellectual and educational life of the department and the University. The administration and the faculty have a mutually supportive role which these principles and procedures seek to enhance.

Nothing in this section should abrogate rights currently enjoyed by members of the Academic faculty nor adversely affect the status of any probationary member appointed prior to its adoption.

A. Faculty Ranks

Faculty ranks to which faculty appointments are normally made are Instructor, Assistant Professor, Associate Professor, and Professor (including Distinguished Professor).

This is not meant to exclude special categories such as “Affiliated,”“Visiting,”“Adjunct,” or “Part-time” Faculty. These special categories are not ordinarily subject to the same appointment, reappointment, and tenure considerations as normal faculty appointments. Tenure and probationary status, where applicable, will be decided upon in each individual case. Persons employed to fill positions in contract or sponsored research projects will not ordinarily be given normal faculty ranks. The length of such appointment is determined by the duration of sponsorship of the project.

B. Categories of Appointment

The three categories of appointment to the Academic Faculty are (1) continuous tenure appointments, (2) probationary appointments, (3) term appointments.

1. Tenure means assurance to an Academic Faculty member that he/she may expect to
continue in his/her academic position unless adequate cause for dismissal is demonstrated in a fair hearing, following established procedures or due process.

2. Probationary appointments are appointments under consideration for tenure in accordance with the criteria and evaluative procedures below. No one should be considered for a probationary appointment who does not possess the potential for continued reappointment and tenure.

3. Term appointments are not open to tenure and are generally for brief association with the University. Such appointments may be used to fill temporary needs provided that the total duration of such appointments for a given individual not exceed the appropriate probationary period for that individual. (This does not apply to instructors employed prior to the 1977 revision of this document.) Term appointments may be used for appointments beyond the retirement age. If a faculty member is changed from term to probationary status, his/her prior service will be evaluated for probationary credit.

C. Appointment Procedures

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

The appropriate department will take the initiative in selecting and recommending a candidate for a position. Specific procedures are left to the department but must involve the Chair and all tenured members of the department. The President or the Vice President for Faculty and Student Affairs may initiate appointments, but the Chair and all tenured members of the appropriate department must be involved in the procedure unless a new program is begun for which there is no department.

A recommendation will be forwarded to the Vice President for Faculty and Student Affairs, who will then forward a recommendation to the President. If a recommendation for appointment by a department or by a search committee is not approved or is altered by the Vice President for Faculty and Student Affairs or the President, he/she will so inform the department or search committee, provide a rationale, and allow it to respond before the final decision is made. Final approval or disapproval will be made by the President of the University. Precise written terms and conditions of appointment specifying category, rank, department, compensation, and effective dates and a copy of these Policy Statement will be furnished to every appointee before the appointment is consummated. If the category of appointment is probationary, the written notice shall specify any credit for prior service which will be applied to the probationary period and shall specify the year during which a tenure decision is to be expected.
D. Probationary Appointments

Probationary appointments may be for one, two or three years and are subject to renewal. The total period of full-time service prior to the acquisition of tenure, including previous full-time service in other institutions of higher learning, normally will not exceed seven years, except that the probationary period may extend to as much as four years, even if the total full-time service in the profession thereby exceeds seven years. The terms of extension will be stated in writing on appointment.

Credit for prior service is optional if, by mutual agreement, at the time of the initial appointment, the appointee and the University stipulate in writing the years of prior service to be excluded. The precise terms of appointment, including the years of prior service to be credited, shall be stated in writing within the initial contract.

As an exception to policy, a probationary faculty member may request that the total time to tenure be extended by not more than one year, if the faculty member experiences a situation that necessitates a commitment of time and energy that delays adequate development of one’s teaching, librarianship, research, or artistic endeavors during the normal probationary period. Situations that might warrant a request for an extension are:

1. The faculty member undergoes treatment for or is recuperating from a serious health condition.
2. The faculty member devotes substantial time to a seriously ill spouse, domestic partner, child or parent.
3. The faculty member experiences the death of a spouse, domestic partner, or child, or a divorce.
4. The faculty member has been granted leave of absence for an extraordinary and unique professional opportunity that benefits the individual and the University.

The request that a year not be counted in the probationary period must be made by the faculty member in writing and received by the departmental Chair no later than one year from the return to academic duties. Requests must include documentation of the circumstances involved, as well as justification for why the year in question was crucial to the faculty member’s progress toward tenure and why additional time is needed. The review process for the request shall progress from the departmental Chair to the Vice President for Faculty and Student Affairs (or the VPIR in the case of library faculty) and then to the President for a final decision.

The probationary period will automatically be extended by one year if the faculty member experiences a significant change in his/her personal life, such as birth or adoption of a child or foster child.
CHAPTER 3. FACULTY GOVERNANCE POLICY

The year will not be counted in the probationary timetable unless requested. The request to waive the extension will be received by the departmental Chair no later than one year from the return to academic duties. The extension applies to faculty members making satisfactory progress toward tenure as determined by the department.

Faculty members will not be arbitrarily disadvantaged in their promotion, advancement, or compensation because of extending the probationary period due to family accommodation. The file will be evaluated without prejudice as if the work were done in the normal period of service.

E. Evaluation of Probationary Faculty

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

A probationary appointee will be evaluated or reviewed annually, prior to the appropriate date of notification of non-reappointment stated below. At least biennially (for example during the second, fourth and sixth years of an initial probationary appointment) the evaluation must involve the following procedure.

The departmental Chair will notify the probationary appointee of the forthcoming evaluation and confer with the faculty member concerning details of the procedures to be followed.

After notification the probationary appointee will submit in writing a self-evaluation of progress to date and any supporting materials deemed useful to the department.

Then each tenured member of his/her department, after examining the faculty member’s self-evaluation, will submit a written evaluation comprising reasons for and a recommendation of reappointment or non-reappointment. Persons other than the tenured members of the department may also participate in the process of evaluating a faculty member: the faculty member or the department may request that advice relevant to the evaluation be sought from non-tenured members of the department, current and former students, faculty members in other departments, or other qualified scholars.

Following receipt of the evaluations and tabulation of the recommendations, the Chair will discuss the general results of the evaluation with the tenured members of the department and then separately with the faculty member. The Chair will give the faculty member a copy of the written statement of the departmental recommendation including a summary of the reasons for this recommendation; a copy of this statement will become part of the faculty member’s evaluation file. At this time the faculty member may respond to the recommendation, for example pointing out any matter he/she considers factually inaccurate or inappropriate in a letter which becomes part of the faculty member’s evaluation file. The tenured members of the department may make written reply to the faculty member’s response to the departmental recommendation, and such reply also becomes part of the faculty member’s evaluation file.
When a recommendation to grant or withhold tenure, or to grant or deny a promotion, is made by a
department, the Chair shall transmit the departmental file on the case including the Chair’s personal
recommendation, to the University Commission on Promotion and Tenure. The Commission shall
review all the materials involved, and may solicit additional information from any sources it may
decide appropriate in order to develop its own recommendation on the case, which it will add to
the file and transmit to the President of the University for final approval or disapproval of the rec-
ommendation. The recommendation which the Commission sends to the President should include
a complete statement of the specific reasons for those recommendations as well as a summary of
the recommendations made by the department. The unrecorded oral discussion in departmental
meetings pertaining to the evaluation of candidates for tenure, promotion, and/or reappointment
will remain confidential.

It is understood that the primary centers of review of a faculty member’s merits for tenure and/or
promotion will be the department and the Commission on Promotion and Tenure, and further, that
should the Commission not concur in a prior recommendation, it shall communicate in writing the
reasons for nonconcurrency to all individuals and bodies involved up to that point; nonconcurrency
will be communicated in writing to all the individuals and bodies involved up to that point before
further action is taken. An opportunity of appeal for reconsideration to the Commission shall
be afforded to the department before the Commission recommendation is communicated to the
President. In cases when the department decides to appeal, the faculty member will be so informed.
Before the appeal is sent to the Commission the faculty member will be given a summary of the
departmental appeal; this summary statement and any response by the faculty member to it will
become a part of the faculty member’s evaluation file.

In years when the formal procedures of evaluation above are not followed, the Chair must convene
the tenured members of the department. The status of the probationary appointee will be reviewed
in order to make a recommendation regarding the next appointment as required by the appropriate
date of notification of non-reappointment. Since a decision not to reappoint should not be con-
cluded apart from the opportunity for formal evaluation, the meeting of tenured faculty shall be
conducted early enough that, should the tenured faculty find that they have any serious question
regarding reappointment, there would be time to invoke the formal procedures of evaluation before
deciding an official recommendation. Further, if at any level of administrative review a serious
question regarding reappointment arises, the administrative recommendation or decision regarding
reappointment shall be delayed in order for formal evaluation procedures to be conducted.

With respect to each probationary appointee who receives a continuing (non-terminal) contract,
the Vice President for Faculty and Student Affairs will provide a written report to the Chair re-
garding the administration’s review of the departmental evaluation. The report should include any
differences in evaluation that might bear on progress towards tenure, whether these are areas of
concern that were not addressed in the departmental evaluation, areas of departmental concern not
shared by the administration, or areas of mutual concern that are viewed with significantly different
weight on the part of the administration. The Chair will share the Vice President’s report with the
tenured faculty and forward a copy of the report to the faculty member.

Where the decision is not to reappoint, the faculty member shall be notified in writing by the President of the University. The faculty member may request from the President that he/she be given the reasons contributing to the decision either orally or in writing, and he/she may request reconsideration. If a written statement of reasons is requested, the statement will become part of the faculty member’s evaluation file.

If the probationary faculty member being evaluated is a Chair, the functions relative to that particular evaluation that are normally performed by the departmental Chair shall be performed by a tenured member of the department selected by the tenured members, or if there are no tenured members, by another departmental Chair designated by the Vice President for Faculty and Student Affairs.

When an initial appointment to the Faculty of Trinity University involves tenure or promotion to a rank higher than that held by the candidate at another institution (except when the promotion is to Assistant Professor), the procedures for recommendation and approval are the same as those for the promotion and tenure of probationary appointees described above except that a self-evaluation by the candidate is not required. The evaluation file prepared by the recommending department for the Commission on Promotion and Tenure must include evaluations and recommendations from each tenured member of the department and a summary recommendation from the departmental Chair. The evaluation file will be reviewed at a convened meeting of the Commission on Promotion and Tenure.

F. Notification of Non-Reappointment

Written notice of non-reappointment of probationary faculty members will be given in advance of expiration of appointment according to the following schedule:

1. Not later than March 1 of the first academic year of probationary service if the appointment expires at the end of that year, or, if a one-year appointment terminates prior to May of 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 or, if an initial two-year appointment terminates prior to May of 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 and not later than May 31 of the academic year preceding the last year of appointment.

Notification of the terms and condition of reappointment will be given to all full-time faculty members by March 31.
G. Criteria for Reappointment and Tenure

(Amended by the Faculty May 1, 1998; approved by the Board of Trustees October 2, 1998)

A decision to recommend reappointment and/or the awarding of tenure shall be based on the following criteria:

1. Quality of teaching or librarianship,
2. Quality of scholarship, research, or professional or artistic achievements, and
3. Service to the department, the University, the profession, and the community.

The accomplishments and potential of the individual shall be the major basis for the decision. However, the present and future needs of the University shall also be carefully weighed. A decision to reappoint indicates progress toward tenure.

H. Process for Tenure Decisions

(Amended by the Faculty May 1, 1998; approved by the Board of Trustees October 2, 1998)

A decision concerning tenure will be made in the next to last year of a faculty member’s probationary period, in the sixth year of service of a probationary appointee with no prior service; or the year prior to that stipulated at which tenure must be granted to or withheld from an appointee with prior service. Nothing in this provision, however, shall prevent the Department and administration from making a decision earlier than the generally stipulated time. The faculty member will address himself/herself to the question of tenure in his/her self-evaluation.

The process and criteria of evaluation are the same as those for reappointment or non-reappointment, except that the recommendation is for granting or withholding tenure. Upon receipt of notification of the decision to grant tenure, the faculty member acquires full rights and responsibilities of other tenured members in respect to termination for cause or financial exigency. A decision to withhold tenure means that the final probationary contract will be terminal.

I. Appeal of Negative Decision

A decision not to reappoint or grant tenure does not necessarily imply unfitness. The decision, however, must result from adequate consideration, as specified by the evaluative procedures and stated criteria above. The decision also must not violate the faculty member’s academic freedom, or be based on ethnic, religious, age, or sex discrimination.
If the faculty member alleges that the decision was based on considerations violative of his/her academic freedom; or on religious, sex, age, or ethnic discrimination; or on inadequate consideration, the faculty member may appeal in accordance with procedures of Due Process (Article VI).

The faculty member should exhaust all University methods of appeal before taking a complaint to civil or governmental agencies.

J. Counting Academic Leave for Probationary Faculty

For a non-tenured faculty member on academic leave for one year or less, that period of leave should count as part of the probationary period as if it were prior service at another institution. Exceptions to this policy should be mutually agreed to in writing prior to the granting of the leave. The faculty member may request to have that year not count as part of the probationary period if the purpose of the leave can be characterized as an extraordinary or unique professional opportunity that benefits both the individual and the University (See D4 above).

K. Terms of Contract

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

An Academic Faculty contract properly signed by a person designated by the Board of Trustees of the University is binding upon Trinity University. An Academic Faculty member who signs a contract with Trinity University is bound to the terms of the contract and should fulfill them in good faith and at maximum performance.

1. If a faculty member engages in a non-University activity which requires a significant amount of time, he/she should discuss that activity with the appropriate Chair. If the outside activity or activities appear to reduce the teaching effectiveness of the faculty member or in other ways interfere with obligations to the University, the faculty member may be asked to reduce or terminate such outside activity or activities. A faculty member should not intentionally exploit his/her association with Trinity University, nor shall he/she allow others to do so in his/her behalf (cf. Article XI: Public Service and Political Responsibilities for Members of the Academic Faculty).

2. A faculty member may terminate his/her appointment effective at the end of an academic year, provided that he/she gives notice in writing at the earliest possible opportunity, but not later than May 15, or 30 days after receiving notification of the terms of his/her appointment for the coming year, whichever date occurs later. The faculty member may properly request a waiver of this requirement of notice in case of hardship or in a situation where he/she would otherwise be denied substantial professional advancement or other opportunity.
L. Faculty Retirement

Each tenured member of the Academic Faculty who retires from full-time service with the rank of Professor will, upon retirement, be designated as “Professor Emeritus” or “Professor Emerita.”

M. Employment of Family Members

In the appointment and retention of faculty and staff members, the University seeks those persons most qualified to fulfill the institution’s obligations to teaching and research. There is, therefore, no blanket restriction concerning members of the same family being employed at Trinity University. Consistent with the guidelines and recommendations of both the Federal Government and the American Association of University Professors, the University recognizes reasonable restrictions on an individual’s capacity to function as judge or advocate in specific situations involving members of the same family.

In that regard then, the University will not appoint faculty or staff members who would by virtue of their positions have institutional decisions concerning their conditions of employment and compensation made by members of their immediate families.

ARTICLE V: TERMINATION OF TENURED OR UNEXPIRED APPOINTMENTS

A. Adequate Cause

The employment of an Academic Faculty member with tenure, or one whose appointment has not expired, may be terminated by the University only for adequate cause and in accordance with procedures described in this document. “Adequate cause” is defined as one or more of the following:

1. Determination, based upon substantial and manifest evidence, of professional incompetence or gross neglect of major academic responsibilities.

2. Determination, based upon clear and convincing medical evidence, of serious and protracted physical or psychological disability related to the accomplishment of major academic responsibilities.

3. Extraordinary financial exigency of a demonstrably bona fide nature, or discontinuance of a program or department of instruction (see Article VII. Financial Exigency). An Academic Faculty member who can present evidence of discriminatory treatment
or infringement of academic freedom in such emergencies has the right to a hearing before the Faculty Hearing Committee.

4. Determination, based upon substantial and manifest evidence, of gross misconduct. Examples of gross misconduct include an egregious violation or an egregious pattern of violations of the Anti-Harassment policy (Chapter 8C), an egregious violation or an egregious pattern of violations of the Code of Conduct policy (Chapter 8D), or serious crime(s).

B. Salary Provisions

All references to salary in this document shall mean full salary and benefits. Salary for a terminated faculty member will be provided as follows:

1. If an Academic Faculty member without tenure is dismissed under the provisions of paragraph A.1 above, he/she will receive his/her salary for the duration of his/her contract up to one year from the date of notice of dismissal. If an Academic Faculty member with tenure is dismissed, he/she will receive his/her salary for one year from date of notice of dismissal. The faculty member will continue his/her duties during the period of dismissal compensation except in the case of suspension (see Article VI:B.3.a on Due Process below) or unless at the discretion of the administration he/she be granted a leave of absence with salary.

2. A faculty member whose employment is terminated under the provisions of paragraph A.2 above shall receive his/her salary until such time as the University’s disability insurance program would take effect were he/she enrolled in that program.

3. Provisions for salary of faculty members whose employment is terminated under the provisions of paragraph A.3 above are made in Article VII.B.4 below.

4. Provisions for salary of faculty members whose employment is terminated under the provisions of paragraph A.4 above are made in Article VI.C below.
1. dismissal of tenured faculty;

2. dismissal of non-tenured faculty whose appointment commitment has not expired;

3. non-reappointment of non-tenured faculty in those instances where there are allegations of violation of academic freedom or of ethnic, religious, age, or sex discrimination;

4. alleged punitive conditions of employment (i.e., conditions so unsatisfactory that they appear to be designed to influence the faculty member to resign without the protection of due process); or

5. alleged inadequate consideration in the non-renewal of contract.

The rights of the faculty member will be protected by proper professional procedures which are generally recognized in the academic community.

Cases of dismissal, 1. and 2. above, are initiated by the Vice President for Faculty and Student Affairs, and all procedures of due process will be followed unless further proceedings are waived by the faculty member. Cases under 3., 4. and 5. above are initiated by an appeal on the part of the faculty member. It is important that a request for consideration of an appeal occur in a reasonable time because of the potential for loss of factual information if the process is delayed. Except in cases of alleged punitive conditions of employment, a faculty member must submit a request for consideration to the Faculty Senate within 6 months of the receipt of official notification from the President of a change in the faculty member’s status. In all three categories of appeal the documentation concerning the appeal must be prepared in written form by the faculty member and submitted to the appropriate body within 3 months from the date of submitting the request for consideration to the Faculty Senate. If these conditions for timely review are not met, further consideration of appeal is dropped. The Faculty Senate, by a vote of its membership, may delay these dates if the faculty member describes to the Senate in writing extenuating circumstances that prohibit meeting the regular deadlines.

The appropriate faculty committee charged with the investigation of the complaint must also respond in timely fashion. The committee must bring its investigation to a close and submit its recommendations to the appropriate persons within three months of the date on which it is convened by the Faculty Senate. The Faculty Senate, by a vote of its membership, may delay this deadline if the committee describes to the Senate in writing extenuating circumstances that prohibit timely response.

In the interest of confidentiality, the Chair of the Faculty Senate normally will act for the Senate in overseeing the implementation of due process. Pending final disposition of the case, the Chair normally will report to the Senate only the fact of a due process proceeding and the current stage of the proceeding.
In cases of dismissal, 1. and 2. above, the case shall be handled according to Article VI.B: Dismissal Procedures below, except in cases of gross misconduct. When the cause of dismissal is gross misconduct, the case shall be handled according to Article VI.C: Dismissal Procedures for Gross Misconduct.

In cases involving allegations covered under 3. and 4. above, the case shall be handled according to Article VI.D: Non-Reappointment of Non-Tenured Faculty and Punitive Conditions of Employment Cases.

In cases of allegations covered under 5. above, the case shall be handled according to Article VI.E: Inadequate Consideration Cases below.

B. Dismissal Procedures

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

The burden of proof is upon the administration to show adequate cause for the dismissal of a faculty member with tenure or whose term of appointment has not expired. Adequate cause for a dismissal will be related, directly and substantially, to the fitness of the faculty member in his/her professional capacity as a teacher, researcher, or librarian. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or rights of citizenship.

1. Tenured Faculty Member

The dismissal of a tenured faculty member for causes other than gross misconduct will be preceded by:

a. Personal Conference

1. Chair. Identification of potential problems should be made at the departmental level and described in the annual merit evaluation by an assessment of long-range career development. The Chair has the opportunity and obligation to assist the faculty member in recognizing potential problems. If, however, the identification of a potential problem is initiated within the administration, it remains the responsibility of the Chair to assist the faculty member in attempting to resolve the matter.

2. Third Party. If communication fails at the departmental level, the faculty member or the Chair may request a third party, such as a Senate-appointed ombudsman, to assist in reestablishing a working relationship. The third party will act to facilitate the reestablishment of contact and the development of realistic career goals and objectives.
b. Notification

1. Formal Notification Regarding Possibility of Dismissal. If the preceding steps do not result in resolution, the Vice President for Faculty and Student Affairs should formally notify the faculty member, with a copy to the Chair, that the existing problem, if not corrected, will lead to dismissal. Before issuing such notification, the Vice President should convene a meeting of the other tenured faculty of the department for the purpose of consultation regarding the contemplated action.

2. Department. If the problem is not corrected, the Vice President for Faculty and Student Affairs should request from the Chair and tenured faculty of the department their written recommendations regarding the initiation of dismissal procedures.

3. Vice President for Faculty and Student Affairs. The decision to initiate action toward dismissal of a tenured faculty member rests with the Vice President for Faculty and Student Affairs. The Vice President must notify in writing both the faculty member and the Chair of the Faculty Senate, with a copy to the Chair, that such a decision has been made. This notification should contain the specific charges.

4. Faculty Senate. Upon notification, the Faculty Senate, through the Chair of the Senate, must advise the Faculty member of his/her rights, facilitate the obtaining of an advisor (ombudsman or another third party) and monitor the procedure to ensure that due process is observed.

c. Examination of Charges

Hearing Committee. The Hearing Committee is a standing committee elected by the Academic Faculty, not overlapping in membership with the Investigating Committee (Chapter 2A: Constitution of the Faculty Organization Article IV.G.6). In a dismissal case, as defined in Article VI.A and Article VI.B above, the faculty member concerned will have the right to be heard by the Hearing Committee. The Hearing Committee must hold a hearing according to the procedures of due process set forth below, unless the faculty member waives this right in a letter to the Faculty Senate.

Members will be subject to challenge, which, if contested, will be decided by the Faculty Senate, or members may remove themselves voluntarily in particular cases.

If a hearing is to be held, the presiding officer of the Senate will inform both the Vice President for Faculty and Student Affairs and the faculty mem-
ber in writing that a hearing will be conducted by the Hearing Committee, specifying the time and place. The written communication will state that the hearing will be held to determine whether or not the Academic Faculty member should be removed from his/her faculty position. The presiding officer’s communication will inform the Vice President for Faculty and Student Affairs and the faculty member of the procedures to be followed in the hearing. Questions of interpretation of the rules of procedure will be settled by the Faculty Senate.

The actual hearing shall be preceded by full disclosure by the Vice President for Faculty and Student Affairs of evidence supporting the charges for dismissal.

In deliberating, the Hearing Committee will receive the written statement of the reasons for the dismissal from the Vice President for Faculty and Student Affairs and a written reply from the faculty member. All evidence shall be given to both the faculty member and the Hearing Committee. The Hearing Committee shall address only the charges already brought by the administration. A faculty member may at any time choose to waive further proceedings.

d. Action

The written recommendations of the Hearing Committee will be given to the faculty member and the Chair of the Faculty Senate. The written report will make explicit its findings with regard to each of the stated grounds for dismissal, and will state whether or not there is adequate cause for dismissal. The Chair of the Faculty Senate will convey in writing the decision of the Hearing Committee to the President of the University. If the President rejects the report, he/she will state his/her reasons for doing so, in writing, and convey them through the Senate to the Hearing Committee and to the Faculty member and provide an opportunity for response before transmitting the case to the Board of Trustees.

e. Review

Board of Trustees. If the Board of Trustees decides to review a case of an Academic Faculty dismissal, the President of the University will transmit to the Board the full reports of the Hearing Committee. If the Board is inclined to alter the decision of the Hearing Committee, it should not only study the reports of the Hearing Committee, but it should offer opportunity for statements by the principals and/or their representatives.

If, after the study of the reports and the statements, the Board is dissatisfied
with the Hearing Committee’s decision, the Board should specify its objections in writing to the President of the University, who will convey the same to the Senate.

The Hearing Committee should then reconsider, taking account of the stated objections and receiving new evidence if necessary. It should frame its reconsidered report and decision and communicate it in the same manner as before.

Only after study of the final report of the Hearing Committee should the Board of Trustees render a decision overruling the Hearing Committee. The Board of Trustees should convey its decision and its reason in writing to the President of the University, who will convey same to the Senate and the Faculty member.

2. Non-Tenured Faculty Member

Dismissal of a non-tenured faculty member before the end of the specified period of his/her appointment for causes other than gross misconduct will be preceded by:

a. Personal Conference

1. When reason arises to question the fitness of an Academic Faculty member, the appropriate Chair will discuss the matter with the faculty member in personal conference. The matter may be resolved by mutual consent at this point.

2. If an adjustment does not result from the conference between the Chair and the Faculty member, the Chair will convene a meeting between the tenured members of the department and the Vice President for Faculty and Student Affairs for the purpose of advising the Vice President of an appropriate action.

b. Notification

1. Vice President for Faculty and Student Affairs. The decision to initiate action toward dismissal of a faculty member whose appointment commitment has not expired rests with the Vice President for Faculty and Student Affairs. The Vice President must notify in writing both the faculty member and the Chair of the Faculty Senate, with a copy to the Departmental Chair, that such a decision has been made. This notification should contain the specific charges.

2. Faculty Senate. The Faculty Senate, through the Chair, will then direct the Investigating Committee to investigate the matter, but the Senate
CHAPTER 3. FACULTY GOVERNANCE POLICY

will maintain supervision until the case has been resolved.

c. Examination of Charges
   
i. Investigating Committee. The Investigating Committee is a standing committee elected by the Academic Faculty (Chapter 2A: Constitution of the Faculty Organization, Article IV.G.6). Members will be subject to challenge, which, if contested, will be decided by the Faculty Senate, or members may remove themselves voluntarily in particular cases. Although the Committee’s activities may be flexible and informal, detailed records of all proceedings and statements of the parties must be kept. The Committee will maintain confidentiality of these records.

   A statement of charges and/or reasons for the dismissal, framed with reasonable particularity by the Vice President for Faculty and Student Affairs, will be given to the Faculty member and to the Investigating Committee. The Committee will make such inquiry as it deems necessary, offer advice to the administration and faculty member, and attempt to effect an adjustment if it seems warranted in the view of the Committee.

   The Investigating Committee has completed its task when it reports to the Senate whether or not an adjustment has been effected. If an adjustment has not been effected and the faculty member requests a hearing, the records of the Investigating Committee will be given to the Hearing Committee, and the Senate will refer the case to the Hearing Committee. If the faculty member waives a hearing, or if an adjustment has been effected, the records and all submitted documents will be sealed and kept in the files of the Senate for five years and then destroyed. They may be opened only by a vote of the Senate.

   ii. Hearing Committee. The Hearing Committee will be constituted and act as described in Article VI.B.1.c above.

   d. Action. As described in Article VI.B.1.d above.

   e. Review. The review process has been described in Article VI.B.1.e above.

3. Rules of Procedure
   
a. Pending a final decision on the case, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if his/her
welfare or that of the institution is threatened by his/her continuance. Before making final the suspension of a faculty member, pending an ultimate determination of his/her status through the University’s hearing procedures, the administration will consult with the Faculty Senate concerning the propriety, the length, and the other conditions of the suspension. A suspension which is intended to be permanent is a dismissal, and will be treated as such. Salary will continue during the period of suspension.

b. The Hearing Committee may, with the consent of the parties concerned, hold joint pre-hearing meetings with the parties in order to

1. Simplify the issues,
2. Effect stipulations of facts,
3. Provide for the exchange of documentary or other information, and
4. Achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.

c. During the hearing proceedings, the faculty member will be permitted to have an advisor of his/her own choice. The Vice President for Faculty and Student Affairs shall be present at all hearings and shall have the right to be assisted by an advisor.

d. A full record of the hearing or hearings will be made and transcripts will be made available to both the Vice President for Faculty and Student Affairs and the faculty member. The cost of the transcripts will be borne by the University.

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

f. The Hearing Committee will grant adjournments to enable either party to investigate evidence where a valid claim of surprise is made.

g. Both parties shall have the opportunity to respond in writing and orally to charges or allegations. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the Hearing Committee in securing witnesses and making available documentary and other evidence.

h. The faculty member and the administration will have the right to confront and question all witnesses. Where the witnesses cannot or will not appear, but the Committee determines that the interests of justice require admission
of their statements, the Committee will identify the witnesses, disclose their statements, and if possible provide for interrogation.

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

j. The Hearing Committee will not be bound by strict rules of legal evidence, and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.

k. The findings of fact and the decision will be based solely on the hearing records.

l. If the Hearing Committee concludes that adequate cause for a dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons.

m. Even though the Hearing Committee finds the dismissal both justified and appropriate, it may, in gross misconduct cases wherein the faculty member was suspended without pay, recommend some dismissal compensation up to salary for a year from the date of the notice of the dismissal.

n. After the conclusion of the case, the records and documents held by the Hearing Committee will be sealed and kept in the files of the Faculty Senate for five years and then destroyed. They may be opened only by vote of the Senate. Records transmitted to and retained by the President, and the Board of Trustees shall also be maintained in confidence by them until such records are destroyed.

C. Dismissal Procedures for Gross Misconduct

The Vice President for Faculty and Student Affairs (or, in the case of a faculty librarian, the Vice President for Information Resources) may recommend that the employment of a faculty member be terminated when the Vice President finds substantial and manifest evidence of gross misconduct (see Article V.A.4). If the President deems it necessary or in the best interest of the University, he/she may suspend a faculty member with pay at any point in the dismissal process. The President may also limit the faculty member’s access to campus and his/her interaction with other faculty members, staff members, or students.

In initiating the process to terminate the employment of a faculty member, the Vice President should base his/her judgment on the recommendations of a faculty member’s Department Chair,
the recommendations of any faculty committees appointed to investigate formal complaints, and the history of previous complaints against the faculty member as documented by the Assistant Vice President for Human Resources.

To recommend dismissal to the President, the Vice President shall convey to the faculty member a written statement prepared in consultation with the Department Chair (or University Librarian) and Chair of the Faculty Senate, and possibly others, indicating the grounds for the proposed dismissal and the Vice President’s intention to recommend dismissal to the President. (If the faculty member in question is also a Department Chair or the University Librarian, the Vice President shall prepare the written statement in consultation with the Chair of the Faculty Senate and at least one tenured faculty member recommended by the Faculty Senate.)

If there is no appeal, the President may accept, reject, or modify the recommendation of the Vice President. The President shall indicate his/her decision by conveying a written statement to the faculty member, the Chair of the Faculty Senate, and the Vice President. If the President accepts the Vice President’s recommendation to terminate employment, the President’s written statement will constitute notice of dismissal.

The faculty member has three (3) business days to notify the Vice President and the Faculty Senate that s/he is appealing the recommendation of dismissal. Such appeals will be heard by the Faculty Hearing Committee. Should the Hearing Committee include any member of the same department as the person making the appeal, or any member of the faculty who has been an official party to a previous grievance or appeals procedure or hearing in which the appellant was a principal, an alternate member must be selected.

The Hearing Committee will act as described in Chapter 3A, Article VI.B.1.c and d of the Faculty Handbook, and in accordance with the rules of procedure outlined in Chapter 3A, Article VI.B.3. Any review process requested by the Board of Trustees will proceed as outlined in Chapter 3A, Article VI.B.1.e.

At the end of the appeal process, the President or the Board of Trustees may accept, reject, or modify the recommendation of the Vice President. The decision of the President or the Board of Trustees shall be conveyed in a written statement to the faculty member, the Chair of the Faculty Senate, and the Vice President. If the President or the Board of Trustees accepts the Vice President’s recommendation to terminate employment, the written statement from the President or the Board of Trustees will constitute notice of dismissal.

In the case of dismissal for gross misconduct, the University will assume no obligation for the individual’s salary and benefits beyond the end of the month in which the dismissal notice is given.
D. Non-Reappointment of Non-Tenured Faculty and Punitive Conditions of Employment Cases

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

If a faculty member on probationary or other non-tenured appointment alleges that a decision not to reappoint him/her violates (1) academic freedom or (2) governing policies on making appointments without prejudice to race, sex, age, religion, or national origin, or if any faculty member, tenured or non-tenured, alleges that there are elements in his/her conditions of employment which are punitive and amount to making these conditions so unsatisfactory that they appear to be designed to influence him/her to resign without the protection of due process, he/she shall also be able to appeal through the same procedures set forth under Article VI.A.3 above. The only difference is that in these cases the burden of proof is upon the faculty member.

The faculty member shall initiate the procedures of personal conference. If the matter is not resolved through personal conference, the aggrieved faculty member shall address his/her request for an investigation to the Chair of the Faculty Senate. The petition to the Senate should indicate the general nature of the complaint and note the faculty member’s attempt to resolve the matter by personal conference, but details of the complaint should be submitted only to the Investigating Committee. The allegation will be given preliminary consideration by the Investigating Committee under the supervision of the Senate. The Senate will maintain supervision until the case has been resolved.

The allegation shall be accompanied by a statement that the faculty member agrees to the presentation, for the consideration of the Investigating Committee, of such reasons and evidence as the institution may allege in support of its decision.

The Investigating Committee will make such inquiry as it deems necessary, offer advice to the administration and faculty member, and attempt to effect an adjustment if it seems warranted in the view of the Committee. If the parties do not agree on a resolution of the matter, the Committee must report to the Senate either that the faculty member has no reasonable grounds for a hearing and that the matter is closed or that a hearing is warranted.

Although the parties in the dispute shall not have access to the original form of each other’s statements or documents, nor opportunity to question the other party, the Investigating Committee itself is entitled to compare statements and receive such further answers, responses or clarification as it deems necessary to the investigation in order to establish whether reasonable grounds for a hearing exist.

A finding on the part of the Investigating Committee of the existence of “reasonable grounds” is not to be construed as a final judgment on the merits of the allegations presented. Rather, it is an expression of the Committee’s belief that the circumstances of the case warrant referring the case to the Hearing Committee. In the event the Committee finds that a hearing is warranted, the Senate
will then refer the case to the Hearing Committee, and the records of the Investigating Committee will be given to the Hearing Committee. If the case is closed without a hearing, the records and all submitted documents will be sealed and kept in the files of the Senate for five years and then destroyed. They may be reopened only by a vote of the Senate.

If a hearing is to be conducted, the case will be heard in the manner set forth in the preceding section on dismissal procedures, except that the faculty member making the complaint is responsible for stating the grounds upon which he/she bases his/her allegations and the burden of proof shall rest upon the faculty member. The hearing shall then go forward under the same procedures and obligations on the part of all parties as obtained in dismissal cases.

It will be incumbent upon the Vice President for Faculty and Student Affairs and other administrators or faculty bodies who made the decision not to reappoint to produce in writing evidence in rebuttal to the allegation that non-reappointment was based on matters of academic freedom or of ethnic, religious, age, or sex discrimination. In cases involving allegations of punitive conditions of employment, such evidence should be in rebuttal to the allegation that the conditions are punitive as defined above.

The report of the Hearing Committee to the Faculty Senate should (1) make explicit its findings with regard to each of the allegations of the faculty member and (2) state its decision whether or not the faculty member should be retained in his/her position, or, in cases involving allegation of punitive conditions of employment, whether and how the faculty member’s conditions of employment should be revised. Any review of the Hearing Committee’s findings shall proceed the same as in dismissal cases.

**E. Inadequate Consideration Cases**

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

If a faculty member on probationary appointment alleges that a decision not to reappoint him/her was based on inadequate consideration, he/she has the right to petition the Faculty Senate to call upon the Investigating Committee to review the allegations after other institutional methods of appeal have been exhausted. The Committee will determine whether the decision was the result of adequate consideration in terms of the criteria and procedures for renewal of contracts and tenure. The Investigating Committee will not substitute its judgment on the merits in the case for that of the department making the original decision of non-reappointment.

If the Investigating Committee believes that adequate consideration was not given to the faculty member’s qualifications or that procedural standards of the University were violated, it will request reconsideration by the department and administrative officers involved in the decision, indicating the respects in which it believes the consideration may have been inadequate. Such cases shall not go to the Hearing Committee. The Investigating Committee will provide copies of its findings
to the faculty member, the Department, the President, the Vice President for Faculty and Student Affairs, and the Faculty Senate.

F. Publicity

Publicity about due process proceedings should be kept to a minimum. The proceedings and reports of the Investigating Committee, the Hearing Committee, and the Board of Trustees should be confined to members, the principals, and their advisors. Except for such brief announcements as may be required, covering the time of the hearing and related matters, public statements about the case by the Academic Faculty member, the administration, or other Trinity University personnel should be avoided as far as possible, especially until all proceedings have been completed.

Public announcement of the final decision is not required except in the minutes of the Faculty Senate, but if an announcement is made at all it should be brief and it should be made in such manner as not to harm the person or careers of the principals.

ARTICLE VII: FINANCIAL EXIGENCY

A. Principles and Procedures

(Amended by the Faculty April 28, 1995)

The declaration of and subsequent response to a condition of financial exigency involves a three-stage sequential process:

1. First is the determination whether extraordinary circumstances have brought the University to a demonstrably imminent financial crisis which threatens the survival of the institution as a whole, that is, a bona fide financial exigency. Such a determination requires a decision by the Board of Trustees on recommendation of the administration after formal consultation with the Faculty Senate. The Faculty Senate Committee on the University Budget recommends to the Faculty Senate whether a finding for a state of a bona fide financial exigency is justified.

2. Should the Board of Trustees decide that the University is in a state of financial exigency, the second stage involves the Board’s decision on (a) the extent of the condition and (b) which parts of the University need be affected. The University, as an academic institution, places the highest emphasis on academic areas—instruction and scholarship—in the distribution and use of University resources; the fiscal policies of the University should reflect such an emphasis.
3. The third stage involves decisions by the Board of Trustees on (a) which parts of the University’s academic programs will be affected and (b) which faculty positions, in case such drastic measures are necessary and the crisis cannot be alleviated by less drastic means, are to be eliminated. Such decisions will be reached on the recommendation of the academic officers of the institution and after formal consultation with the Faculty Senate. It is the primary responsibility of the faculty to determine where within the academic program reductions should be made. The retention of a viable academic program should necessarily come first. Before a decision is reached that a faculty position be eliminated and/or a faculty member’s services be terminated, the Faculty Senate and the administration will make every effort to explore alternatives to the elimination of the position and/or termination. Possible alternatives include, but are not necessarily limited to, a hiring freeze, a retirement incentives program, a reduction from full-time to part-time status, or transfer to another suitable position within the University. If a reasonable period of retraining is necessary for such transfer, the cost of retraining might be borne by the University. A decision to adopt an alternative to termination must be mutually acceptable to the individual concerned and the administration and must be governed by the guidelines and procedural safeguards contained in this document.

B. Individual Selection and Individual Rights

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

Once a decision to reduce a specific department or departments has been made, it will be the responsibility of those departments, together with the President and the Vice President for Faculty and Student Affairs, to recommend to the Board of Trustees the positions to be eliminated. Specific procedures shall be determined by the departments; the selection of positions to be eliminated must involve the Chair and all tenured members of the Department, plus the President and the Vice President for Faculty and Student Affairs.

The procedures in this policy ensure that the termination of a faculty appointment, either tenured or probationary, because of financial exigency is distinct from dismissal for cause. The necessity for the elimination of the position must be shown, and fair hearing procedures must be followed, but nothing in the procedure should imply a lack of fitness of the individual ultimately affected to occupy either a permanent or probationary position.

1. As departments consider particular reductions, rights under academic tenure should be protected. Tenured members of the faculty should normally be retained in preference to non-tenured members. However, exceptions to this general policy may become necessary if following it will lead to serious gaps or distortions in particular disciplines. Even in those cases where an entire department is to be phased out, the rights of all
individuals affected will be protected as noted below.

2. A faculty member whose position is targeted for elimination has a right to be heard by his/her departmental colleagues as well as the President and the Vice President for Faculty and Student Affairs before the decision is reached.

3. If the administration issues notice to a particular faculty member of an intention to terminate the appointment because of financial exigency, the faculty member will have the right to a full hearing before the Hearing Committee. The issues in this hearing may include:

   - The existence and extent of the condition of financial exigency. The burden will rest on the administration to prove the existence and extent of the condition. The findings of the Faculty Senate regarding financial exigency may be introduced.
   - The validity of the academic criteria for identification for termination—but the recommendations of the Faculty Senate on these matters will be considered presumptively valid.
   - Whether or not the criteria are being properly applied in the individual case.

The final review of all controverted issues will be made by the President and the Board of Trustees.

4. In those cases necessitating termination of a faculty member, at least a year’s notice is mandatory. In the case of a probationary faculty member, if the need to make reductions emerges after the date by which notice should be given, financial compensation will be awarded within the then-available resources of the University.

5. If an appointment is terminated before the end of the period of appointment because of financial exigency, the released faculty member’s place will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

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ARTICLE VIII: PROCEDURES FOR SANCTIONS OTHER THAN DISMISSAL

A. Severe Sanctions

If the Vice President for Faculty and Student Affairs (or, in the case of a faculty librarian, the Vice President for Information Resources) believes that the misconduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe
sanction, such as suspension from service for a stated period or reduction in rank or salary, the Administration may impose such a sanction. The Vice President must convey to the faculty member a written statement prepared in consultation with the Department Chair (or University Librarian) indicating the grounds for the proposed sanction. (If the faculty member in question is also a Department Chair or the University Librarian, the Vice President will prepare the written statement in consultation with one tenured faculty member recommended by the Faculty Senate.)

The faculty member will have the right to appeal the sanction to the Hearing Committee. This appeal must be made in writing to the Chair of the Senate within 3 business days. The Senate will direct the Hearing Committee to investigate the matter and make a recommendation to the President. Should the Hearing Committee include any member of the same department as the person making the appeal, or any member of the faculty who has been an official party to a previous grievance or appeals procedure or hearing in which the appellant was a principal, an alternate member must be selected.

B. Minor Sanctions

If the administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a reprimand, it shall notify the faculty member of the basis of the proposed sanction and provide him/her with an opportunity to present evidence that the proposed sanction should not be imposed. If the faculty member believes that his/her evidence has not been given proper consideration, he/she may petition the Grievance Committee as provided in Article IX.

ARTICLE IX: GRIEVANCE PROCEDURES

A. Grievance Committee

The Grievance Committee will consist of three members and three alternates from the Academic Faculty appointed annually by the Faculty Senate.

B. Petition

Any faculty member who has cause for grievance in any matter not otherwise covered in this document may petition the Grievance Committee for redress. The petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall contain any factual or other data which the petitioner deems pertinent to the case. The Committee will
have the right to decide whether or not the facts merit a detailed investigation. Submission of a petition will not automatically entail investigation or detailed consideration thereof.

C. Procedures

The Committee will seek to bring about a settlement. If in the opinion of the Committee such a settlement is not possible or is not warranted, the Committee will report its findings and recommendations to the petitioner, to the appropriate administrative officer, and to other involved parties. The Grievance Committee shall report its disposition of all petitions to the Faculty Senate.

ARTICLE X: STANDARDS FOR RANKS AND PROMOTION

The following standards for ranks and promotion are normal qualifications and are intended to be flexible. Meeting the requirements of a particular rank does not automatically insure appointment or promotion to that rank. Moreover, exceptions to some requirements may be made for individuals who are judged to be qualified for a certain rank by reason of recognized competence in their fields.

A. Faculty Ranks

1. Instructor. A person appointed to this rank shall have earned at least the Master’s degree in the area to which he/she is appointed or shall have achieved the equivalent in graduate education, such as persons who have completed all doctoral work except the dissertation.

2. Assistant Professor. A person appointed or promoted to this rank shall have earned the highest degree appropriate to the discipline.

3. Associate Professor
   a. A person appointed or promoted to this rank shall have earned the highest degree appropriate to his/her discipline.
   b. The candidate for promotion to the rank of Associate Professor shall, at the time of consideration, have had not less than five years of experience in teaching, or librarianship at the rank of Assistant Professor.
   c. He/she shall have demonstrated ability to contribute to his/her field as evidenced by such scholarly activities as research projects, grants, awards, leadership in learned societies, and publications or artistic production.
4. Professor

a. A person appointed or promoted to this rank shall have earned the highest degree appropriate to his/her discipline.

b. He/she shall have established a record of effectiveness as a teacher, or librarian, a record of scholarly or artistic productivity, and a record of leadership in the University and/or the larger community, which is, on the whole, outstanding. Neither possession of the relevant degree, nor seniority in the department, nor a combination of both shall alone be sufficient cause for promotion to this rank.

c. The candidate for promotion to the rank of Professor shall, at the time of consideration, have had no fewer than five years of experience at the rank of Associate Professor.

B. Faculty Promotions

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

1. Merit. Promotion is based on merit and is not automatic.

2. Criteria. Promotion shall be based on the same criteria used in considerations of reappointment and tenure (Article IV.G).

3. Procedures

a. Nominations. Recommendations for promotions will normally originate in the department and will involve all tenured members. All faculty members eligible for promotion according to the formal criteria of experience and degree shall be evaluated each year with respect to promotion unless faculty members elect not to be candidates. Consideration of faculty members whose promotion would involve an exception to the formal criteria may be initiated by the faculty member, the department, or the administration. The process of evaluation and reporting is the same as that for reappointment or non-reappointment (Article IV.E) except that the recommendation is for or against promotion.

The President or the Vice President for Faculty and Student Affairs may initiate the evaluation process for promotion, but the Chair and all tenured members of the appropriate department must be involved in the process.

These procedures also shall be followed in cases involving both initial appointment to the Faculty of Trinity University and promotion to a higher
ARTICLE XI: PUBLIC SERVICE AND POLITICAL ACTIVITIES FOR MEMBERS OF THE ACADEMIC FACULTY

The University recognizes the rights of Faculty to accept public service, professional or political, provided such service does not interfere with academic responsibilities. If in a particular case an Academic Faculty member believes that his/her freedom to so participate is being unduly limited by the administration, he/she may petition the Grievance Committee.

A. Public Service

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

It is the policy of the University to make its personnel available for public service of a professional character:

1. If the individual’s University duties can continue to be performed satisfactorily.

2. If the individual confines his/her testimony or counsel to matters within his/her professional competence needed by public officials in weighing the relative merits of alternate courses of action.

3. If the individual’s remuneration beyond out-of-pocket expense does not infringe on regulations binding on the University.

All faculty requested by public officials to perform such services shall notify their Chair and the Office of Academic Affairs of the nature and conditions of the assignment.

B. Election to Public Office

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

Members of the Trinity University Faculty may accept such public offices as are tendered, and which do not interfere with the individual’s performance of his/her contractual duties at the University. Upon nomination for elective public office, the candidate should consult with the appropriate
Chair and the Office of Academic Affairs with a view toward reaching an agreement upon a formal leave of absence without pay from the University for the duration of the election campaign:

1. If the office for which the individual is running carries with it more than nominal remuneration beyond out-of-pocket expenses; and/or

2. If holding such office would interfere in any way deemed significant by officers of the University with the performance of the candidate’s assigned University duties.

University personnel who are candidates for any elective office other than those described above have the privilege of seeking and holding such office (e.g., membership on local school boards or as members of the City Council) without modification of the terms and conditions of their University status.

A faculty member shall not intentionally exploit his/her association with Trinity University, nor shall he/she allow others to do so in his/her behalf.

C. Appointment to Public Office

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

The University recognizes the importance of staffing public agencies with knowledgeable people and will cooperate, when possible, by making members of its faculty and staff available for appointive public office under the following conditions:

If the duties and responsibilities of the appointive office do not interfere with the individual’s duties at the University (e.g., appointment as a member of a State Board of Licensure), he/she may accept appointment to public office without modification of his/her contract with the University; if the appointment does, in any way deemed significant by officers of the University, interfere with the individual’s performance of his/her University duties, he/she may petition the Office of Academic Affairs for leave of absence.

D. Participation in Political Campaigns

It is the right of every citizen, as a citizen, to participate in partisan political activities; however, the individual’s relationship to the University is not to be exploited in such partisan campaign activity.
ARTICLE XII: AMENDMENT PROCEDURE

The Trinity University Policy Statement on Academic Freedom, Responsibility, and Employment Faculty (Chapter 3A) may be amended by

1. A majority of the membership of the Faculty Senate;
2. A majority of the Trinity University Academic Faculty; and
3. The Trinity University Board of Trustees.

Amendments may be initiated by the Faculty Senate, the Academic Faculty, or the Board of Trustees. Before voting upon a prepared amendment, at least fourteen days notice shall be given in writing to the membership of the Senate, the Academic Faculty, and the Board of Trustees.
(XIII). APPENDIX: SUMMARY OF TIMETABLE FOR EVALUATING PROBATIONARY FACULTY

Please note: This table must be supplemented by annual calendars specifying dates for each step of the review process and by careful reading of Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement). Also note that this appendix is a summary derived from the policy statement, and its language is not governed by the amendment procedure stated in Article XII.

<table>
<thead>
<tr>
<th>Year of Probationary Service</th>
<th>Decision Regarding Appointment to:</th>
<th>Type of Evaluation</th>
<th>Department Begins Process:</th>
<th>Notification Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Year</td>
<td>2nd Year</td>
<td>Informal (unless concerns regarding reappointment require FORMAL)</td>
<td>January</td>
<td>March 1</td>
</tr>
<tr>
<td>2nd Year (Fall)</td>
<td>3rd Year</td>
<td>Informal (unless concerns regarding reappointment require FORMAL)</td>
<td>September</td>
<td>December 15</td>
</tr>
<tr>
<td>2nd Year (Spring)</td>
<td>4th Year</td>
<td>Formal</td>
<td>January</td>
<td>March 31 (May 31)</td>
</tr>
<tr>
<td>3rd Year</td>
<td>5th Year</td>
<td>Informal (unless concerns regarding reappointment require FORMAL)</td>
<td>January</td>
<td>March 31 (May 31)</td>
</tr>
<tr>
<td>4th Year</td>
<td>6th Year</td>
<td>Formal</td>
<td>January</td>
<td>March 31 (May 31)</td>
</tr>
<tr>
<td>5th Year</td>
<td>7th Year</td>
<td>Informal (unless concerns regarding reappointment require FORMAL)</td>
<td>January</td>
<td>March 31 (May 31)</td>
</tr>
<tr>
<td>6th Year (or next to last year of faculty member’s probationary period)</td>
<td>Mandatory Tenure Decision</td>
<td>Formal</td>
<td>September</td>
<td>March 31 (May 31)</td>
</tr>
</tbody>
</table>

The table is based on the maximum probationary period. Prior credit may cause the tenure decision year (the next to last year of the individual’s maximum probationary period) to be moved earlier. Until the tenure decision year, however, the calendar of evaluations and notification deadlines...
is based on the principle that the first probationary contract at Trinity University constitutes the “first year” of the calendar regardless of how much prior credit is applied. Thus the calendar is applicable to all probationary appointments until the year when mandatory tenure review (based on prior credit) takes precedence.

As a matter of practice, notification of non-reappointment to a subsequent academic year is done by the time of the March 31 contract, and the contract carries notice of its terminal nature. However, Trinity University policy (assuming two years service) allows notification of non-reappointment up to May 31 of the academic year prior to termination. Decisions regarding reappointment or tenure may cause a delay in issuance of a contract past the normal March 31 date (and up to the May 31 deadline at the latest) in order to determine the terminal or continuing probationary (or tenured) nature of the contract.

A departmental recommendation of non-reappointment may not be based on the “Informal” review process. If the tenured faculty anticipate any significant concerns regarding reappointment, such as to require implementation of an “off year” formal evaluation, the faculty member should be notified as early as possible in order to allow preparation of the self-evaluation and supporting materials. If the department decides to implement such an evaluation only shortly before its recommendation is due, the timetable must be reasonably adapted to allow fair preparation and consideration within the limits of notification deadlines.
DOCUMENTATION FOR CANDIDATES FOR PROMOTION AND TENURE

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

The Constitution of the Faculty Organization at Trinity University (Chapter 2A) Article V.A.1 instructs members of the Commission on Promotion and Tenure to “review every departmental recommendation to grant or deny tenure, or to grant or deny promotion, to a member of the faculty. In making its review and formulating its recommendations, the Commission shall have as its primary concern the maintenance of fair and objective standards for peer-review decisions across the University.” Evaluations of each candidate are to be based on the criteria stated in Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement) Article IV.G:

1. Quality of teaching or librarianship,
2. Quality of scholarship, research, or professional or artistic achievements, and
3. Service to the department, the University, the profession, and the community.”

In preparing documentation addressing the above criteria, candidates and departments should follow guidelines below in order to provide the most complete and informative presentations to the Commission.

In particular, candidates and departments are encouraged to submit materials in a common format, not only in the documentation but in addressing each of the criteria. The experience of the Commission indicates that the inclusion of certain critical items in a uniform way facilitates fairness and more informed decisions. Of particular importance to the Commission is the review by each tenured member of the department, including the Chair, and the Chair’s written statement of the departmental recommendation including a summary of the reasons for this recommendation (see Chapter 3A Article IV.E: Evaluation of Probationary Faculty). Because the documentation will, under normal circumstances, include outside evaluations of the candidate’s scholarship, research, and professional or artistic achievements, each department shall devise a clearly stated policy for selecting outside evaluators and shall clearly describe the task which outside evaluators should perform.

To assist the candidate and the department, the Commission on Promotion and Tenure recommends the following format:

1. A brief guide to the submitted material (i.e., a Table of Contents).
2. A written explanation of:
   (a) The procedures of the department.
   (b) The relative weight of the criteria stated in Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement) Article IV.G.
3. A description of any agreement between the University and the applicant concerning specific
duties during the evaluation period, and an explanation of how this agreement should affect
the relative weight of the three criteria.

4. A current expanded curriculum vitae.
   (a) Include standard entries pertaining to:
      i. Education;
      ii. Current and previous professional experience;
      iii. Teaching responsibilities;
      iv. Biographical data;
      v. Service to department, University, profession and community;
      vi. Honors and awards; and
      vii. Other scholarly activities.
   (b) Identify bibliographical items carefully, using standardized citations and complete in-
       formation on each entry. Indicate refereed articles or presentations, primary author and
       approximate percentage of contribution in multi-authored works, specific information
       about grants or fellowships, status of works-in-progress or works submitted for publi-
       cation.

5. A self-evaluation based on the three criteria identified in Chapter 3A: Academic Freedom,
   Responsibility, and Employment of Faculty (Policy Statement) Article IV.G. The Commission
   emphasizes the importance of this document and urges the candidate to take great care in its
   preparation and to address each of the criteria: teaching, research/artistic achievement, and
   service.
   (a) Teaching. Describe goals, philosophy, expectations. List courses taught and discuss
       development, improvements, future directions. Provide an analysis of student evalua-
       tions of your teaching, using tables, charts and other data if appropriate. Indicate how
       you have contributed to the department’s and University’s expectations on teaching.
   (b) Scholarship, research and/or professional or artistic achievement. Describe goals, phi-
       losophy, expectations. Indicate your areas of interest and achievements in terms of
       publications, presentations, performances, exhibitions, and inclusion in the classroom.
       Discuss the quality of the journals and/or the refereed nature of your publications or
       presentations. Provide information on future research goals.
   (c) Service. Describe your University, professional, and community activities. Discuss
       their impact on your self-development and on the other criteria. (Within this self-
evaluation, please address advising by describing your participation, your approach and procedures, your results.)

6. Information Concerning Teaching. Under normal circumstances this will include:

(a) Student evaluations (It is suggested that persons submitting materials for promotion to professor should include evaluations since their promotion to associate professor).

(b) Course syllabi, sample assignments, tests.

(c) Descriptions of participation on graduate thesis and/or project committees, if applicable.

(d) Development of new courses and programs.

(e) Grade distributions (It is helpful if the candidate submits summaries or trend analyses of the results of the evaluations submitted).

7. Evidence of scholarship, professional achievement, and artistic achievement. Under normal circumstances this will include:

(a) Lists of publications, including journal articles, proceedings, presentations, exhibits, performances (Audio or video tapes may be included).

(b) Copies of publications. If publication is a portion of a collective work or a reference work, a photocopy of the candidate’s contribution is sufficient.

(c) Reviews of books, plays, performances, exhibitions, findings.

(d) Evaluations by peers internal and external to the University. Inclusion of the following is required:
   
   i. Procedures of the department in selecting external reviewers,
   
   ii. Information solicited and materials provided to the reviewer, and
   
   iii. Biographical information on the external reviewer

(e) Descriptions and examples of written research proposals.

(f) Descriptions of grants received.

(g) Descriptions of honors and awards.

8. Evidences of service to the department, the University, the profession, and community. Under normal circumstances this will include:

(a) Lists and descriptions of activities.

(b) Copies of reports completed.
(c) Descriptions of results achieved.

9. Peer evaluations by each tenured member of the applicant’s department.
   
   (a) An evaluation from each member, including the Chair’s individual evaluation. University policy requires that each tenured member evaluate the candidate in respect to all three criteria: teaching, research/artistic achievement, and service.
   
   (b) Even if a tenured member is on academic or administrative leave, his or her contribution is highly desirable.

10. The Chairperson’s summary of the tenured members’ evaluations and the departmental recommendation pertaining to the granting of tenure and/or promotion.
I. SELECTION, EVALUATION, AND RETENTION OF ADMINISTRATORS

(Also known as the Policy Statements on Academic Administrative Governance.)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

For the integrity and effectiveness of the academic process it is essential that members of the Academic Faculty play a significant role in the selection of academic administrators, including the President of the University, the Vice President for Faculty and Student Affairs, Associate Vice Presidents for Academic Affairs, the Vice President for Information Resources, Associate and Assistant Vice Presidents for Information Resources, the departmental and program Chairs, the University Librarian, the Director of Institutional Research, the Director of Information Technology Services, and other academic administrators who hold rank as members of the Academic Faculty and/or who are directly involved with the Faculty in the academic life of the University. It is equally important that members of the Academic Faculty participate significantly in the periodic evaluation of the academic administrators whom they have helped to select and that they contribute significantly to judgments and decisions regarding the retention or non-retention of such administrators. To this end, the following policies are prescribed for the selection, evaluation, and retention or non-retention of academic administrative officers of the University.

A. Selection of the President

Policies regarding the selection, evaluation, and retention or non-retention of the President of the University are set forth in the Charter and Bylaws of the University.

B. Selection of Academic Administrators Other Than the President

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

1. In all selections, except internal searches for departmental and program Chairs, Search Committees shall be employed.
2. Members of each Search Committee shall be appointed by the appropriate administrative officer; i.e., by the President of the University for the selection of the Vice President for Faculty and Student Affairs and for Information Resources; by the Vice President for Faculty and Student Affairs for the selection of Associate Vice Presidents for Academic Affairs, departmental Chairs, and program Chairs; and by the Vice President for Information Resources for the selection of Associate and Assistant Vice Presidents for Information Resources, the Director of Institutional Research, the University Librarian, and the Director of Information Technology Services.

3. Nominations of faculty members for appointment to Search Committees for all academic administrators shall be made by the Faculty Senate. Part-time faculty members, faculty members on term appointments, faculty members who have completed less than one academic year as members of the Trinity University Academic Faculty, and faculty members who are currently serving as administrative officers of the University above the level of departmental or program Chair shall not be nominated for membership on Search Committees.

4. Search Committees shall be composed as follows:

   a. For the Vice President for Faculty and Student Affairs, Associate and Assistant Vice Presidents for Academic Affairs, a majority of the membership of the Committee shall be members of the Academic Faculty. The Committee shall also include at least one student nominated by the appropriate student body or bodies and administrative personnel appointed by the President.

   b. For the Vice President for Information Resources, Associate and Assistant Vice Presidents for Information Resources, the Director of Institutional Research, and the Director of Information Technology Services, the Committee shall include four members of the Academic Faculty including the Library, as well as one representative each from Information Technology Services, the Registrar, and Conferences and Special Programs.

   c. In case of an open search for a departmental or program Chair, the Committee normally shall include the tenured members of the department, one tenured member of some other department, and either one or two students nominated by the Faculty members of the Search Committee. A majority of the Committee shall be tenured members of the department unless the department has fewer than three tenured members. In cases where a department or program includes fewer than three tenured members, the Vice President for Faculty and Student Affairs shall appoint one or more additional members of the Search Committee after consultation with all tenured members of the department or program.
5. The Chair of the Search Committee for the Vice President for Faculty and Student Affairs, Associate Vice Presidents for Academic Affairs, and the University Librarian shall be appointed from among the faculty members of the Committee by the appropriate administrative officer. The nomination for that appointment shall be made by the Faculty Senate. Faculty members of the Committee conducting an open search for a departmental or program Chair shall send nominations for the Chair of the Search Committee to the Vice President for Faculty and Student Affairs, who will make the appointment.

6. At the outset of every search, a written understanding and rationale shall exist between the appointing administrative officer and the Search Committee as to whether an open or an internal search (or both) is envisioned. If an open search is envisioned, all relevant sections of the *Trinity University Policy Statement on Academic Freedom, Responsibility, and Employment of Faculty (Chapter 3A)* regarding faculty appointment and granting of tenure must be followed. The Search Committee shall formulate in writing any public announcements that are to be made of the position and a description of the proposed search procedures, both of which shall be submitted to the Faculty Senate for its information, and to the appointing administrative officer and the University’s Affirmative Action Officer for their approval. For the selection of each departmental or program Chair, the Vice President for Faculty and Student Affairs shall consult with all members of the department or program, both individually and collectively, in order to reach a clear understanding as to whether an open or an internal search (or both) is envisioned.

7. In the event that a purely internal search is envisioned for a departmental or program Chair, the Vice President for Faculty and Student Affairs shall consult with all members of the department or program, both individually and collectively, in order to determine whether there is a majority view within the department or program regarding the selection of a Chair. As a general operating procedure, the Vice President for Faculty and Student Affairs will appoint a department Chair whom a majority of the department’s or program’s tenured and tenure-track faculty support. If the Vice President for Faculty and Student Affairs objects to the majority’s view, he/she will propose an alternative and provide the department with written justification for that proposal. At such a point, the department will have an opportunity to reconsider its initial selection. In all but exceptional cases, the chair should be a tenured member of the department or program and will not be appointed without the consent of the majority of tenured and tenure-track members of that department or program.

8. After completing its search process, the Search Committee shall submit to the appointing administrative officer the names of between three and five nominees (between one and three in a search for a departmental or program Chair) with a written evaluation of the strengths and weaknesses of each, all of whom are acceptable to
the Committee. The Committee may rank its nominees in order of preference if it so wishes. If the appointing administrative officer decides to appoint one of the nominees other than the one ranked first by the Search Committee, he/she shall communicate this decision to the Search Committee before making the appointment. No one shall be appointed who was not recommended by the Search Committee.

9. The power to appoint the Vice President for Faculty and Student Affairs and the Vice President for Information Resources rests with the President, after he/she has obtained the approval of the Board of Trustees or of the Executive Committee of the Board acting for the Board. The power to appoint Associate Vice Presidents for Academic Affairs and departmental and program Chairs rests with the Vice President for Faculty and Student Affairs after obtaining the approval of the President of the University. The power to appoint Associate and Assistant Vice Presidents for Information Resources, the University Librarian, the Director of Institutional Research, and the Director of Information Technology Services rests with the Vice President for Information Resources after obtaining the approval of the President of the University.

10. The initial appointments of all administrative officers (except departmental and program Chairs) shall be for a term of five years, with the possibility of reappointment for one or more subsequent five-year terms. The term of office of departmental and program Chairs shall be three years, with the possibility of reappointment for one or more subsequent three-year terms. The appointing administrative officers retain their authority to dismiss appointees prior to the completion of their terms of office.

11. For the selection of other academic administrators who hold rank as members of the Academic Faculty and/or who are directly involved with the faculty in the academic life of the University, specific procedures, analogous to those described above, shall be formulated for each case through consultation involving the appropriate administrative officer(s) of the University and the Faculty Senate. In each case, however, members of the Academic Faculty who have been nominated by their colleagues for this purpose shall be actively involved in the selection of such administrators.

12. Interim and Acting Academic Administrators

   a. Interim and acting appointments of academic administrators may be made by the appropriate administrative officer. Acting appointments shall be used for the temporary replacement of administrators who are expected to resume their office after a brief absence. Interim appointments shall be used when circumstances require a delay in making a regular term appointment.

   b. In the case of academic administrators other than departmental or program Chairs, the appointing administrator shall consult with the Faculty
Senate and with appropriate academic administrators (e.g., departmental and program Chairs) regarding the circumstances requiring the appointment and the individual to be selected for appointment. In the case of an interim or acting appointment of a departmental or program Chair, the Vice President for Faculty and Student Affairs shall consult with all members of the department or program regarding the circumstances requiring the appointment and the individual to be selected for appointment. In all but exceptional cases, the interim or acting department or program chairs should be tenured members of the department or program and will not be appointed without the consent of the majority of tenured and tenure-track members of that department or program.

c. No interim administrative officer shall be appointed for more than two consecutive years. In emergencies, interim appointments may be renewed for one additional year after consulting with the Faculty Senate and with appropriate academic administrators (e.g., departmental and program Chairs) regarding the circumstances.

C. Evaluation of the Vice President for Faculty and Student Affairs, Associate Vice Presidents for Academic Affairs, the Vice President for Information Resources, and the University Librarian

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001; amended by the Academic Faculty Assembly on December 8, 2011.)

1. Early in the fifth year of the administrator’s term of office, unless he/she indicates a desire not to be considered for reappointment, a Review Committee shall be constituted for the purpose of evaluating the performance of the administrator in question and submitting a report along with a recommendation for either reappointment or non-reappointment for an additional five-year term. This evaluation shall cover both the performance of the administrator per se and the total operation of his/her office, including the performance of any staff. The Review Committee shall include the members of the Administrator Review Oversight Committee (AROC; three faculty members, one staff member) and one optional discretionary member, depending on the administrator being reviewed. Nominations of the discretionary member for appointment to Review Committees for all academic administrators shall be made by the Faculty Senate, and the appointments shall be made by the VPFSA or the President. Faculty members who have completed less than one academic year as members of the Trinity University Academic Faculty and faculty members who are currently serving as administrative officers of the University above the level of departmental or program Chair shall not be nominated for membership on Review Committees. Standard pro-
CHAPTER 3. FACULTY GOVERNANCE POLICY

2. Early in the third year of the administrator’s term of office, the Faculty Senate shall determine whether to request an informal review and notify the Faculty of its decision. The purpose of an informal review is to provide recommendations that are needed for the improvement of performance. The Review Committee shall be constituted in the manner described in Paragraph C.1 above. This evaluation need not result in a recommendation regarding continuation or non-continuation in office. After completing its work, the Review Committee shall submit its report to the appointing administrative officer. The appointing administrator shall share recommendations that are needed for the improvement of performance with the person being reviewed. The report shall also be available for use during the subsequent formal review, as well as by any other Re-
view Committee as described in Paragraph C.3 below. AROC will maintain a repository of all electronic and paper documents related to the evaluation, and they shall be destroyed three years after the review.

3. At any point during the term of office, a formal evaluation of the performance of the administrator shall be carried out if requested by the appointing administrative officer, the administrator himself or herself, or by at least one-half of the members of the Faculty. In such cases, the Review Committee shall be constituted in the manner described in Paragraph C.1 above, and the procedures to be followed shall be analogous. The purpose of the Review may be either improvement of performance or recommendation regarding continuation or non-continuation in office or both. The process for communicating the outcome of review to all constituents will be analogous to those in Paragraph C.1 above. Except under highly unusual circumstances, administrators shall not be dismissed during their term of office without following the procedures described above; if such dismissal should occur, however, the appointing administrative officer shall immediately inform the Faculty regarding the action and, insofar as possible, the circumstances leading to the action.

4. AROC will entertain additional requests for administrative reviews.

D. Evaluation of Chairs of Departments and Programs

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

1. Early in the third year of the Chair’s term of office, unless the Chair indicates a desire not to be considered for reappointment or the Vice President for Faculty and Student Affairs indicates an unwillingness to consider him/her for reappointment, the Vice President for Faculty and Student Affairs shall meet in person with each member of the department or program, unless the member has been employed less than one year or is not on campus (for example, on leave), in order to determine whether there is a majority view within the department or program regarding the performance of the Chair during his/her term of office and the desirability of his/her reappointment for an additional three-year term. In addition, at the request of either the majority of the members of the department or the Vice President for Faculty and Student Affairs, members of the department shall meet collectively with the Vice President of Faculty and Student Affairs. If there is a majority view within the department or program, and particularly if the tenured members of the department or program support this majority view, but the Vice President for Faculty and Student Affairs decides not to follow this majority view, he/she shall communicate this decision to the members of the department or program and shall provide ample opportunity for members of the department or program to argue their case before making the final decision. In the
event that the final decision is to reappoint, any recommendations for improvement of performance from members of the department or program shall be communicated to the Chair by the Vice President for Faculty and Student Affairs.

2. At any time during a Chair’s term of office, the Vice President for Faculty and Student Affairs shall carry out a review of the Chair’s performance if the Vice President for Faculty and Student Affairs believes this to be desirable, if it is requested by the Chair, or if it is requested in writing by at least two-thirds of the full-time members of the department or program who have been in the department or program at Trinity University for at least two years. In such cases, the procedures shall be the same as those described in Paragraph D.1 above.

E. Other Academic Administrators who hold Rank as Members of the Academic Faculty and/or who are Directly Involved with the Faculty in the Academic Life of the University

For the selection, evaluation, and retention or nonretention of other academic administrators who hold rank as members of the Academic Faculty and/or who are directly involved with the faculty in the academic life of the University, specific procedures, analogous to those described above, shall be formulated for each case through consultation involving the appropriate administrative officer(s) of the University and the Faculty Senate. In each case, however, members of the Academic Faculty who have been nominated by their colleagues for this purpose shall be actively involved in the selection, evaluation, and decisions regarding the retention or nonretention of such administrators.

II. CURRICULUM AND ACADEMIC POLICY

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

Responsibility for curriculum, academic policy, and planning is shared among various bodies and offices in the University. The Constitution of the Faculty Organization (Chapter 2A), bylaws of each group, and the job description for each office can be found in the Faculty and Contract Staff Handbook. Article II as well as Articles III-VII of this policy statement address the major areas of responsibility of each body and office as these responsibilities are shared at each level. These shared tasks include curricular and academic policy, resource development and management, salaries, faculty recruitment, and conflict mediation. The University Curriculum Council is the agency of the Academic Faculty exercising the Faculty’s authority and responsibility in the area of curriculum and academic policy. The University Curriculum Council insures that the University-wide effects of individual curricular proposals are fully considered and evaluated. The primary responsibility for the development and administration of courses and degree programs resides in the departments. The Office of Academic Affairs is responsible for coordination of programs, and the Vice President for Faculty and Student Affairs, along with the University Curriculum Council,
is responsible for University-wide academic planning. Approval of all new courses, majors, degree programs, and academic policies, as well as changes in and terminations of the same, rests with the University Curriculum Council. Actions of the University Curriculum Council are subject to approval by the Academic Faculty Assembly and, where appropriate, by the Board of Trustees.

The following policies shall be followed in matters pertaining to academic planning. In the following sections, the term “Chairs” includes both Chairs and program Directors; “departments” includes both departments and programs.

A. Departments

Under the leadership of the Chairs, departments are responsible for developing and reviewing academic programs and policies.

B. Chairs

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

In consultation with departmental faculty, Chairs are responsible for:

1. Transmission and articulation of departmental curricular proposals to the Office of Academic Affairs and University Curriculum Council,

2. Scheduling classes, subject to the approval of the Office of Academic Affairs,

3. Coordinating academic leaves, summer scheduling, released time, and other curricular demands on departmental resources, and

4. Insuring the most efficient use of the academic resources of the department.

C. Vice President for Faculty and Student Affairs

In consultation with the Academic Council, the Vice President for Faculty and Student Affairs and his/her office are responsible for:

1. The development of new academic programs consistent with the liberal arts traditions and goals of the University,

2. Insuring that the planning process includes consideration of societal needs, potential trends in academic programs, and fiscal considerations,

3. General implementation of programs,
4. Assuring that program coordination is developed and continually reviewed,
5. Assigning responsibility for programs, resources, and facilities,
6. Recommending program modification or elimination to the University Curriculum Council,
7. Reporting to the President and the Board of Trustees the status and direction of academic programs, and
8. Informing the faculty of evaluations of existing programs and proposals for new programs.

III. RESOURCE DEVELOPMENT AND MANAGEMENT RESPONSIBILITY

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

Departments, under the leadership of the Chairs, are responsible for reviewing, developing, and recommending departmental budgets.

Chairs are responsible for administering departmental budgets, encouraging faculty development, and managing the physical resources of the department.

The Vice President for Faculty and Student Affairs, in consultation with the departmental Chairs, is responsible for reviewing, developing, and recommending the academic budget. The Vice President for Faculty and Student Affairs will charge the Chairs and the Directors with development and administration of the details of the budget. The Vice President for Faculty and Student Affairs will insure that Director and Chairs are accountable through the budgetary process for the developments of priorities within the departments.

The Vice President for Faculty and Student Affairs is responsible for identifying existing and potential resources and making advantageous use of these resources by review and allocation.

IV. SALARY RECOMMENDATIONS

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

The Chair or University Librarian shall initiate and implement the evaluation of faculty members for matters of salary. The Chair shall obtain information from the faculty members in the department and use this information in preparing evaluations and salary recommendations for the Vice
President for Faculty and Student Affairs. The University Librarian shall obtain information from the faculty members in the Library and use this information in preparing evaluations and salary recommendations for the Vice President for Information Resources. Before an evaluation and salary recommendation concerning a particular faculty member are sent to the appropriate Vice President, that faculty member must be allowed to inspect these items and to prepare a written statement to accompany them, if he/she so desires. In the case of Chair evaluations and salary recommendations, the Vice President for Faculty and Student Affairs shall follow analogous procedures.

The Vice President for Faculty and Student Affairs and the Vice President for Information Resources shall recommend faculty salaries to the President. Recommendations from the Vice President for Faculty and Student Affairs and the Vice President for Information Resources to the President must be accompanied by the evaluations and recommendations prepared by the Chairs or University Librarian, and all written statements prepared by any of the parties involved.

A faculty member who wishes to appeal a salary decision must appeal through the Chair—Vice President for Faculty and Student Affairs—President route or the University Librarian—Vice President for Information Resources—President route. If he/she is still dissatisfied with the decision and alleges that the salary decision is punitive and amounts to making his/her conditions of employment so unsatisfactory that they appear to be designed to influence him/her to resign without the protection of due process, he/she may then appeal this decision in the manner set forth in the Trinity University Policy Statement on Academic Freedom, Responsibility, and Employment of Faculty (Chapter 3A).

V. FACULTY RECRUITMENT

Refer to Article IV.C of the Trinity University Policy Statement on Academic Freedom, Responsibility, and Employment of Faculty (Chapter 3A).

VI. BODIES OF ADVICE AND CONSENT

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

Chairs and the University Librarian will meet regularly with the members of their departments for advice and consent on matters of concern to departments. Chairs and the University Librarian will represent and serve as their departments’ advocates.

Chairs must also articulate the needs and policies of the remainder of the University to their departments or programs.
CHAPTER 3. FACULTY GOVERNANCE POLICY

The Vice President for Faculty and Student Affairs will be assisted in carrying out his/her responsibilities by the departmental Chairs, program Directors, and Associate Vice Presidents for Academic Affairs.

VII. CONFLICT MEDIATION

(Amended by the Faculty Senate and distributed on April 17, 2001; Approved by the Faculty May 3, 2001)

Responsibility for the resolution of conflicts, other than those that deal with matters of promotion, tenure, and salary, shall follow the Chair—Vice President for Faculty and Student Affairs—President route or the University Librarian—Vice President for Information Resources—President route. If a faculty member who is a party to the conflict is dissatisfied with the final decision and alleges that this decision is punitive and amounts to making his/her conditions of employment so unsatisfactory that they appear to be designed to influence him/her to resign without the protection of due process, he/she may then appeal the decision in the manner set forth in Article VI.C of the Trinity University Policy Statement on Academic Freedom, Responsibility, and Employment of Faculty (Chapter 3A).

VIII. IMPLEMENTATION AND AMENDMENT

A. Implementation

The Trinity University Policy Statements on Academic Administrative Governance shall become effective when approved by

1. a two-thirds majority of the membership of the Trinity University Faculty Senate;
2. a simple majority of the members of the Trinity University Academic Faculty; and
3. the Trinity University Board of Trustees.

B. Amendment

The Trinity University Policy Statements on Academic Administrative Governance may be amended by

1. a two-thirds majority of the membership of the Trinity University Faculty Senate;
2. a simple majority of the members of the Trinity University Academic Faculty; and
3. the Trinity University Board of Trustees.

Amendments may be initiated by the Faculty Senate, the Academic Faculty, or the Board of Trustees. Before voting upon a prepared amendment, at least 14 days notice shall be given in writing to the membership of the Faculty Senate, the Academic Faculty, and the Board of Trustees.
(3D) DISTINGUISHED PROFESSORSHIPS

(Also known as the Statement on Distinguished Professorships.)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

A Distinguished Professorship is the most prestigious faculty appointment of Trinity University. These professorships are supported by special endowments, are limited in number, and are reserved for individuals who are widely recognized for their scholarly and creative attainments. Holders of Distinguished Professorships are certain to have a profound effect on students and faculty colleagues and often will have a significant influence in the community. Thus, extraordinary care must be taken in selecting and appointing individuals to these positions.

Two committees shall be involved in the selection process: the University Distinguished Professorship Committee, a standing University committee; and a separate Search Committee for each vacancy to be filled.

Two categories of criteria shall be applicable to the Distinguished Professorships: general criteria applicable to all Distinguished Professorships and specific criteria applicable to a particular appointment. The general criteria shall be developed by the University Distinguished Professorship Committee and submitted to the Academic Faculty for approval. The specific criteria shall take into account the wishes of the donor as well as University needs and expectations; these specific criteria shall be developed by the Search Committee and submitted to the University Distinguished Professorship Committee for approval.

I. SEARCH COMMITTEES — COMPOSITION

A. Tenured Distinguished Professorships

1. If the departmental location of the tenured Distinguished Professorship is clear, the Search Committee shall include the tenured members of this department and shall ordinarily be Chaired by the departmental Chair. The Search Committee shall ordinarily have at least one extra-departmental tenured faculty member with relevant expertise. Determination of the exact number of extra-departmental members and the formal appointment of the Search Committee shall be made by the Vice President for Faculty & Student Affairs after consultation with the University Distinguished Professorship Committee.

2. If the divisional location, but not the departmental location, of the tenured Distinguished Professorship is clear, the Vice President for Faculty & Student Affairs shall
appoint the Search Committee and its Chair after consultation with the University Distinguished Professorship Committee. If practicable, the Search Committee shall have at least one tenured faculty member from each of the departments that could conceivably award tenure to the holder of the Professorship.

3. If neither the departmental nor the divisional location of the tenured Distinguished Professorship is clear, the Vice President for Faculty & Student Affairs shall appoint the Search Committee and its Chair after consultation with the University Distinguished Professorship Committee. The members of the Search Committee should be representative of a wide variety of academic areas, with particular attention to the representation of any areas that might be most likely locations of the appointment.

4. The Search Committee should consider using consultants from outside the Trinity University Faculty.

B. Visiting Distinguished Professorships

1. If the departmental location of the Visiting Distinguished Professorship is to remain the same from year to year, the Search Committee shall include the tenured members of this department and shall ordinarily have at least one extra-departmental tenured faculty member with relevant expertise. Determination of the exact number of extra-departmental members and the formal appointment of the Search Committee shall be made by the Vice President for Faculty & Student Affairs after consultation with the University Distinguished Professorship Committee.

2. If the departmental location of the Visiting Distinguished Professorship is not to remain the same from year to year, but the Professorship is to remain within the same division, the Vice President for Faculty & Student Affairs shall appoint the members of the Search Committee to serve staggered three-year terms and shall appoint the Chair of the Committee, after consultation with the University Distinguished Professorship Committee. If practicable, the Search Committee shall have at least one tenured faculty member from each of the departments in which the Visiting Distinguished Professor’s primary area of training and expertise is most likely to lie.

3. If neither the departmental nor the divisional location of the Visiting Professorship is to remain the same from year to year, the members of the Search Committee shall be nominated by the Faculty Senate and appointed by the Vice President for Faculty & Student Affairs to serve staggered three-year terms. At least one member of the Search Committee shall come from each of the academic divisions of the University, with particular attention to the representation of any areas most likely to be the actual locations of the appointment. Ordinarily, members of the Search Committee shall be tenured members of the faculty. After consultation with the University Distinguished
Professorship Committee, the Vice President for Faculty & Student Affairs shall appoint the Chair of the Search Committee from among the members of the Committee.

4. The Search Committee should consider using consultants from outside the Trinity University Faculty.

II. SEARCH COMMITTEE DUTIES

A. Tenured Distinguished Professorships

1. The Search Committee shall prepare a set of criteria applicable to the particular appointment being considered and shall submit it for approval to the University Distinguished Professorship Committee.

2. The Search Committee shall submit for approval a position description, a recruiting plan, a position announcement, and a plan for documentation of the search to the University Distinguished Professorship Committee. The announcement, after approval by the University Distinguished Professorship Committee, shall be published in national organs such as *The Chronicle of Higher Education* and in appropriate professional journals.

3. The Search Committee members individually and collectively shall identify persons whom they regard as superior candidates and shall solicit written nominations of candidates with no restrictions placed on the source of nominations.

4. The Search Committee shall reduce the list of candidates for the Distinguished Professorship to the three to five individuals who best meet both the general and the specific criteria. The Search Committee shall submit written confirmation that the tenured faculty of the candidate’s projected department are in agreement as to the appropriateness of the candidate for interview and potential appointment. The names of these individuals, together with a written statement explaining why each is recommended for campus interview, and all other relevant materials shall be forwarded to the Vice President for Faculty & Student Affairs for review by the Affirmative Action Officer of the University. The Vice President shall then present the names, statements and accompanying materials to the University Distinguished Professorship Committee. In submitting the names and the accompanying materials, the Search Committee may rank the candidates if it wishes.

5. Following the campus interviews, the Committee shall formulate a written evaluation of each candidate. These statements and all other relevant materials shall be forwarded to the Vice President for Faculty & Student Affairs. The Vice President
shall then present the recommendation and accompanying materials to the University Distinguished Professorship Committee. In submitting the evaluations and the accompanying materials, the Search Committee may rank the candidates if it wishes.

B. Visiting Distinguished Professorships

1. If the departmental location of the Visiting Distinguished Professorship is to remain the same from year to year:
   a. The Search Committee shall prepare a set of criteria applicable to the particular appointment being considered and shall submit it for approval to the University Distinguished Professorship Committee.
   b. Each year, the Search Committee shall identify individuals whom it regards as superior candidates for the Visiting Distinguished Professorship.
   c. The Search Committee shall maintain from year to year a list of such superior candidates, adding and/or deleting names each year.
   d. Each year, the Search Committee shall rank the individuals included in its list of superior candidates on the basis of the criteria that have been approved.
   e. Each year, the Search Committee shall submit to the Vice President for Faculty & Student Affairs for review by the University Distinguished Professorship Committee and then for submission to the President of the University the names of the top-ranked three to five individuals, together with a written statement explaining why each is included and all other relevant materials. Before submitting the names and the accompanying material, the Search Committee shall informally determine the interest of the candidates.

2. If the divisional location, but not the departmental location, of the Visiting Distinguished Professorship is to remain the same from year to year:
   a. The Search Committee shall prepare a set of criteria applicable to the particular appointment being considered and shall submit it for approval to the University Distinguished Professorship Committee.
   b. Each year, the Search Committee shall invite departments and programs within the division to submit the names of persons whom they regard as superior candidates for the Visiting Distinguished Professorship, together with documentation of their qualifications. The departments or programs shall informally determine the interest of the candidates before submitting their names and documentation. The Search Committee may also identify
additional candidates for the Professorship, with the understanding, however, that the appropriate department or program will, in each case, be given an opportunity to register its approval or disapproval of any such candidate.

c. The Search Committee shall maintain from year to year a list of such superior candidates, adding and/or deleting names each year on the basis of submissions from the departments and programs within the division and its own identification of candidates.

d. Each year, the Search Committee shall rank the individuals included in its list of superior candidates on the basis of the criteria that have been approved.

e. Each year, the Search Committee shall submit to the Vice President for Faculty & Student Affairs for review by the University Distinguished Professorship Committee and then for submission to the President of the University the names of the top-ranked three to five individuals, together with a written statement explaining why each is included and all other relevant materials. Before submitting the names and the accompanying material, the Search Committee shall informally determine the interest of the candidates.

3. If neither the departmental nor the divisional location of the Visiting Distinguished Professorship is to remain the same from year to year:

a. The Search Committee shall prepare a set of criteria applicable to the particular appointment being considered and shall submit it for approval to the University Distinguished Professorship Committee.

b. Periodically, the Search Committee shall invite all departments and programs in the University to submit the names of persons whom they regard as superior candidates for the Visiting Distinguished Professorship, together with documentation of their qualifications. The appropriate department or program will be given an opportunity to register its approval or disapproval of any candidate.

c. The Search Committee shall maintain a list of candidates nominated by the departments and programs, periodically adding and/or deleting names on the basis of such nominations. The Search Committee may also identify and include within its list additional candidates for the Distinguished Professorship, with the understanding, however, that the appropriate department or program will, in each case, be given an opportunity to register its approval or disapproval of any such candidate.

d. When an appointment is to be made, the Search Committee shall rank
the individuals included in its list of superior candidates on the basis of the criteria that have been approved.

e. The Search Committee shall submit to the Vice President for Faculty & Student Affairs for submission to the President of the University the names of the top-ranked three to five individuals, together with a written statement explaining why each is included and all other relevant materials. Before submitting the names and the accompanying materials, the Search Committee shall informally determine the interest of the candidates.

III. UNIVERSITY DISTINGUISHED PROFESSORSHIP COMMITTEE

A. Composition

The University Distinguished Professorship Committee shall consist of the Vice President for Faculty & Student Affairs, ex officio, and six tenured faculty members. The six faculty members shall be representative of a wide variety of academic areas and shall be appointed by the Faculty Senate to serve staggered three-year terms. The Vice President for Faculty & Student Affairs shall serve as Chair of the Committee.

B. Duties

1. The Committee shall recommend to the Academic Faculty a set of General Criteria for Distinguished Professorships.

2. The Committee shall act on recommendations from the Search Committees regarding specific criteria for particular Distinguished Professorships.

3. The Committee shall act on recommendations from the Search Committees regarding announcements and search procedures and shall seek the approval of the Affirmative Action Officer of the University through the office of the Vice President for Faculty & Student Affairs for the position descriptions, the recruiting plans, the position announcements, and the search documentation plans.

4. Except in the case of Visiting Distinguished Professorships, the Committee shall review the written statements and accompanying materials regarding the candidates recommended by a Search Committee for interviews. The Committee may seek additional information and may ask for additional names from the Search Committee. These materials shall be forwarded to the President of the University, together with the Committee’s judgment as to whether the candidates satisfy the criteria.
5. The University Distinguished Professorship Committee shall, following campus in-
terviews where appropriate (in which the Committee shall participate) and reception of
the Search Committee’s recommendation, review all relevant materials. The Commit-
tee may seek additional information and may ask for additional names from the Search
Committee. The Committee shall then forward to the President these materials, along
with its final judgment as to the candidates’ having satisfied the criteria, including,
where applicable, Affirmative Action compliance. In the case of tenured Distinguished
Professorships, the materials regarding each candidate must include written confirm-
ation that all existing University policies regarding the award of tenure and appointment
to the rank of Professor have been followed.

6. If an undesignated tenured Distinguished Professorship should become available,
the President shall determine the academic area of the Professorship after consultation
with the University Distinguished Professorship Committee.

7. Other items relating to Distinguished Professorships shall be within the purview of
this Committee.

8. The Committee may consider policies and recommendations regarding other cate-
gories of faculty appointment involving special funding, such as endowed Chairs.

IV. NEGOTIATION PROCEDURES BY THE PRESIDENT

After the Search Committee and the University Distinguished Professorship Committee have com-
pleted their work and all materials have been submitted to the President of the University, nego-
tiations will begin with the individual approved by the President to determine his/her availability.
These negotiations will be conducted by a person authorized by the President. If the first person
approved by the President is not available, then negotiations will begin with the next approved indi-
vidual, and so on down the list. In the case of Visiting Distinguished Professorships, negotiations
should be envisioned as encompassing at least a two or three-year period, so that if the individual
who is the President’s first choice cannot be secured for the coming year his/her availability for
subsequent years should be determined. At this point, the selection process would move on to the
next approved individual to determine his/her availability for the coming year. This process would
continue until an individual is secured or the list is exhausted. If no individual can be secured for
the coming year, a further list may be obtained.
V. GENERAL CONSIDERATIONS

A. Confidentiality and Negotiations

Confidentiality is extremely important and must be maintained at all levels of consideration. Invitations to visit the campus related to the search process and appointment offers will be made only by or with the approval of the President of the University. The President will be responsible for the negotiations.

B. Affirmative Action

Efforts will be made to identify minority and women candidates, and no one will be excluded from consideration on the basis of race, color, religion, age, sex, marital status, national origin, disability, veteran status, or disabled veteran status. Records will be maintained so that efforts to identify minority and women candidates are well documented. The Affirmative Action Officer of the University will certify that the University is not in violation of Affirmative Action guidelines.

C. University Policies Regarding Tenure and Rank

In the case of tenured Distinguished Professorships, all existing University policies regarding the award of tenure and appointment to the rank of Professor must be followed.

VI. IMPLEMENTATION AND AMENDMENT

A. Implementation

The *Trinity University Statement on Distinguished Professorships* shall become effective when approved by

1. a two-thirds majority of the membership of the Trinity University Faculty Senate;
2. a simple majority of the members of the Trinity University Academic Faculty; and
3. the Trinity University Board of Trustees.
B. Amendment

The *Trinity University Statement on Distinguished Professorships* may be amended by

1. a two-thirds majority of the membership of the Trinity University Faculty Senate;
2. a simple majority of the members of the Trinity University Academic Faculty; and
3. the Trinity University Board of Trustees.

Amendments may be initiated by the Faculty Senate, the Academic Faculty, or the Board of Trustees. Before voting upon a prepared amendment, at least fourteen days notice shall be given in writing to the membership of the Faculty Senate, the Academic Faculty, and the Board of Trustees.

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VII. ADDENDUM: GENERAL CRITERIA FOR TRINITY UNIVERSITY DISTINGUISHED PROFESSORSHIPS

(Prepared by the University Distinguished Professorship Committee and approved by the Academic Faculty)

Search committees should observe the following General Criteria in developing specific criteria:

The Distinguished Professor at Trinity University should have:

A. A national reputation as recognized by those in the relevant discipline or profession;
B. An established record of excellence in teaching and a commitment to excellence in undergraduate education;
C. An established record of excellence in scholarship or creative endeavor;
D. A desire to continue to make significant advances in scholarly or creative activities;
E. An awareness of national and global social issues and problems;
F. An appreciation of the role of higher education in society;
G. An understanding of, and appreciation for, the University’s liberal arts traditions; and
H. A willingness to support the educational goals of the University in as diverse a manner as possible.
I. ESTABLISHING OR FILLING A VACANT POSITION

It is not to be assumed that any position is to be filled automatically or a search initiated prior to a review of the position and approval by the Vice President for Faculty and Student Affairs. When the Vice President approves the filling of the vacancy or the creation of a new position, dollars to fund the position must be budgeted. If funds are not in the budget for the position, it cannot be filled until the Vice President has secured approval from the President to transfer funds from some other area of the budget.

After the Vice President has approved the filling of the position, or the creation of the position, and funds are budgeted, he/she authorizes the search for candidates. The description of the position to be filled must include the rank, salary range and any special requirements or conditions. The Vice President will advise the search committee of special areas where recruitment should be undertaken which will reach the best pool of qualified applicants. Advertisement should be placed in the appropriate professional journals and in The Chronicle of Higher Education, if appropriate.

After the search has been conducted the search committee will bring to the Vice President for Faculty and Student Affairs a summary of the recruitment process and a review of the applicants. It is the Vice President’s responsibility to assure that the advertising and recruitment process has been in compliance with Affirmative Action policies and that women and minorities have been given opportunities to apply.

The Vice President will authorize the search committee to invite several of the top candidates to visit the campus.

Following the interviews of the candidates, a recommendation will be made from the departmental Chair to the Vice President recommending appointment of the selected candidate. The Vice President, if he/she concurs in the recommendation, then recommends the candidate to the President for appointment. A contract will be prepared in the Vice President’s office and sent to the President with the Vice President’s recommendation for employment. The contract should include the length of the contract, rank, fringe benefits, moving expenses if allowed, tenure credit if any, and any other special conditions of employment. Under no circumstances should the search committee, the departmental Chair, or the Vice President make any commitment to the candidate. Only the President can commit the institution.
On one-year-only appointments, the visit of three candidates would be excessive and expensive. A visit by a single candidate probably would be sufficient to fill a position for one year.

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II. SPOUSE/PARTNER APPOINTMENT PROCEDURES

There may be circumstances when the appointment of a spouse/partner can enhance and support recruitment, hiring, and retention of qualified faculty and executive administrators. As an exception to the procedures described above, such appointments are to be negotiated on a case-by-case basis depending upon the qualifications of the spouse/partner, the availability of a suitable position, the approval of the relevant department or program, and consistency with the policy on *Employment of Family Members, Section 3A, Article IV.M.*

When a potential faculty candidate for the spouse/partner hiring is identified, the candidate shall provide information to the department consistent with normal search procedures and shall at a minimum include a full curriculum vitae, samples of scholarship, letters of reference, evidence of teaching effectiveness, and an interview, either by telephone or in person, with the chair or a designated departmental search committee.

A potential faculty candidate will not be hired into a department against the wishes of the department. However, when making decisions to hire, the departmental search committee should consider not only what might be best for the department but also what might be best for the University as a whole. In circumstances when a department finds a candidate unsuitable for a typical faculty appointment, unique appointment alternatives may be pursued by both the department and administration.

Assistance for spouses/partners seeking employment outside the University is available through the office of Career Services.

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III. FACULTY RECORDS

Faculty records, curriculum vitae, annual evaluations, promotion and tenure records and salary information will be maintained in the Office of the Vice President for Faculty and Student Affairs. Salary increases based on merit should be justified in writing for each faculty member and copies maintained in his/her file. Any copies of personnel records maintained in the department should be filed in a prudent and secure manner. See also *Chapter 3F: Faculty Records.*
IV. DISPOSITION OF FACULTY EVALUATION MATERIALS

A. Promotion, Tenure, and Reappointment Materials

1. The Vice President for Faculty and Student Affairs (VPFSA) keeps
   1. Self-evaluation
   2. Departmental Chair’s and colleagues’ letters
   3. Other evaluation letters
   4. Promotion and tenure summary evaluation and recommendation
   5. Inventory of materials returned to faculty

2. VPFSA returns to faculty member through departmental Chair
   1. All supporting materials—books, articles, student evaluations submitted by faculty member
   2. Copy of self-evaluation (if requested)

B. Annual Merit Evaluation

1. VPFSA keeps
   1. Summary of Activity form
   2. Chair’s evaluation
   3. Unique supporting documentation—other letters, supplementary information submitted by faculty, Chair or others

2. VPFSA returns to faculty member
   1. Copy of Summary of Activity form (if requested)
   2. Non-unique supporting documentation—books, articles, student evaluations—submitted by faculty member
   3. Copy of unique supporting documentation submitted by faculty member
V. GUIDELINES IN THE APPOINTMENT OF ADJUNCT FACULTY

A. Eligibility

Individuals who, because of their experience, background and expertise can contribute directly to the educational program at Trinity University, are eligible for appointment to an adjunct rank. Persons already employed full time by Trinity University are not eligible for such an appointment.

B. Qualifications

Individuals recommended for adjunct appointments must be professionally competent in their field and recognized as such by their peers. This competency and recognition must be established by such evidence as the credentials, background, and experience of the individual. Persons recommended must be capable of adding expertise to the academic program which would otherwise be unavailable from full-time or part-time faculty members. The recommendation for appointment must specify how the individual would support the instructional and/or research program of Trinity University.

C. Ranks

An individual may be appointed to the rank of Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor or Adjunct Professor. The distinction in these ranks should be based on the person’s qualifications and experience. While it is not possible to make an exact correlation between adjunct ranks and regular faculty ranks, recommendations to appoint to the adjunct rank should address the quality of the individual’s experience and/or background and the significance of his/her work as it contributes to the support of the instructional or research programs of the University.

D. Appointments

Adjunct appointments are made by the President of the University on the recommendation of the Department and the Vice President for Faculty and Student Affairs. Appointments to an adjunct position are for specified periods and will not exceed one year. These appointments may be renewed, but only when the recommendation and appointment process has been followed for each renewal. The appointment to an adjunct rank does not carry with it the rights and privileges of a regular, full-time faculty member. Specifically, an adjunct appointee is not eligible for tenure at Trinity University, and time spent in an adjunct position is not regarded as probationary time toward tenure.
E. Compensation

Adjunct faculty will participate in the academic program of Trinity University without pay. At the discretion of the President of the University, these individuals may be entitled to the enjoyment of certain of the benefits and use of certain of the facilities of Trinity University without charge. If need should arise, adjunct faculty members may, from time to time, teach as a part-time faculty member and may be issued a part-time faculty contract for that teaching concurrent with the adjunct appointment.

VI. EARLY RETIREMENT POLICY

The Early Retirement Policy was approved by the Board of Trustees on May 1, 1987 and amended on May 4, 1990 and was to expire on May 31, 1992. Because of amendments to the Age Discrimination in Employment Act (ADEA), Trinity University was advised that the early retirement program was not consistent with new ADEA requirements. Therefore, the University terminated the early retirement program, effective April 13, 1991.
ARTICLE I: INTERIM AGREEMENT

The main points of this agreement were developed on October 23, 1998, in a meeting of the Faculty Senate Committee on University Administration and Governance with the Deans’ Council in the presence of the Vice President and the Associate Vice President for Academic Affairs, and the Director of the Library.

- This interim agreement exclusively concerns faculty permanent personnel files maintained by the Office of Academic Affairs and faculty personnel files maintained by the University Librarian. This agreement does not extend to the normal contents of Promotion and Tenure files (cf. Chapter 3B: Documentation for Candidates for Promotion and Tenure).

- The terms of this agreement will be voted on by the Academic Faculty at the December 18, 1998 stated Academic Faculty Assembly. The agreement will go into effect only upon ratification by the Academic Faculty. The interim agreement will remain in effect until a comprehensive policy for faculty personnel files is approved by the Faculty Senate, the Academic Faculty, and the Board of Trustees as outlined in Article II.

- An ad hoc subcommittee of the Faculty Senate will work with the Office of Academic Affairs and the Office of Human Resources to develop a comprehensive policy for faculty personnel files. It is agreed that this policy will be ready for consideration by the Academic Faculty as soon as possible.

- Every member of the Academic Faculty has the right to review his/her permanent personnel file. To do so, the faculty member must notify the appropriate academic officer in writing. The appropriate academic officer will honor all such requests and arrange a date and time for the review within three business days of receipt of the request.

- In case the faculty member contends that any items in the permanent file are inappropriate or inaccurate, the faculty member will inform the appropriate academic officer in writing of his/her objections. In case the material exists in more than one file, the faculty member should notify the most senior academic officer. Within two weeks, the appropriate academic officer will respond in writing to the faculty member specifying either that...
– the items have been permanently removed and disposed of, or
– the academic officer disagrees with the faculty member. In this case, the academic officer and the faculty member will meet within two weeks of receipt of the former’s letter and must agree to binding arbitration by a third party. The arbiter must be acceptable to both parties and agree to act confidentially. The arbiter will decide only whether each individual contested item is to remain or be removed from the personnel file. The arbiter’s finding will be of no further probative value and will in no way prejudice allegations of improper action by either party. The arbiter will provide his/her decisions to both parties in writing. The arbiter’s decision is final and binding on all parties including the University.

ARTICLE II: IMPLEMENTATION

The Policy on Faculty Records will become effective when approved by

1. A two-thirds majority of the Trinity University Faculty Senate and
2. A simple majority of the members of the Trinity University Academic Faculty as well as
3. The Trinity University Board of Trustees.

Article I: Interim Agreement will remain in effect until such a policy is ratified.

ARTICLE III: AMENDMENT

The Policy on Faculty Records may be amended by

1. a two-thirds majority of the membership of the Faculty Senate and
2. a simple majority of the members of the Trinity University Academic Faculty as well as
3. the Trinity University Board of Trustees.

Amendments may be initiated by the Faculty Senate, the Academic Faculty, or the Board of Trustees. Before voting on a prepared amendment, at least fourteen days notice shall be given to the membership of the Faculty Senate, the Academic Faculty, and the Board of Trustees.
Chapter 4

Faculty Development

Contents

(4A) Statement on Faculty Development . . . . . . . . . . . . . . . 192
  I. The FDC . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . 192
  II. Purposes and Responsibilities . . . . . . . . . . . . . . . . . . . 194
  III. Categories of Awards . . . . . . . . . . . . . . . . . . . . . . . 195
  IV. Oversight Responsibilities . . . . . . . . . . . . . . . . . . . . . 206
  V. Implementation and Amendment . . . . . . . . . . . . . . . . . . 207

(4B) FDC Procedures . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . 208
  I. Overview . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . 208
  II. Proposal Submission . . . . . . . . . . . . . . . . . . . . . . . . . . 208
  III. Application Procedures . . . . . . . . . . . . . . . . . . . . . . 209
  IV. Preparation of Proposals . . . . . . . . . . . . . . . . . . . . . . . 210
  V. Proposal Review . . . . . . . . . . . . . . . . . . . . . . . . . . . 210
  VI. NEH Applications . . . . . . . . . . . . . . . . . . . . . . . . . . 211
  VII. Amendments . . . . . . . . . . . . . . . . . . . . . . . . . . . . 212

(4C) Discretionary Funds . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . 213

(4D) Faculty Fellowships . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . 214
  I. Overview . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . 214
  II. Fellowship Conditions . . . . . . . . . . . . . . . . . . . . . . . . . . 214
CHAPTER 4. FACULTY DEVELOPMENT

(4A) STATEMENT ON FACULTY DEVELOPMENT

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

Trinity University seeks to enhance its academic program and help its faculty achieve maximum competence by offering a wide range of faculty development opportunities, including an academic leave program, a program of summer stipends to enable a faculty member to concentrate on a special activity, a program to allow a faculty member time to develop courses, and a program of special projects grants to cover a range of activities and items necessary for professional development. The Faculty Development Committee (FDC) is charged with the responsibility of overseeing these programs and the other opportunities that exist at Trinity University for improvement of professional skills, released-time for research projects, and related matters.

I. THE FACULTY DEVELOPMENT COMMITTEE (FDC)

Revised by the Faculty Senate and distributed to the Faculty on November 9, 2004; approved by the Faculty on December 9, 2004; and by the Board of Trustees on May 13, 2005.

A. Membership

The Faculty Development Committee shall consist of fourteen faculty members and seven alternates, appointed by the Faculty Senate, and two administrative members: the Associate Vice President for Academic Affairs: Budget and Research (AVPAA:BR), who will serve as a voting member, and a recording secretary (nonvoting).

B. Executive Committee

The Executive Committee of the FDC will consist of the Chair of the FDC, the Vice-Chair, and the AVPAA:BR. The functions of the Executive Committee of the FDC will be:

- To announce the availability of funds for identified areas of faculty development and to make forms and information available to all interested faculty;
- To receive from the faculty all applications for academic leave, intramural grants under its purview, and summer stipends, and to distribute these to the appropriate panels;
- To call general FDC meetings;
- To receive reports on intramural grants;
• To determine agenda for general FDC meetings;
• To implement preparation of various annual reports; and
• To receive a report of the awarding of the Faculty Development discretionary funds.

C. Officers

1. The Chair of the FDC will be elected annually by the FDC membership during a general meeting at the beginning of the fall semester. To be eligible for election, the member must not submit a proposal to the FDC during the current academic year. The functions of the Chair of the FDC will be:
   • To preside at all meetings of the FDC, including panel meetings;
   • To serve as Chair of the Executive Committee;
   • To respond to applicants’ questions concerning procedures and evaluations; and
   • To sign the letter of notification from the President to each faculty member who receives a development award.

2. The Vice-Chair of the FDC will be elected annually by the membership at its first general meeting of the fall semester. To be eligible for election, the member must not submit a proposal to the FDC during the current academic year. The function of the Vice-Chair will be to act as Chair in case of absence of the Chair. The Chair or Vice-Chair will perform the functions of office assisted by the representative of the Office of Academic Affairs.

3. The recording secretary of the FDC will distribute and collect various application forms, and provide a repository for FDC records.

D. Panels

One panel will consider proposals for academic leaves; another will consider proposals for summer stipends and course-development grants. Each panel shall consist of the Chair of the FDC, the AVPAA:BR, and one member of each of the following groups:

Group 1: Classical Studies, History, Modern Languages and Literatures
Group 2: English, Philosophy, Religion
Group 3: Art and Art History, Communication, Human Communication and Theatre, Library, Music
Group 4: Biology, Chemistry, Geosciences, Physics and Astronomy
Group 5: Computer Science, Engineering, Mathematics
Group 6: Education, Political Science, Psychology, Sociology and Anthropology
Group 7: Accounting, Business Administration, Finance and Decision Sciences, Economics, Health Care Administration

Members of each panel will be appointed by the Faculty Senate. They will serve a term of three years, during which period they are ineligible to submit proposals to the panel on which they serve. Any member submitting a proposal to the same panel must resign on or before September 1 and will be replaced by the appropriate member of the panel of alternates.

Members of the panel of alternates (one from each academic grouping) will serve a term of one year and will be chosen from among those faculty not submitting proposals to the FDC during that year. When the Chair of the FDC is elected, the role on the panel to which he or she had been appointed will be filled by the appropriate member of the panel of alternates. Should the Vice Chair be required to serve, the same procedure will be followed. Should additional alternates be required in order to represent the academic groupings on each panel, they will be appointed by the Faculty Senate.

The panels will meet separately to consider the proposals. Recommendations will be based on the merits of the proposals. The Chair shall then forward the proposals, recommendations, and evaluations to the Vice President for Faculty and Student Affairs (VPFSA). See *Chapter 4B: Faculty Development Committee Standard Operating Procedures* for details concerning procedures.

II. PURPOSES AND RESPONSIBILITIES

The FDC has the responsibilities of:

- Promoting faculty development opportunities;

- Handling the developmental programs of academic leaves, summer stipends, and individual course development grants; and

- Overseeing the whole range of developmental activities of Trinity University, including special project grants, Faculty Development discretionary funds, course development, and released-time arrangements.

The procedures by which the FDC pursues these objectives are contained in *Chapter 4B: Faculty Development Committee Standard Operating Procedures*. 
III. CATEGORIES OF AWARDS

Each type of development award is described as follows. Each type is subject to the policies set forth herein.

A. Academic Leave Policy

(Approved by Faculty May 3, 1989.)

Purposes

Leaves of absence are among the most important means by which a teacher’s effectiveness can be increased, a scholar’s opportunity for research, reflection, and writing enhanced, and ultimately a university’s academic program strengthened and developed. A sound program of leaves is therefore of vital importance to the academic life of a university, and every faculty member should use available means of professional development, including leaves, to increase professional competence. The major purpose of an academic leave program is to provide an opportunity for continued professional growth and new or renewed intellectual development through study, writing, research, or travel in order to enhance creativity, scholarship, and teaching. Other purposes include public or private service which ultimately serve the university. It is the intent of this faculty development program that all eligible faculty with proposals recommended by the department and by the FDC be granted leaves.

1. Leaves With Pay

a. Eligibility

- After full-time service at Trinity University for at least four years, all tenured members of the faculty are eligible for a leave with pay. The application for the leave may be made in the fourth year, if the applicant already holds an appointment with tenure. Upon completing the leave, a faculty member ordinarily must serve the University another four years before becoming eligible again for a paid leave.

- When an eligible member of the faculty with a sound proposal agrees to delay application for the leave by a semester or more in consideration of a departmental colleague’s request to have a leave at the same time and when the department advises the postponement, the duration of that postponement shall be counted toward eligibility for subsequent leaves. The departmental Chair shall keep a written record of the postponement and make a copy of the record for the Vice President for Faculty and Student Affairs.
A faculty member may not receive a summer stipend either the summer before or the summer after the year during which he/she is on leave.

A faculty member may apply for an academic leave and a summer stipend during the same academic year (June 1 through May 31), but no more than one award will be recommended for funding. Before making any award recommendation, the faculty member will be consulted as to her or his choice.

b. Duration and Compensation

Academic leaves may be granted either for one semester or for a full academic year. The recipient of a one-semester leave will receive full salary and employee benefits for that semester. A faculty member on leave for the full academic year will receive fifty percent of salary and adjusted employee benefits. Support for nonsalary items, such as travel for research, can be requested in a supplementary special project grant proposal to the AVPAA:CFD.

c. Requests for Leaves

Formal request for a leave must be made in writing to the departmental Chair in April preceding the academic year in which application for the leave is to be made. The request should be accompanied by a brief provisional description of the project to be carried out during the leave. A full written proposal will serve as the basis for departmental recommendation and review by the FDC and administration. The complete proposal must explain in adequate detail the purpose of the project and the work to be done. However, inasmuch as the departmental Chair will be apprised of each faculty member’s eligibility and intention to apply for a leave well in advance of the formal application, the project proposal for the leave should be available for informal departmental consideration and comment as early as practicable.

d. Departmental Responsibilities

Each department shall maintain a schedule of eligibility showing the proposed leaves of its faculty over a period of three years and a curriculum plan for the same duration to verify that these leaves can be accommodated without replacements, except in those cases where replacements are approved by the VPFSA.

The primary responsibility for critical evaluation of a leave proposal resides with the tenured members of the applicant’s department. All tenured mem-
bers should evaluate proposals at this level. In departments where there is only one tenured member to act as evaluator, the VPFSA will appoint an additional reviewer for the department. The Chair will administer the departmental review process. The departmental Chair should make a judgment on whether the department can meet its curricular obligations in the absence of the leave applicant. If the department cannot support a proposal, the departmental Chair should advise the applicant to withdraw the proposal or otherwise write a letter of nonsupport. In any case, the Chair shall summarize the tenured members’ reasons for recommending or not recommending a proposal, making explicit reference to the evaluation guidelines listed in Paragraph f.

It shall be the policy of the department to advise and assist its members to prepare proposals that clearly articulate how the projects will meet the University’s expectation of high professional achievement and that meet the evaluation guidelines listed in Paragraph f. Accordingly the department shall encourage its members to prepare leave proposals well in advance of the deadline for submission in order to facilitate an early, informal review of the projects.

e. Responsibility of the FDC

The spirit of the review at this level is to determine that high standards are maintained in the leave program across disciplines of the University. Therefore, the FDC panels, after satisfying themselves that these high standards have been met in the proposals, as assured by the recommending departments will submit their endorsement to the Executive Committee of the FDC, which has the responsibility for making the final faculty recommendation to the VPFSA. The FDC will make its judgments according to the stated criteria by which leave proposals are to be evaluated. The panels and the Executive Committee will also evaluate, should that be necessary, the request for a leave from a member of the faculty whose application for leave has been rejected at the departmental level.

f. Evaluation Guidelines

The FDC will evaluate the academic leave proposals according to the following criteria and expects all materials to be prepared in clear and concise language that can be easily understood by reviewers from other disciplines.

- The merits of the proposal (originality and advancement of knowledge);
- The potential of the proposed project to enhance the creative, scholarly,
or teaching competence of the faculty member (likelihood of significant publication or performance, enhancement of professional skills, acquisition of new areas of teaching expertise);

- The probability of achieving the objectives specified during the leave;
- The appropriateness of the methods and techniques for meeting the stated objectives;
- The qualifications of the candidate relevant to achieving the goals of the proposal;
- The candidate’s history of academic leave awards at Trinity University (past leaves and successful completion of previous projects).

**g. Requirements**

- The recipient of a paid leave is required to devote full time to the project for which the leave was granted. Teaching and other similar professional activities may be pursued only with explicit approval of the VPFSA. Following the leave, the recipient shall submit a report to the departmental Chair and the VPFSA on the results of the leave by September 15 (or the Friday preceding if that date falls on a weekend), indicating how the results compare with objectives anticipated in the proposal.

- After completion of an academic leave, the recipient is obligated to be available to serve on the FDC for at least one year.

- A recipient must return to full employment at the University for at least one academic year following the leave or reimburse the University for the amount of compensation paid during the leave.

**2. Leave Without Pay**

**a. Eligibility**

All members of the faculty with tenure or tenure-track appointments are eligible for leaves without pay. For untenured faculty who take a leave without pay, the schedule of tenure review will not be revised on account of the leave. The scheduling of leaves without pay should be facilitated by the fact that departments can ordinarily expect to hire a replacement for a member of that department on such leave.

When the opportunity for a leave without pay arises on short notice, the applicant may address the request through the Chair to the VPFSA.
The granting of a leave without pay shall be limited to one year, except under unusual circumstances, and in no case shall it be for more than two consecutive years.

b. Requests for Leave Without Pay

In most cases, a leave without pay will be occasioned by the receipt of a research grant. Applicants for such grants must coordinate their plans with their departmental Chair so that the department can prepare for the absence of the applicant. Ordinarily the award of a grant will satisfy any requirement for internal evaluation of the project, and requests for leave without pay supported by outside funding will always be looked at favorably by the University.

c. Responsibility of the Department

While recognizing that its first obligation is to meet curricular responsibilities, the department will strive to advise and support its members when they wish to find the means for and schedule leaves without pay. At least a year in advance of making application for a grant that would entail a leave, potential applicants should discuss with the departmental Chair those aspects of the envisaged leave that impinge upon departmental planning, such as duration of the leave, dates of notification from granting agencies, and plans for a replacement. In the case of an untenured member of the department, the Chair shall be especially attentive to the possibilities of funding within and without the University to support the research leave, and offer appropriate advice and assistance.

The department shall review and forward its recommendation for leaves without pay through the VPFSA to the President.

In the cases of untenured members of the faculty with sound projects, the VPFSA shall give special attention to assisting with possible in-house funding strategies, bearing in mind that these applicants are not eligible for leaves with pay and that special funding can strengthen the chances of obtaining external monies.

d. Requirements

Any member of the faculty on leave without pay who has received contributions from the University in the form of benefits is obligated to return to employment of the University for at least one year following the leave or to reimburse the University for those expenditures.
B. Summer Stipends Policy

Purposes

Summer stipends are among the best means for encouraging faculty development of research projects, intensive scholarship activities, and activities in the creative and performing arts. The types of projects encouraged and supported in this program are usually of shorter duration than those in the academic leave program and are of the type which can best be pursued during the summer months. Summer stipends are paid at the same dollar amount for all awards. The maximum number of summer stipends and the specific dollar amount of the stipends will be set by the administration after consultation with the FDC.

1. Requests for and Submission of Proposals

The FDC shall notify the faculty of proposal deadlines and make proposal forms available in the Office of Academic Affairs. For a proposal to be considered by the FDC, the faculty member must follow the guidelines for submission as set down in Chapter 4B: Faculty Development Committee Standard Operating Procedures.

2. Announcements

The FDC shall forward its recommendations to the VPFSA, who shall forward his/her recommendations regarding the proposals to the President of the University. Presidential letters of awards shall be co-signed by the FDC Chair and sent to recipients by mid-December.

3. Eligibility

All full-time faculty members are eligible for summer stipends, contingent upon their acceptance of continued appointment (nonterminal) for the following academic year, except in the following cases:

a. Summer stipends are not available to non-tenured faculty who have not completed all requirements for the appropriate highest degree in their fields at the time applications are to be submitted.

b. Summer stipends are not available to non-tenured faculty after they have been given notice that they will receive a terminal contract.

c. A faculty member may not receive a summer stipend either the summer before or the summer after the year during which he/she is on leave.

d. A faculty member may apply for a summer stipend and an academic leave during the same academic year (June 1 through May 31), but no more than one award will be recommended for funding. Before making
any award recommendation, the faculty member will be consulted as to his or her choice.

e. Faculty members on twelve-month contracts may apply and awards will be made for summer stipends provided that arrangements for released-time can be made. Summer stipends will be in lieu of, but not in addition to, their regular summer salary.

f. Faculty who have received a summer stipend are not eligible to apply in the following year for a summer stipend.

g. Junior Faculty Fellows cannot receive a Summer Stipend for the summer following the last year of the Junior Faculty Fellowship.

4. Requirements

- Recipients of summer stipends are required to devote at least two months of full-time activity to their projects. Summer school teaching is not permitted.

- The grantee shall agree, by signing a contract, to return to employment at Trinity University for at least one academic year or, failing to do so, agree to reimburse Trinity University in the amount of the award.

- The grantee shall prepare and submit a report of activities to the AVPAA:CFD.

- Tenured grantees will also consider themselves obligated to serve at least one full term on the FDC, and the University Faculty Senate will give priority to these grantees in their annual assignment of faculty committee duties.

5. Evaluation Guidelines

The FDC will evaluate the summer stipend proposals according to the following criteria and expects all materials to be prepared in clear and concise language that can be easily understood by reviewers from other disciplines.

- The merits of the proposal (originality and advancement of knowledge);

- The potential of the proposed project to enhance the scholarly and/or creative competence of the faculty member (likelihood of significant publication or performance and the enhancement of professional skills);

- The probability of achieving the objectives specified during the funding period;

- The qualifications of the candidate relevant to achieving the goals of the proposal;

- The appropriateness of the methods and techniques for meeting the stated objectives;
• The candidate’s five-year history of faculty development awards at Trinity University (successful completion of previous projects).

• All other things equal, the candidate’s five-year history of faculty development awards at Trinity University (frequency of previous awards).

C. Individual Course Development Policy

Purposes

The purpose of individual course development grants is to give faculty members the opportunity to work on projects for instructional enhancement. These projects may be for the development of a new course or an experimental project involving new teaching techniques. The program is sustained in order that faculty members may develop courses that will strengthen the liberal arts curriculum, contribute to the synthesis of a major, support interdisciplinary programs, or attain some other curricular goal.

1. Requests for Submission of Proposals

The FDC shall notify the faculty of proposal deadlines and make proposal forms available in the Office of Academic Affairs. For a proposal to be considered, the faculty member must follow the submission guidelines set down in Chapter 4B: Faculty Development Committee Standard Operating Procedures.

2. Approval and Announcements

The FDC shall forward its recommendations to the VPFSA, who shall forward the final recommendations regarding the proposals to the President of the University. Presidential letters of awards shall be co-signed by the FDC Chair and sent to recipients by mid-February.

3. Eligibility

All full-time faculty members are eligible for individual course development grants, contingent upon their acceptance of continued appointment (nonterminal) for the following academic year, except in the following cases:

   a. Individual course development grants are not available to non-tenured faculty who have not completed all requirements for the appropriate highest degree in their fields at the time applications are to be submitted.

   b. Individual course development grants are not available to non-tenured faculty after they have been given notice that they will receive a terminal contract.
c. A faculty member may apply for an individual course development grant and an academic leave during the same academic year (June 1 through May 31), but no more than one award will be recommended for funding. Before making any award recommendation, the faculty member will be consulted as to his or her choice.

d. Faculty members on twelve-month contracts may apply and awards will be made for individual course development grants, provided that arrangements for released-time can be made. Individual course development grants will be in lieu of, but not in addition to, their regular summer salary.

4. Requirements

- All projects should be designed to be performed in a period of five weeks of full-time work during the summer.
- Successful applicants ordinarily will not be eligible to teach in summer school.
- The grantee shall agree, by signing a contract, to return to employment at Trinity University for at least one academic year after the grant.
- The grantee shall prepare and submit a report of the individual course development activities to the Associate Vice President for Academic Affairs: Student Academic Issues.
- Grantees will also consider themselves obligated to serve at least one full term on the FDC, and the University Faculty Senate will give priority to these grantees in their annual assignment of faculty committee duties.

5. Evaluation Guidelines

The FDC will evaluate the individual course development proposals according to the following criteria and expects all materials to be prepared in clear and concise language that can be easily understood by reviewers from other disciplines.

- The merits of the objectives of the proposal (i.e., originality, innovativeness, potential for the work to produce an improvement in the existing curriculum or result in new courses);
- The probability of achieving the objectives specified within the five-week time period;
- The qualifications of the candidate relevant to achieving the goals of the proposal;
- Appropriateness of the methodology and plan of the proposal to meeting the proposed objectives;
• Benefit to the department as specified by the Chair.

D. Special Project Grants Policy

Purposes

Special project grants have two purposes: The first is to provide expenses which support projects for academic leave, summer stipend, and individual course development grants; the second is to provide, within budgetary limits, the funding of separate projects which cannot be funded within the guidelines of other institutional grant offerings.

1. Requests for and Submissions of Proposals

The VPFSA shall notify the faculty of proposal deadlines and make proposal forms available. Requests for the first category of special project grants which provide expense monies for academic leave, summer stipend, and individual course development grants should be submitted to the VPFSA at the same time that project proposals are submitted to the FDC. For a proposal to be considered, the faculty member must be recommended for an academic leave, summer stipend, or, when applicable, an individual course development grant, and should follow the guidelines as set down below. Requests for the second category of special project grants will be entertained in the spring semester, if funds are available. The VPFSA shall issue a call for the second category of special project grants and make proposal forms available in the Office of Academic Affairs.

2. Announcements

The VPFSA shall forward his or her recommendations to the President of the University. Notification of the award of special project grants attached to other awards will accompany presidential letters of notification, co-signed by the FDC Chair, for academic leave, summer stipend, and individual course development grants. Presidential letters of awards for independent special project grants shall be co-signed by the FDC Chair and sent to the recipients in the spring.

3. Eligibility

Faculty members who apply for an academic leave, summer stipend, or individual course development award may apply concurrently for a special project grant to provide for expense monies according to the procedures contained below. All members of the faculty, whether full time or part time, are eligible to apply for special project grants when availability of funds is announced.

4. Requirements
Faculty receiving special project grants will issue a report of expenditures and activities to the AVPAA:CFD.

Faculty who receive special project grants shall agree, by signing a contract, to return to employment at Trinity University for at least one year after the award, or, failing to do so, agree to reimburse the University in the amount of the award.

5. Evaluation Guidelines

The VPFSA will evaluate the special project grant proposals according to the following criteria and expects all materials to be prepared in clear and concise language that can be easily understood by reviewers from other disciplines.

- The merits of the proposal (originality and advancement of knowledge);
- The probability of achieving the objectives specified during the funding period;
- The qualifications of the candidate relevant to achieving the goals of the proposal;
- The appropriateness of the methods and techniques for meeting the stated objectives;
- The candidate’s five-year history of faculty development awards at Trinity University (frequency of previous awards and successful completion of previous projects).

6. The special project grant application will be directed to the VPFSA, who will recommend funding in accordance with the guidelines in the *Statement on Faculty Development*. Within the following limitations, any budget item will be considered a justifiable expense provided the faculty member needs this item to complete the proposed work:

a. **Travel and Per Diem expenses**

If travel and per diem are included in the budgets of proposals, actual working days’ expenses for room and meals, automobile travel at the University rate per mile (see “*Use of Personal Vehicles for University Business*” in the handbook *Fiscal Affairs Policies and Procedures*), and coach rate air travel may be included. The automobile expenses cannot exceed the coach rate air fare for the same routing. Since all grants are for exact amounts, there will be no adjustments made for costs which are not anticipated and recorded in the proposal budget.

b. **Publications Support**

The sponsorship of publication or page charges is the individual responsibility of the author. If the author determines that these costs must or should
be paid, it is incumbent on that author to show both this necessity and the advantage to Trinity University in paying the charges. This is done by outlining the justification in a separate request for funding to the VPFSA. If funds for publication are available, the VPFSA will review these requests with the understanding that, with the limited budget available to it, publication support will be given low priority in funding considerations. Other sources of publication support should be exhausted before the VPFSA is approached for this type of funding.

c. Student Support

Student assistance will be supported on FDC-sponsored grants only when it is a demonstrably integral and necessary part of the research project. It will not be supported when funding is basically designed as a means of financial aid to the student.

d. Faculty Salaries

Special project grant funds will not be used to support faculty salaries.

e. Projects with Commercial Potential

Any profits exceeding $2,500 resulting from the commercial use of research supported by summer stipends, small grants, or academic leaves shall be reimbursed to Trinity University funds for faculty development at a rate of 50 percent of the profits up to the full amount of the summer stipend and small grant or up to twenty-five percent of the amount of the academic leave.

IV. OVERSIGHT RESPONSIBILITIES

As part of its responsibilities to monitor and promote faculty development at Trinity University, the FDC has as one of its functions the oversight of faculty development activities handled by other parts of the University during the academic year: the discretionary funds available to the faculty, the released-time arrangements not covered earlier in this document, and the course development awards.

A. The FDC Executive Committee will receive a listing at the end of each semester of all applications made to and awards made from the discretionary funds held by the AVPAA:CFD. It may suggest guidelines or advise alterations of existing guidelines on the purposes and the system of allocating such awards.
B. Each semester the FDC Executive Committee shall receive a listing from the VPFSA of all released-time arrangements that are directly or indirectly justified on the basis of faculty development. The FDC may suggest guidelines or advise alteration of existing guidelines on the purposes and manner of making such arrangements.

C. The Executive Committee will be consulted by the University Curriculum Council before it nominates individuals for participation in course development groups. The Executive Committee shall monitor the announcement and the process of designation to ensure that such faculty development opportunities be extended in conformity with the procedures followed for the other development awards administered by the FDC.

V. IMPLEMENTATION AND AMENDMENT

A. Implementation

The Trinity University Statement on Faculty Development shall become effective when approved by:

1. A two-thirds majority of the membership of the Trinity University Faculty Senate;
2. A simple majority of the members of the Trinity University Academic Faculty; and
3. The Trinity University Board of Trustees.

B. Amendments

Proposed changes in this document will be circulated in writing to the Academic Faculty at least thirty days prior to a meeting of the Academic Faculty. The changes proposed by the FDC or by the Faculty Senate become effective with the concurrence of the administration unless a member of the faculty requests that the changes be put on the agenda for consideration at the next Academic Faculty meeting.
For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

The Standard Operating Procedures of the Faculty Development Committee (FDC) contain information regarding submission and review of grant proposals and award announcements and the responsibilities of the FDC to the University at large.

I. OVERVIEW

In a manner consistent with the Statement on Faculty Development (Chapter 4A), the Faculty Development Committee shall announce, review, and recommend for award proposals in the following areas: academic leave, summer stipend, course development, and independent special projects grants. The FDC shall also be involved in certain oversight responsibilities with regard to the Faculty Development discretionary funds disbursed by the Office of Academic Affairs, and to released-time arrangements.

In May of each academic year, the FDC shall distribute to the Academic Faculty a report of that year’s faculty development activity. This annual report shall include a summary of the current academic year’s activities of the FDC and a listing of all institutional awards. The annual report may include general and specific recommendations for improving the environment for faculty development on the campus.

II. PROPOSAL SUBMISSION AND ANNOUNCEMENT PROCEDURES

- Grants for academic leaves will be awarded annually. Summer stipends and individual course development projects may be awarded annually. Announcements of the availability of project funds and guidelines for proposals will be announced in May prior to the end of the spring semester. Criteria for evaluation should accompany guidelines for proposals.

- Proposals for the following academic year will be submitted on the dates specified on the application forms.

- Special project grant requests directed to the AVPAA:BR to provide for expenses for academic leave and summer stipend projects can be submitted either simultaneously with the
proposal or after the proposal is approved. Likewise, requests for individual course development projects directed to the AVPAA:CFD can be submitted either simultaneously with the proposal or after the proposal is approved.

- If funds have not been exhausted in the Fall grant period or if special funding is made available, the FDC will issue a call and awards will be made for special project professional development grants in the Spring.

- Announcements regarding academic leaves and summer stipends with accompanying special project expense grants will be made by mid-December.

- The annual FDC budget will coincide with the University fiscal year that begins June 1, and award recipients’ special project expense budgets will be established on that date.

III. APPLICATION PROCEDURES FOR NEW PROPOSALS

Applicants for development projects will obtain the guidelines and information forms from the Office of Academic Affairs. Proposal guidelines will include definitions of project purposes, requirements and evaluation criteria, a sample format for proposal preparation, small project expense guidelines, and a cover sheet. In the case of academic leaves, the Chair will provide a memo stating that, unless otherwise indicated, the department will be able to meet its curricular responsibilities to the University if an academic leave is granted. In the case of summer stipends, the Chair will provide a memo, indicating a willingness to have the summer stipend proposal funded. In the case of individual course development proposals, the Chair shall specify the benefits of the project to the relevant department(s) or program(s). The cover sheet for a summer stipend will require the applicant to list any summer grants from Trinity University funds, including FDC summer stipends, Junior Faculty Fellowships, or special salary stipends individually arranged with the administration, whether as a condition of appointment or otherwise. The cover sheet for an academic leave will indicate that the applicant is tenured at the time of application; it will also require that the applicant identify previous leaves (academic or administrative) funded by Trinity University. Applicants for stipends and leaves must provide a curriculum vitae and a summary highlighting the results of previous awards, as described in the proposal submission instructions.

Proposals for leave and summer stipend projects will be directed to the AVPAA:BR. Proposals for individual course development will be directed to the AVPAA: CFD. Applicants for an academic leave, summer stipend, or individual course development award may apply for a special project grant which covers budget items necessary for that project, such as travel expenses.
IV. PREPARATION AND DISTRIBUTION OF PROPOSALS

- All guidelines will request that applicants write proposals in clear and concise language that may be easily understood by FDC members outside of the applicants’ disciplines. All proposals will be screened to assure that they are complete. In the event that all required materials are not forthcoming, the proposal will not be considered.

- An electronic document containing the cover sheet, proposal, summary of previous award outcomes, and CV shall be submitted to the AVPAA:BR. Proposals will be distributed by Academic Affairs to members of the appropriate panels. Incomplete proposals will not be forwarded to the FDC.

V. PROPOSAL REVIEW PROCEDURES

A. Panel Procedures and Recommendations

The Office of Academic Affairs shall forward to all panel members a copy of each proposal submitted to that panel. All proposals shall be considered on the basis of quality, relative to the goals of the appropriate area of faculty development. Each panel will decide which proposals meet the guidelines. Panel members are to review and evaluate each proposal according to the evaluative criteria as prescribed in appropriate guidelines as approved in the Statement on Faculty Development (Chapter 4A) (see evaluation guidelines for leaves with pay, summer stipends, individual course development, and special project grants).

The recommendation procedure for summer stipends will take place in three phases. In the first phase, the stipend proposals will be rank ordered by each member of the panel, the Chair, and the AVPAA:BR according to the evaluative guidelines stated in Chapter 4A, and the median rank for each proposal will be calculated. In the second phase, the stipend panel will consider the applicant’s previous funding by Trinity University. Rankings from the first phase may be adjusted to the advantage of applicants who are probationary faculty or tenured faculty without recent funding and to the disadvantage of applicants who do not provide evidence of outcomes from prior support. In the third phase, applications will be judged as Recommended or Not Recommended. Panel members will submit their written signed confidential evaluations to the FDC Chair. These comments will not be available to the applicants and will be kept on file for a period of one year in the Office of Academic Affairs. The applicant can request further information via consultation with the FDC Chair.

Applications for academic leaves will be judged as Recommended or Not Recommended. If the panel does not concur with the recommendation of the department, it will notify the applicant and the department, and will explain the reasons for its recommendation. The panel will provide an
opportunity for further justification or clarification of the proposal from either of these parties. If the final decision is not to recommend the proposal, each member of the panel must provide a written justification for his/her recommendation. These justifications will not be available to applicants but will be kept on file for a period of one year in the Office of Academic Affairs. The applicant can request further information via consultation with the FDC Chair.

B. Final Recommendations and Announcements

The Chair of the FDC will submit the final recommendations from each panel to the Vice President for Faculty and Student Affairs. Academic leaves will be listed as Recommended or Not Recommended and will not be rank ordered. Summer stipends will be listed as Recommended or Not Recommended; Recommended summer stipends will be rank ordered. Following administrative approval, the President and the Chair of the FDC will jointly notify recipients of awards by letter.

C. Filing of Evaluation, Proposal, and Award Records

Records of the FDC shall be retained in the Office of Academic Affairs. A single copy of all proposals and presidential award letters will be filed as permanent institutional records.

D. Confidentiality

The confidentiality of all Panel and Executive Committee evaluations, discussions, and recommendations shall be strictly maintained by members of the FDC.

VI. PROCEDURES FOR NEH APPLICATION REVIEW

The FDC will review applications from faculty members who wish to apply for a National Endowment for the Humanities Summer Stipend Award when more proposals are received than are allowed by NEH. Panel II (stipends) of the FDC will evaluate these applications and make recommendations to the administration concerning which applications should be recommended for funding.
VII. AMENDMENTS

These *Standard Operating Procedures* may be amended by a majority vote of the membership of the Faculty Development Committee, provided that the proposed amendment has been distributed in writing to all members of the Committee at least four days prior to the meeting at which the proposed amendment is to be considered.
(4C) DISCRETIONARY FACULTY DEVELOPMENT FUNDS

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

The Associate Vice President for Faculty & Student Affairs: Budget and Research (AVPAA:BR) disburses Faculty Development Discretionary Funds to support short-term, one-time projects and opportunities for faculty development. The funds will be used to support activities that are not provided for through the departments and/or the other faculty development funds of the University. It is anticipated that a wide range of requests will be supported. The following examples are illustrative and are not meant to be restrictive:

A. Funds may be requested to support attendance at workshops, field trips, symposia, short courses, and other similar conferences that enhance and update the teaching and research of the individual. Normally travel to national meetings will be provided from departmental budgets. However, in some cases the AVPAA:BR may supplement departmental funds.

B. Upgrading of instructional skills is a category different in kind from the first example. Funds can be made available to help individual professors who have identified personal goals and have specific proposals for improving their teaching skills and incorporating new teaching techniques. This might include video taping of presentations to classes for personal analysis and/or analysis by objective observers of the professor’s choosing; developing demonstrations; expanding the class use of Instructional Media Services; exploring existing audiovisual materials for use in classes; and/or other methods of instruction. Those costs which are necessary may well and properly be shared between the department and the AVPAA:BR.

C. Expenditures in support of research might include travel expenses and services such as manuscript typing, computer assistance, or other clerical or technical assistance beyond the department’s capacity to supply, supplemental equipment, and support for activity related to the Faculty Development Committee. For example, one of the best ways of changing and expanding one’s research interests is to obtain an academic leave for a several-month period for concentrated study and experience with another scholar in the same area. In order to identify the most suitable scholar and/or resource facility some travel expenses may occur which do not come under departmental travel. Similar expenses to obtain appropriate materials in the exploration of new areas and the final preparation for academic leave may be requested from the AVPAA:BR.
(4D) FACULTY FELLOWSHIPS

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. OVERVIEW

Faculty Fellowships normally will provide summer stipend support for not fewer than two nor more than three summers. These fellowships will be used to attract and retain outstanding junior faculty. The summer stipend will enable the faculty member to pursue his or her own research or professional development activities. Preference in the designation of the Faculty Fellows may be given to academic areas in which it is especially difficult to attract qualified candidates.

While some of the fellowships are restricted by the donor to a specific academic department, those which are unrestricted will be designated by the VPFSA with the approval of the President.

Faculty Fellows will be recommended by the tenured faculty members in a department through the departmental Chair. The VPFSA will appoint the Faculty Fellow with the approval of the President.

II. FELLOWSHIP CONDITIONS

A. Untenured probationary faculty are eligible.

B. Faculty Fellows chosen from the current faculty will normally be appointed by April 1. The VPFSA will announce the availability of fellowships by January 1 of each academic year.

C. Faculty Fellows chosen from candidates for faculty positions will be appointed as soon as possible during the recruiting cycle.

D. After appointment the Faculty Fellows must submit to the VPFSA a plan of activity for the fellowship period. A summary of his/her accomplishment must be submitted at the end of each summer.

E. Recipients of a Faculty Fellowship are not eligible for stipends from the FDC until the conclusion of the fellowship.
Chapter 5

Researcher Responsibilities

Contents

(5A) Sponsored Projects ........................................ 217
  I. Statement on Sponsored Projects ......................... 217
  II. Investigator Responsibilities .......................... 218
  III. University Responsibilities .......................... 221
  IV. Proposal Development ................................ 222
  V. Administration ......................................... 228
  VI. Definitions ............................................. 229

(5B) Intellectual Property Policy .............................. 231
  I. Principle of Ownership .................................. 231
  II. Equities .................................................. 231
  III. Copyrights ............................................. 233

(5C) Open Access Policy ....................................... 235

(5D) Human Subjects .......................................... 236
  I. IRB Procedures ......................................... 236
  II. Sample Consent Form .................................. 240

(5E) Animal Care .............................................. 242

(5F) Scientific Misconduct .................................... 243
  I. Definition ............................................... 243
  II. Procedures ............................................. 243
  III. Conclusion ........................................... 250
CHAPTER 5. RESEARCHER RESPONSIBILITIES

(5G) Consulting Policy ....................................................... 251
   I. Principles and Guidelines ...................................... 251
   II. In-House Consulting .......................................... 252

(5H) Undergraduate Research .......................................... 255
   I. Research Assistant ........................................... 255
   II. Research Participant ....................................... 255
I. STATEMENT ON SPONSORED PROJECTS FOR RESEARCH, SCHOLARLY WORK, AND PUBLIC SERVICE

A. Definition

This statement applies to sponsored activities undertaken within the institutional framework of the University in the fields of research, scholarly work and public service. Sponsored activities shall be understood to include all organized projects supported by funds obtained from the following sources:

1. University grants for specific projects, internally funded to meet University objectives.
2. Institutional grants (funds obtained from extramural sources but allocated internally at University discretion).
3. Project grants from sponsoring agencies other than the University.
4. Project contracts from sponsoring agencies other than the University.

B. Objectives

The conduct of sponsored activities at the University will be controlled by the specific statements below and guided at all times by the following primary and basic objectives.

1. The advancement, dissemination, and preservation of knowledge through teaching, research, and scholarship at the undergraduate and graduate levels.
2. The protection and advancement of the interests and welfare of the University.
3. The advancement and protection of the public interest and public welfare.
II. INVESTIGATOR RESPONSIBILITIES

Faculty members who propose to carry out a sponsored program at the University will agree to comply with the following provisions:

A. The project proposed will be carried out within the framework of a regular department or through the cooperation of several departments and will be directed by members of the faculty.

B. The faculty member will assure that the proposed program meets the following qualifications:

1. It is consistent with the overall academic objectives of the University.

2. Adequate facilities and space will be available for the successful conduct of the proposed sponsored activity. The designated and negotiated share of the time and talent of those members of the faculty, technical personnel, student assistants, and staff who have committed to perform the sponsored activity will be made available.

3. The technical capacity of the project personnel to perform the proposed effort effectively and to meet the sponsor’s requirements is assured.

4. It does not divert the University resources from the attainment of the academic goals of the University.

The above will be a basis for evaluation of projects prior to approval by the Associate Vice President for Academic Affairs: Budget and Research (AVPAA:BR).

The budget for the proposed project should be adequate for the work proposed, including allowances for contingencies and salary increases; and any University contribution should be specifically provided for and approved whether in the form of direct or indirect expenses.

The project, whether supported by grant or contract, must not conflict in any way with University administrative regulations or academic policy regarding employment and employee relations, fiscal policy and procedures, purchasing, patent policy, conflict of interest policy, policy on use of human subjects in research, or policy on use of animals in research.

The project, whether supported by grant or contract, must conform with the University standards of academic freedom, including the right to publish results of the investigation.

The acceptance of funds to support a research project shall be construed as evidence that the investigator has agreed to comply with the policies of the supporting agency which are pertinent to his/her project, including meeting deadlines and preparing and publishing necessary reports.

In cases of conflict between the policies of the University and the outside supporting agency, the University policy should have priority. Exceptions must be approved by the appropriate academic and administrative authorities of the University.
C. The faculty member will cooperate with University officials in ensuring that Significant Financial Interests do not bias research or other activities carried out under the auspices of externally sponsored projects.

1. Training in Conflict of Interest Policies and Principles

Each investigator who is/will be responsible for the design, conduct, or reporting of research or educational activities funded by the U.S. Public Health Services (PHS) must complete training in Conflict of Interest principles:

- prior to engaging in research related to any grant or conduct funded by the U.S. Public Health Service (PHS);
- at least every four years while PHS funding is active;
- if the Institutional FCOI policies change;
- when the Investigator is found noncompliant with the University’s FCOI policy or management plan.

2. Disclosure of Significant Financial Interests

Each investigator who is/will be responsible for the design, conduct, or reporting of research or educational activities funded by federal monies OR funded by other external sources in excess of $10,000 will submit an Annual Disclosure Statement to the AVPAA:BR. Significant financial interests of an investigator’s spouse and dependent children must also be disclosed on the Annual Disclosure Statement. Annual Disclosure Statements should be submitted between the first business day of April and the last business day of April or upon request of the AVPAA:BR. Disclosure must also be made before applying for any PHS grant and within 30 days of any change pertaining to the financial interests of the PI or other decision-making project staff.

In the event that an intentionally undisclosed Significant Financial Interest is discovered, the Research Integrity Committee may remand the Investigator to the University Conflict of Interest Committee for disciplinary action. If the undisclosed Significant Financial Interest is related to PHS-funded research, the AVPAA:BR is responsible for conducting a retrospective review of the investigator’s research and notifying the cognizant agency of all actions taken within 120 days.

3. Review of Significant Financial Interests

All disclosures of Significant Financial Interests will be reviewed by the Research Integrity Committee to determine whether the SFIs constitute conflicts of interest in relation to the Investigator’s externally funded research.

4. Findings of Conflict of Interest
In the event that the Research Integrity Committee judges a Significant Financial Interest to constitute a real, potential, or perceived conflict of interest in relation to the funded research or project, a plan must be put in place to manage, reduce, or eliminate the conflict. The management plan may include any of the following or an alternative action deemed reasonable by the committee and the investigator:

- monitoring of research by independent reviewers
- modification of the research plan to avoid conflicts of interest
- disqualification of Investigators from the portion of the funded research that could create conflicts of interest
- divestiture from Significant Financial Interests
- severance of relationships that create conflicts of interest
- disclosure of potential FCOI to all research participants, journal reviewers, and the public.

Failure to comply with the management plan within 60 days or prior to start of work on the PHS-funded project may be grounds for disciplinary action as determined by the University conflict of interest policy.

If an Investigator is found to be in noncompliance, or if research results are found to be biased as a result of the FCOI, the Research Integrity committee and the Investigator will devise a mitigation plan and the AVPAA:BR will report all actions taken to the cognizant agency.

5. Record-keeping and disclosure related to Financial Conflicts of Interest

If the FCOI finding is related to PHS-funded research, the AVPAA:BR will notify the cognizant agency of the following information within 60 days of becoming aware of the FCOI:

- Grant/Contract number,
- Project Director/Principal Investigator (PD/PI) or Contact PD/PI,
- Name of Investigator with FCOI,
- Whether FCOI was managed, reduced, or eliminated,
- Name of the entity with which the Investigator has an FCOI,
- Nature of FCOI, e.g., equity, consulting fees, travel reimbursement, honoraria,
- Value of the financial interest, and
• A description how the financial interest related to PHS-funded research and the basis for the institution’s determination that the financial interest conflicts with such research.

The AVPAA:BR will be responsible for documenting all actions taken by the University with respect to each significant financial interest. Relevant documents will be retained for 3 years after the completion of the grant, where completion is marked by the date of submission of the final expenditures report.

In the case of findings of FCOI, the AVPAA:BR is responsible for completing annual reports about FCOI findings and mitigation actions to the cognizant federal agency and making up-to-date FCOI information available within five days of any request.

All financial disclosures must be updated during the pendency of a research award, either on an annual basis or as new reportable significant financial interests are obtained.

III. UNIVERSITY RESPONSIBILITIES

A. To the Investigator

The Office of the Vice President for Faculty and Student Affairs is the central office charged with maintaining an overview of the internal research commitments of the University as well as research, training, demonstration, equipment, and course improvement projects sponsored by external sources.

When a proposal by a faculty member to undertake a sponsored program has been signed by the AVPAA:BR, the University is understood to have assumed certain general and specific obligations to the investigator:

1. An appropriate and reasonable adjustment in teaching requirements may be made to permit a faculty member to carry out a program for which sponsorship is being sought.

2. Equivalent full-time responsibilities will be based upon teaching loads customary in each department. As an example, half of such a teaching load plus half-time devoted to sponsored responsibilities will be considered full-time activity.

3. The University will provide administrative assistance to aid faculty in the conduct of approved sponsored projects including maintenance of records.

4. The appropriate department(s) of the University will provide and maintain adequate space, facilities, utilities, and equipment for the conduct of the sponsored program.
5. Under no circumstances will either an individual’s existing tenure privileges or University contract salary be affected by reason of involvement in approved sponsored programs.

6. The University will not without just cause cancel or withdraw any commitment it has made in accepting a grant or contract for sponsored support with regard to such items as facilities, professional assistance, or an appropriate share of the time of the personnel concerned.

7. Failure of the University to meet the obligations specified herein shall be appealed to the VPFSA and then to the President of the University.

B. To the Sponsoring Agency

In accepting a project for sponsored effort the University assumes all obligations specified or referred to in the award vehicle. In addition, the University accepts the following general obligations to a sponsoring agency:

1. A staff will be maintained to provide adequate control over expenditures of grant or contract funds and property; this staff also will prepare and submit the necessary fiscal reports as required by the sponsor.

2. For such purposes as maintenance of records and fiscal controls, provision of facilities and space, purchasing procedures, and property control, the University will not discriminate in its policies and administrative controls between its own funds and those obtained from a sponsor.

3. Personnel salaries and employee benefits paid from extramural funds will be consistent with University rates and standards and with the policies of the granting agency involved.

4. The use of federal funds will comply with OMB Circular A-21, the grant or contract instrument, and its accompanying guidelines and instructions. The use of non-federal funds will comply with the sponsoring agency guidelines.

IV. PROPOSAL DEVELOPMENT

A. Internal Review Procedures Prior to Submission

Before a proposal may be sent to either a government agency or a private sponsor, it must go through Institutional Internal Review. This assures that institutional policies and contributions of
resources are appropriate and approved by the Chair and appropriate administrators. Consideration of the following procedures will contribute to how easily a proposal moves along.

1. Make certain that the departmental Chair and the AVPAA:BR are kept apprised of any departmental or institutional responsibilities or commitments which are included in your proposal, and that they understand all of the implications of future commitments by the institution if the project is funded. Unsolicited and some solicited grants and contracts may require cost-sharing which is commonly provided by the contribution of faculty or support personnel time or non-federal, institutional funds.

2. If you request faculty time for the project, be sure to get prior approval from the faculty member’s departmental Chair and the AVPAA:BR.

The teaching load for all regular full-time faculty members is set at 12 hours per semester or 24 hours in a year. For faculty members holding distinguished professorships, the teaching load is the same. Of those 12 hours, the normal, actual teaching load for full-time regular faculty members is 9 hours per semester or 18 hours per year. For distinguished professors, the actual teaching load is 6 hours per semester or 12 hours per year. The release of 3 hours per semester for regular full-time faculty and 6 hours per semester for distinguished professors is considered research-related time. Therefore, on the receipt of a grant or contract to perform research in which the grant or contract provides for faculty salaries and the purchase of faculty time, the contract and grant monies would be used, first, to offset the time that the faculty member is paid to do research. In other words, the first 25 percent of salary for regular faculty members and the first 50 percent of salary for distinguished professors would not result in any reduction of teaching loads. Only when the amount of salary recovery exceeded those percentages would the issue of teaching load reduction be discussed. These provisions, of course, apply only to faculty members on 9-month contracts and apply only during the term of those 9-month contracts.

Requests for compensation and percent of faculty time must be included in the proposal. Information on faculty salaries and fringe benefits may be obtained from the Office of Academic Affairs. Job descriptions and pay grades for classified personnel and student assistants should be checked with a representative of the Office of Human Resources.

Before institutional cost-sharing allocations are placed in proposal budgets, principal investigators (PIs) must discuss them with Chairs and the AVPAA:BR. Indirect Cost and Tuition Remission cannot be used as cost-sharing. Faculty and staff time used as cost-sharing must come from regular, allocated funds within the departmental or institutional budgets.

3. Institutional policy requires that an indirect cost allowance, determined by federal
specifications, be charged to all government projects to cover the expense of services and facilities provided by the University, e.g., utilities, physical plant and equipment, insurance coverage, security, and administrative costs. Some private sources will also allow indirect cost or administrative charges. The indirect cost figures are available in the Office of Academic Affairs.

4. Depending on project needs, appropriate institutional boards or committees may need to be consulted, e.g., if human subjects are to be involved, the project must have the approval of the Institutional Review Board.

5. Equipment not available within your department but necessary for your project may be available from another source on campus. Check with the Inventory Control Office early in the budget development of your proposal to determine whether or not the requested equipment is available on campus.

6. Consulting services are allowable costs, and the use of such services must be specifically identified in the proposal. Since there are conditions and policies regarding consulting, contact the Office of Academic Affairs early in the process of preparing your proposal.

7. If the project requires the involvement of another institution or organization as a subcontractor, the subcontract must be identified in the proposal and a detailed subcontract budget included. Letters of agreement between Trinity University and the subcontractor must be exchanged and included in the proposal.

Subgrantees and subcontractors who are involved with federal awards to the University and who are not employed by or otherwise affiliated with the University must also be in compliance with Federal FCOI guidelines. They can comply in either of the following ways:

A subgrantee may follow Trinity’s procedure for the disclosure of Significant Financial Interests and agree to comply with any decision of the University’s administration; or,

If the subgrantee or subcontractor is employed by an institution that has enacted a financial conflict of interest policy that is in compliance with applicable federal regulations, including 42 CFR 50.604, the subgrantee’s employer may provide assurance that any conflicts related to the project under consideration have been managed, reduced, or eliminated pursuant to the employer’s policy.

8. If your proposal involves hiring personnel, you must either (a) name the specific person in the proposal and apportion the wage charge correctly, or (b) identify and recruit someone for the position if an award is received. If you must recruit, you should discuss the proper classification and salary of the position with a representative of Human Resources during the preparation of the budget, and acquaint yourself with
proper recruitment and Equal Employment Opportunity procedures.

9. Attention should be given to the inclusion of a realistic inflation percentage of costs for personnel salaries, student tuition and stipends, supplies, travel, and other line items. Check with the Office of Academic Affairs for percentages which the administration has established to accommodate estimates of rising costs.

10. If your project requires institutional space allocations, check with the appropriate office; e.g., the Registrar’s Office for scheduling classroom space.

11. The Office of Conferences and Special Programs should be consulted when the proposal includes conferences and other special events. The Office of University Communications can give cost estimates for publicity mailings.

12. If the proposal involves a private foundation, corporation, or other private sponsor, the PI should request that the AVPAA:BR coordinate the proposal with the Vice President for Alumni Relations and Development.

B. What to Submit and When

- When your proposal is completed, submit the final copy with the Internal Approval Form to the Chair for approval.

- If the proposal involves a cost-sharing agreement, a Cost-Share request must be attached to the Internal Approval Form.

- The Internal Approval Form must be signed by the principal investigator (PI), departmental Chair and the Office of Grants Accounting, and must accompany all proposals to the Office of Academic Affairs for administrative approval.

- The authorized institutional administrator has sole authority to commit institutional resources and facilities and to enter into agreements on contracts and grants. PIs are encouraged to consult freely with prospective sponsors, and to discuss conditions of the grant or contract. However, such discussions, particularly during pre-award negotiations, must be regarded as tentative pending approval by the authorized institutional administrator.

- Time must be allotted for administrative review by the Chair, the Office of Grants Accounting, and the authorized institutional administrator, and for corrections or changes in the proposal. If substantive budget and/or task revisions in the proposal are made during the review process, the original endorsements must be reaffirmed before it will be signed by the authorized institutional administrator for submission to the sponsor.
C. **Internal Review Timetable**

- Allow at least two days for the Chair to read, request any revisions, and approve the proposed narrative and budget.

- Allow one week for the Office of Grants Accounting to review the budget and check for compliance with institutional and sponsor’s regulations, and read the narrative.

- Allow two days for the AVPAA:BR to read the proposal, confer with the principal investigator (PI) or Chair on necessary changes, and approve the proposal for presentation to the sponsor.

- Final photocopying and mailing are the responsibility of the PI, using departmental funds which have been allocated for this purpose. Copies should be sent to the offices of Academic Affairs and Grants Accounting. If the proposal was submitted to a private foundation, a copy should also be sent to the Director of Corporate and Foundation Relations.

- If the scope of the project and/or the budget must be negotiated, the PI should revise the task schedule and budget, and it may be necessary for the PI to discuss changes with the agency project officer. Revisions must be submitted through the internal review process and approved by the AVPAA:BR.

D. **Project Management**

Grants and contracts are awarded to Trinity University, which has final responsibility for the successful administration of the grant or contract. However, the technical requirements and the day-to-day administration of the project are the responsibility of the PI. The Chair of the department in which the PI holds appointment has administrative oversight duties. The AVPAA:BR assists in administratively fulfilling the contract or grant requirements. The Office of Grants Accounting is responsible for financial accounting and audit. In addition, Human Resources and other staff and service departments will assist in the successful operation of the project.

*It is the responsibility of the principal investigator to:*

1. Conduct the project according to the statement of work set forth in the award document.

2. Supervise expenditures in conformity with the contract or grant budget. Small, routine budget changes within budget categories may require the approval of the Chair, the AVPAA:BR, and the Office of Grants Accounting. Major budget changes or budget transfers between budget categories that significantly alter the project will normally require approval of the funding agency, the Chair, the AVPAA:BR, and the Office of Grants Accounting.
3. Adhere to institutional policies and procedures.

4. Initiate the necessary documents requesting payment for travel, purchase requisitions, payroll authorization for project employees, and other forms required for the project.

5. Report to the Grants Accounting Office the time and effort devoted to the project by all project personnel during each pay period.

6. Contact the AVPAA:BR regarding potential patentable discoveries and copyrights.

7. Provide institutional identification, care and maintenance of all equipment procured with project funds in accordance with the University and sponsor’s regulations.

8. Write and submit progress reports as required by the sponsor.

9. Review reports of expenditures prepared by the Grants Accounting Office and closely monitor all financial transactions.

10. Assure that cost-sharing requirements are fulfilled for the project.

11. Assure that project funds are spent in an orderly and timely manner. This is particularly important when spending funds for equipment and supplies, because budgeted line items and project tasks must be closely related and fit well within the award time schedule so that they will be allowable and “auditable” costs.

12. Provide all expenditure documentation that may be requested by the Grants Accounting Office as needed for financial reporting to the project sponsor.

13. Cooperate with the offices of Human Resources and Payroll to give notice of anticipated termination to project personnel a month prior to the close of grants and contract.

14. Confirm and file with the appropriate offices all other termination documents, e.g., invention disclosures, copyright or patent statements, disposition of property acquired with award funds, contractor’s assignments, releases and rebates.

15. Complete and submit the final technical report to the sponsor by the required date. Send copies to the AVPAA:BR and Grants Accounting.

E. Proposal Format for Private Foundations and Corporations

For projects involving a private foundation, corporation, or other private sponsor, the AVPAA:BR will coordinate the proposal with the Vice President for Alumni Relations and Development.
CHAPTER 5. RESEARCHER RESPONSIBILITIES

V. ADMINISTRATION OF SPONSORED PROJECTS

Awards for sponsored projects are made to the University, which is identified as grantee in grant documents. It is the responsibility of the AVPAA:BR as the designated institutional representative to serve as intermediary between the agency and the principal investigator (PI) for pre-award changes of the grant and for post-award modifications, date extensions, and other administrative processing.

The PI will make such adjustments as are necessary for agency satisfaction within the context of more limited but adequate budget and line item changes. The final budget should be checked with the Chair and returned to the AVPAA:BR for approval. Contract agreements with sponsoring agencies require both agency and University signatures before they become effective. PIs must thoroughly review but are not authorized to sign these documents. The PI, the AVPAA:BR, and the Office of Grants Accounting review the final documents before contracts are approved and signed by the AVPAA:BR.

When an award has been accepted by the sponsoring agency and the University, the AVPAA:BR and the Office of Grants Accounting will review the terms and conditions of the award and issue a Notice of Award which advises the PI of the establishment of the project budget account. Until the award notice is received, no cost to the project can be incurred or paid. In setting up an award budget, the Office of Grants Accounting will review the award documents and include any special conditions in the administrative notes. These serve as guidelines to the PI in operating the project and expending funds. There will also be a listing of dates on which financial and technical reports are due, the anticipated date during project operations beyond which funds for equipment and supplies should not be spent, and the project budget identification number. Following this Notice of Award the PI should process all staff needs to the Office of Human Resources. All employment must be done according to established University job descriptions and salary scales.

The University has the responsibility for making required fiscal reports and insuring compliance with agency regulations. This does not absolve the PI of the responsibility for operating within administrative constraints imposed by the agency and the University. The PI must assume the responsibility for directing the technical aspects of the project and carrying out the methodology and scope as authorized by the agency. The PI is also responsible for authorizing and documenting all expenditures of grant funds including time and effort reports as specified in the grant. These are subject to the approval of the Office of Grants Accounting and the AVPAA:BR.

The PI will be responsible for preparing all final technical reports and budget close-out documentation required by the government agency. All of this information will be checked by the AVPAA:BR and the Office of Grants Accounting prior to submission to the agency but within the deadline specified by the agency. Records of all grants and contracts are retained for three years from the completion of the grant or contract project.
VI. DEFINITIONS

A. Activities. Include both direct activities and financial interest in the activities of other businesses.

B. Business. Any corporation, partnership, proprietorship, firm, franchise, association, holding company, joint stock company, receivership, trust, or any other legal entity organized for profit. This does not include mutual funds over which the investigator has no control, or any governmental committee, community, political, academic, charitable, religious, social, or professional non-profit organization.

C. Contracts. Excludes the terms of the investigator’s own or any family member’s employment contract with the University.

D. Employee. Includes faculty (full-time and part-time), staff (contract and classified), and visiting faculty and staff.

E. Equity Interests. Ownership or control of stock, stock options, or other investment instruments.

F. Facilities. Excludes the investigator’s office, office equipment, and incidental supplies (e.g., copying, fax, long-distance telephone service) for which the investigator reimburses Trinity University.

G. Family. Spouse and dependent children.

H. Intellectual property. Includes organized information, ideas, fabrication methods, devices, or substances that are patented or copyrighted or have that potential, and that are partially or fully owned by Trinity University. Excludes any intellectual property for which the investigator holds a license from Trinity University or which is in the public domain.

I. Investigator. The principal investigator, co-principal investigators, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities funded by a federal grant.

J. Policy position. A director, officer, partner, manager, or agent in any managerial position.

K. Receipts. Includes loans, gifts, royalties, and earned income other than consulting fees. Excludes grants, contracts, or any other sums that the investigator or the investigator’s family member receives from Trinity University, no matter what the original source.

L. Research Integrity Committee. A group made up of the AVPAA:BR, the Manager of Grant and Plant Fund, and the chairs of the Institutional Review Board (IRB) and the Institutional Animal Care and Use Committee (IACUC). This group is charged with reviewing disclosures of significant
financial interest related to externally funded programs in order to determine if a conflict of interest exists.

**M. Significant financial interests.** Any **business, equity interests, or intellectual property** of the **investigator**, her/his spouse or dependent children that would reasonably appear to be related to his/her ongoing or proposed federally funded research, including **business, equity interests, or intellectual property**, anything of monetary value including but not limited to salary or other payment for services (e.g., consulting fees or honoraria sponsored or reimbursed travel), **equity interests**, and **intellectual property rights**. Significant Financial Interests do NOT include:

- income from seminars, lectures, or teaching engagements or from service on advisory committees or review panels if said income is paid by a federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001 (a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

- financial interests in **business** enterprises or entities if the value of such interests does not exceed $5,000 or represent more than 5% ownership interest for any one enterprise or entity when aggregated for the **investigator** and the **investigator's family**; or

- income from investments vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles.

**N. Staff services.** Excludes infrequent secretarial support.

**O. Subgrantees.** Individuals and institutions that are unaffiliated with Trinity University and that enter into contractual agreements with the University for the design, conduct, or reporting of research funded by extramural sources. This definition includes contractors and consultants as well as collaborators at other institutions.

**P. Trinity University.** Includes all units operated by the University.

**Q. U.S. Public Health Service (PHS).** The Public Health Service of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated, including the National Institutes of Health.
(5B) INTELLECTUAL PROPERTY POLICY

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. PRINCIPLE OF OWNERSHIP

Technical information, discoveries, inventions, industrial values and patents resulting from research or investigation conducted by faculty, staff members, or students of Trinity University on its time or with its facilities are the property of the University and shall be assigned to the University or its designee. In the event that investigation results in discoveries or inventions which according to common usage may be patented, the University reserves the right to protect such inventions by patent application implicitly governing its action with due regard to the protection of the rights of the University and the interests of the employee inventor, the sponsor, and the student or investigator who has carried out the research contributory thereto, either as a thesis or as an assigned research project. The University shall own right, title, and interest to such patents, reserving the right to direct the assignment thereof to others.

II. EQUITIES OF PARTICIPATING PARTIES

It is the policy of Trinity University with reference to all creative endeavors of its faculty, staff members, and students conducted on its time with its facilities to recognize the interests of the University, the faculty or staff member, student, sponsor, and other cooperating or participating agencies. It is recognized that patents or inventions might arise from research conducted on several different bases as noted below.

A. Investigation financed wholly by the University, that is, sponsored by the University and carried out by University funds by persons paid by the University.

The principle of ownerships is stated in Section I above. Trinity University maintains an agreement with Research Corporation under which Research Corporation may acquire ownership of inventions made by members of the University’s faculty, its associates, students, and employees with the patent rights thereon and introduce them to public use. Research Corporation is a nonprofit foundation that includes among its activities patent management for colleges and universities. If, in the opinion of that organization, it would be desirable to make application for patent, the staff member shall assign his/her rights in the invention to the University, which will in turn make arrangements for application to be filed with the assistance of Research Corporation. If a patent issues, Research Corporation will make arrangements for exploitation of the patent through the granting of licenses
to commercial firms. The inventor will receive 15% of the gross royalties received. Net proceeds after such royalties and after payment of exploitation of the patent are divided equally between the University and Research Corporation. The latter distributes its total net income as grants-in-aid for research to colleges, universities, and scientific institutions. Any payments made to retain an interest in the discovery or invention are divided equally between Trinity University and the faculty member.

If the University or Research Corporation is not interested in assuming the costs of the patent as outlined above, the inventor may apply in his/her own name and at his/her own expense, the invention title and royalties in this case being the private property of the inventor. Under these circumstances the inventor shall grant to the University a royalty-free, irrevocable nonexclusive license to make or use the invention for its own purposes.

B. Investigations financed wholly or partially by government, philanthropic or other organizations, or by an individual not employed by the University.

If, in the opinion of the University, it would be desirable to make application for patent, the staff member shall assign his/her rights in the invention to the University, which will in turn make arrangements for application to be filed. If a patent issues, the University will make arrangements for exploitation of the patent through the granting of licenses to commercial firms. Net proceeds to the University after payment of expenses associated with exploitation of the patent are divided equally between the University and the inventor(s). Any payments made to retain an interest in the discovery or invention are divided equally between Trinity University and the faculty member. If the University is not interested in assuming the costs of the patent as outlined above, the inventor may apply in his/her own name and at his/her own expense, the invention title and royalties in this case being the private property of the inventor. Under these circumstances the inventor shall grant to the University a royalty-free, irrevocable nonexclusive license to make or use the invention for its own purposes.

C. Investigations performed by an employee of the University wholly or partly on his/her own time and at his/her own expense.

Such cases shall be brought to the attention of the President of the University, who shall, with the aid of such advice as he/she may seek, determine whether the invention is of Type 1, Type 2, or Type 3.

Type 1. When a discovery is made wholly at the expense of the individual without the use of University facilities and outside the normal field of the individual’s employment, the results of such research are the private property of the investigator.

Type 2. When a discovery is made partly at the expense of the individual with the use of University facilities or in the normal field of the individual’s employment, the procedure shall be the same as that of Type 1, given above.
Type 3. When a discovery is made by an individual acting as a consultant, the following procedures shall apply. University regulations require that staff members obtain authority to act as consultants by request to the VPFSA. If patents may be involved in the course of the consulting service, this subject must be covered in the request to do the work. If the individual is asked to sign an agreement covering patent matters as part of the consulting agreement, a copy of that agreement must be attached to and become part of the request to perform the consulting work.

III. COPYRIGHTS

In accordance with the custom established in institutions of higher learning and the Copyright Act of 1976, copyright ownership of textbooks, manuscripts, literary work, visual work, performance and sound recordings, computer programs, and royalties therefrom belong to the author of such work, unless such work is “made for hire.” Any “work made for hire” is the property of the University. “Work made for hire” is defined as:

1. Work prepared by an employee within the scope of his or her employment (on the time of the University, in the facilities of the University, and/or with equipment of the University);
2. Work specially ordered or commissioned for certain uses specified in the statutes and when there is a written agreement to consider the work “work made for hire”;
3. Work accomplished with the support of the University through salary, course credit, and/or stipends.

The copyright shall be assigned to Trinity University or its designee in the same manner as that prescribed for patents under the policies above. The equities of the participating parties shall be handled in the same manner as that prescribed for patents under Section II above.

In case of doubt regarding applicability of the above, the case should be submitted to the President of Trinity University for clarification and a recommendation prior to performance or production of the work. The President of Trinity University shall be notified in writing of any such work where a copyright might be obtained. Such notification shall be transmitted through the departmental Chair and the Associate Vice President for Academic Affairs: Budget and Research.

A. Disputed Cases

In cases where dispute arises as to the application of the above policy regarding patents or copyrights, the executive committee of the Faculty Development Committee shall review the case, hear presentations of evidence from all sides, and act as advisory body to the President in his/her determination of the University’s position.
B. Equity and Management

In the event that Research Corporation acquires ownership of intellectual property, per the above, no further assignment of equity or participation in management is ordinarily possible.
Each Faculty member grants to the President and Board of Trustees of Trinity University limited use of his or her scholarly articles. An article is defined here as a scholarly work published in a journal or as an independent chapter of a multi-authored book. The permission granted by each Faculty member is a nonexclusive, irrevocable, paid-up, worldwide license to exercise any and all rights under United States copyright law relating to each of his or her scholarly articles, in any medium, and to authorize others to do the same, provided that the articles are not sold.

The policy applies to all scholarly articles written while the person is a member of the Faculty except for any articles completed before the adoption of this policy and any articles for which the Faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy. Furthermore, the policy applies only to works for which the author does not retain full copyright. Faculty members are allowed to opt out of this policy for any reason.

Each Faculty member will provide an electronic copy of the final author’s version of the article, through a web site established for this purpose, at no charge to the Open Access Faculty Committee. The Open Access Faculty Committee may make the article available to the public in an open-access repository. Each article will be embargoed until it has appeared either in print or online at the publisher’s web site, whichever comes first.
(5D) USE OF HUMAN SUBJECTS IN RESEARCH

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

When a research project involves human subjects and also involves the use of federal grant funds, it is subject to policies described primarily in the Code of Federal Regulations, 45 CFR 46, entitled “Protection of Human Subjects.” The policy of Trinity University is to comply with these regulations in all cases of research involving human subjects. Copies of 45 CFR 46 are available from the Office of Academic Affairs. These regulations provide for the creation of a human subjects review committee known as the “Institutional Review Board” (IRB).

Considerations

Trinity University has established the IRB in order to consider research protocols that involve human subjects and to approve, disapprove, or require modifications in such research. In its review, the IRB ensures that risks to subjects are minimized and that these risks are reasonable in relation to anticipated benefits. It also ensures that selection of subjects is equitable and not coercive and that informed consent will be sought and documented from each prospective subject. It also ensures that there are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of the data.

I. INSTITUTIONAL REVIEW BOARD PROCEDURES

A. Types of Research that Need IRB Approval

In general, any research conducted by faculty, staff, or students that involves living human beings is subject to IRB review. Research involving survey or interview procedures or involving observation of human behavior should be submitted for IRB review. Even though 45 CFR 46 exempts some research of this type, Trinity University policy requires its submission to the IRB. Notable exceptions are:

1. Research conducted in educational settings involving normal educational practices such as research on regular and special educational strategies or research on the effectiveness of or the comparisons among instructional techniques, curricula, or classroom management methods.

2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), if information taken from these sources is recorded in such a manner that subjects cannot be identified directly or through identifiers linked to the subjects.
3. Research involving existing data or records or human artifacts if they are publicly available or are used in such a manner that subjects cannot be identified.

B. Information that Should Be Submitted to the IRB

An investigator should always feel free to make an informal inquiry to the chair or the secretary of the IRB. Persons submitting research for review should supply information that will allow the IRB to weigh those considerations described above.

Proposals should be submitted to the Chair of the IRB with an accompanying e-mail message cc’d to the AVPAA:B&R that contains a brief description of the project. Proposals and accompanying materials should be sent electronically if at all possible to conserve resources and allow for electronic archiving, preferably in a single word processing or pdf file. All proposals must be submitted with a title and a completion date.

When proposals are being submitted as part of an academic course, if multiple projects are proposed, it is preferred that proposals be submitted in batches to the Chair of the IRB, by the course instructor, and after his/her review of the proposals. The computer file containing the set of proposals should be given an informative name that includes the name of the course, the instructor, and a brief title for the project (e.g., Psy2310, Wallace.fallproject.doc.)

“Risk” should be interpreted in a broad sense to mean not just physical risk but also legal, psychological, social, and economic risk. Discomfort, pain, and embarrassment should be minimized and justifiable in terms of anticipated benefit(s). (“Minimal risk” is quite explicitly defined in 45 CFR 46. Designating a project “minimal risk” does not diminish the responsibilities of either the IRB or the investigators, nor does it eliminate the requirement for obtaining informed consent.)

If a survey, interview, or test is involved, the investigator should include a copy of the exact form that will be used. A description of the informed consent process and a copy of the consent form(s) must be submitted. Items submitted to the IRB will, in general, be kept in IRB files and will not be returned.

C. The Review Process

Research involving minimal risk may receive an “expedited review” by the IRB Chair or by some other IRB member designated by the chair. Most of the human subjects research at Trinity University is in this category, and the review process normally takes less than one week. Research involving significant risk requires approval at a convened meeting of the IRB, and this process could involve a month or more. Proposal authors should consider and plan for the IRB approval when scheduling the preparation of a proposal. If a meeting of the full board is needed, applicants are typically expected to attend that meeting.
It is expected that the applicant will simultaneously submit a copy of the request to the IRB and the Chair or supervisor of the applicant’s department, or appropriate supervisor in the case of a request from an administrative office. The chair or supervisor will inform the IRB and the applicant of any concerns they have about the proposal.

D. Monitoring of Projects

All projects approved by the IRB must be monitored. When the project has been completed, or at the end of the period in which a project has been approved (typically 12 months), investigators must inform the IRB (1) whether the project is continuing or terminating, and (2) whether or not there were any adverse effects experienced by participants in the study. If continuing, the project proposal must be resubmitted to the Chair of the IRB for further consideration for the next year.

E. Informed Consent

The main purpose of the informed consent process is to ensure that prospective research subjects are presented, in understandable language, the information that might influence the decision of giving or withholding consent to participate in the research project. Another qualification of the consent process is that the subject exercise free choice and not be subject to coercion or excessive inducement. Articles 46.116 and 46.117 of 45 CFR 46 contain descriptions of informed consent and its documentation, including conditions under which the process may be waived. For much of the research conducted at Trinity University, an appropriate informed consent process (and consent form) would include:

1. A statement that the study involves research, an explanation of the purposes of the research and the expected duration of the subjects’ participation, and a description of the procedures to be followed.
2. A description of any reasonably foreseeable risks or discomforts to the subject.
3. A description of any benefits to the subject or to others that may reasonably be expected from the research.
4. A statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained.
5. An explanation of whom to contact for answers to pertinent questions about the research and about research subjects’ rights.
6. A statement that participation is voluntary, that refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled, and that the
subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled.

7. A statement that participants must be 18 years of age or older to participate in the study.

Other considerations in obtaining informed consent may be appropriate in certain cases; for example, when an experimental treatment is involved, when the true purpose of the research cannot be divulged to the participants, or when the research involves children or prisoners. The consent form may not include any language that releases, or appears to release, the investigator or his/her institution from liability, or that waives, or appears to waive, any of the subjects’ legal rights.

A copy of the consent form should normally be given to the person signing the form.

F. IRB Membership: Duties of the Board and the Chair

The Trinity University Institutional Review Board consists of nine persons: five faculty, a representative from the administration, an undergraduate student, and two persons from the community with no other affiliation with Trinity University.

Members of the board are appointed by the President of the University and the Vice President for Faculty and Student Affairs and do not serve set terms. Once appointed, members remain on the board until they make a request to the President to be removed.

Each fall, the board elects one of its members to serve as Secretary. The Secretary creates minutes of IRB meetings over that academic year.

At least once per semester, the Chair provides a written report to the board of his/her activities (exempted and expedited proposal decisions).

The Chair reviews all outcome reports submitted by investigators as part of the monitoring process, and brings any information about adverse outcomes back to the board as needed.

If the Chair is unavailable for more than two weeks, s/he may designate a member of the board to serve as Acting Chair for that period of time. Typically, the member serving as Acting Chair must have at least two years of experience on the board prior to this designation.

Archives of previous proposals and decisions will be maintained by the Office of Academic Affairs.
II. SAMPLE CONSENT FORM

We are seeking your participation in a research project involving a study of the burden borne by persons providing home care to victims of an immobilizing stroke. It is our understanding that you have provided the primary home care to a stroke victim, either a spouse, a parent, or a parent-in-law, for at least one year. This study will involve about forty persons who, like yourself, provide such care.

If you agree to participate, you will be interviewed about the care you provide to the stroke victim and about your feelings toward him or her. The interview will last about one hour. Your participation will not subject you to any physical risk or pain, but, because some of the interview questions are very personal, you may be subject to some stress or embarrassment. Your name will not be recorded on the interview sheets: an anonymous code will be used, and your replies will be known to at most two persons, the interviewer and Dr. ________, the director of this study. You may be assured that any reports of this research will contain only data of an anonymous or statistical nature: your name, or the name of the stroke victim, will not be used.

The goal of this research is to determine what burdens, physical and psychological, are borne by those who provide home care of immobilized stroke victims. It is hoped that stroke support groups and the medical community will be able to use our research to ease the burdens of persons such as yourself. We cannot promise that your participation in this study will be of any direct benefit to you. You may find some therapeutic value in discussing the problems you encounter in caring for the stroke victim. You will receive no monetary compensation for participating in this study.

We are planning a follow-up study to take place about one year from now, and you may be asked, at that time, to agree to another interview. However, giving your permission to participate in the present study in no way obligates you to participate in the follow-up study.

Any questions you have regarding this research may be directed to the interviewer or to Dr. ________ at ________. Information involving the conduct and review of research involving humans can be obtained from the following member of the Trinity University Institutional Review Board: ________ at 999-_______.

Your signature below indicates that you agree to participate in this research and further indicates that:

1. You have read and understand the information written above;
2. You understand that participation is voluntary and that refusal to participate will not penalize you in any way; and
3. You understand that you are free to withdraw from participation at any time without penalty.
<table>
<thead>
<tr>
<th>Participant</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interviewer</td>
<td>Date</td>
</tr>
</tbody>
</table>
(5E) ANIMAL CARE

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

Federal regulations require that all use of vertebrate animals must be supervised by an institutional committee to insure that the animals are humanely cared for and that their use is necessary for instructional and/or research purposes.

The Animal Research Committee or its representative periodically inspects the Animal Care Facility to see that it is operating according to the standards of housing and maintenance as specified in the federal publication “Guide for the Care and Use of Laboratory Animals,” 4th Edition.

The Trinity University Animal Facility is housed in Rooms 431 and 433 of the Cowles Life Science Building. It is used to house warm-blooded animals for instructional and research purposes. The Animal Care Facility provides cages, feed and husbandry, and veterinary services for animals used for teaching and/or research use. In order for faculty members to use the Animal Care Facility or to maintain warm-blooded animals outside the facility (e.g., in a University laboratory), faculty members must petition the committee and state the species, number, caging requirements, and length of time the animals are to be held in or out of the Animal Care Facility. The petition should also state the purpose of the animals, where they are to be obtained and where and how they will be disposed of.

Purchase of animals is the responsibility of the individual faculty member or his/her department. However, if sufficient time is allowed, upon request, the Animal Care Facility will attempt to provide certain routine laboratory animals or will expand a colony of breeding stock provided by a faculty member.

All new animals brought into the Animal Care Facility must be quarantined for three weeks before they can be housed with the regular colony.
Trinity University strongly supports the principles of ethical integrity in scientific research and education. The University commits itself to these principles by promoting ethical conduct among its staff and in assuring that any allegations of scientific misconduct reported to any officer, faculty member, or departmental head by a complainant will be studied promptly and thoroughly, while maintaining, as much as possible, the confidentiality of the complainant and respondent, affording both the right to due process.

I. DEFINITION

“Misconduct” or “misconduct in science” means fabrication, falsification, plagiarism, deception, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. This definition includes material failure to comply with Federal, State of Texas, or University requirements for protection of researchers, human subjects, or the public or for ensuring the welfare of laboratory animals. It includes failure to meet other material legal requirements governing research. It does not include honest error or honest differences in interpretations or judgments of data.

II. PROCEDURES

A. Principles and Guidelines for Ethical Scientific Research

Ethical principles for conduct of scientific research have been outlined in three publications: Framework for Institutional Policies and Procedures to Deal with Misconduct in Research, published by the Association of American Medical Colleges, 1989; and Framework for Institutional Policies and Procedures to Deal with Fraud in Research, published by the Association of American Universities, 1989. Any research project involving human subjects and also involving the use of Federal grant funds is subject to policies described primarily in the Code of Federal Regulations, 45 CFR 46, Protection of Human Subjects. The University will have these documents available in the Office of the Vice President for Faculty and Student Affairs.

The University will immediately consider allegations of misconduct in research and will address any questions regarding the integrity of research performed under its sponsorship. Inquiries and,
where warranted, investigations will not be limited to responses to specific allegations, but may also be initiated in the absence of a specific complaint should a legitimate suspicion arise. The University will study allegations of misconduct even if the subject of the allegation is no longer affiliated with the University. The University will cooperate with other organizations making inquiries or investigations involving current or former University employees.

The Associate Vice President for Academic Affairs: Budget and Research shall be the person to whom allegations should be reported, referred to hereafter as the Misconduct Policy Officer (MPO). The MPO will:

1. provide education about scientific misconduct,
2. interpret University misconduct policy,
3. counsel staff, and
4. disseminate the policy.

The MPO will pursue all allegations to resolution. In case the conduct of the Associate Vice President for Academic Affairs: Budget and Research is in question, the case will be referred to the Vice President for Faculty and Student Affairs. Conflicts of interest, perceived or real, will also disqualify anyone identified as the MPO.

Initially, the MPO will discuss allegations of misconduct in a confidential manner with the person making the allegation. If the MPO determines that the concern falls outside the scope of misconduct, the individual making the allegation will be counseled about alternative avenues for resolving the concern. If the allegation falls within the scope of misconduct, the individual making the allegation will be advised of the procedures for inquiry and investigation and offered the opportunity to make a formal allegation. Should the individual decline to make a formal allegation and the MPO nevertheless determines there is sufficient cause to warrant an inquiry, the matter may be pursued without a complainant.

**B. Inquiry**

1. *Purpose*

Whenever an allegation or complaint involving the possibility of scientific misconduct is made, the designated MPO will initiate an inquiry—the first step of the review process. Recognizing the vulnerability of all parties involved, the University will insist that strict confidentiality be maintained. In the inquiry stage, factual information is gathered and expeditiously reviewed to determine whether an investigation of the charge is warranted. An inquiry is not a formal hearing; it is designed to separate allegations deserving of further investigation from frivolous, unjustified, malicious, or clearly mistaken allegations.
2. **Structure**

The inquiry process may be handled with or without a formal committee. The MPO will make every effort to ensure that the inquiry is conducted in a fair and just manner. The inquiry phase is critical; the MPO will consider whether more than one person should be involved in conducting the inquiry. If a committee is necessary, the committee will be appointed by the MPO and will act under the guidelines presented in *Section II.D: Investigation*. Individuals chosen to assist in the inquiry process must have no real or apparent conflicts of interest bearing on the case in question. They will be unbiased and have appropriate backgrounds for judging the issues being raised. The University may consult its legal counsel to minimize the risk of liability for actions taken in the conduct of the inquiry and investigation.

3. **Process**

Upon initiation of an inquiry, the MPO is responsible for notifying the respondent within a reasonable time of the charges and the process that will follow. If the committee method is to be used, the committee members will be appointed and convened.

*Confidentiality of the information gained during the inquiry will be maintained to the maximum extent possible in order to protect the rights of all parties involved (complainant, respondent, and any others).*

Whether a case can be reviewed effectively without the involvement of the complainant depends upon the nature of the allegation and the evidence available. Cases that depend specifically upon the observations or statements of the complainant cannot proceed without the open involvement of that individual; other cases that can rely on documentary evidence may permit the complainant to remain anonymous. While it may be desirable to keep the identity of the complainant confidential during the inquiry phase, local laws which provide for open access to certain records may make such confidentiality impossible.

The MPO will assume responsibility for disseminating the facts of the case to the appropriate individuals. Normally, notification will be made in writing and copies filed in the office of the MPO. The safety, security, and confidentiality of all documents will be assured.

When the inquiry is initiated, the respondent will be reminded of the obligation to cooperate by providing material necessary to conduct the inquiry.

Due to the sensitive nature of allegations of scientific misconduct, the University will resolve cases expeditiously. Deadlines will be established to facilitate the process. The inquiry phase will be completed within 60 days or less of the initial notification of the respondent, consistent with Public Health Service (PHS), National Science Foundation...
(NSF) and other granting agency regulations. If the MPO or the delegated committee making inquiry into the allegation anticipates that the established deadline cannot be met, a report citing the reasons for the delay and progress to date will be submitted for the record; the respondent and appropriately involved individuals will be informed. All records of the inquiry will be retained for three years and will be available upon request to authorized Federal agencies. If at any point during an inquiry or investigation reasonable evidence of criminal activity is discovered, the cognizant Federal agency will be informed within 24 hours. Except in the case of reasonable evidence of criminal activity or a finding that formal investigation is needed, the report of the inquiry shall be sealed for three years in a confidential and secure file.

4. \textit{Findings}

The completion of an inquiry is marked by a determination of whether a formal investigation is warranted. There will be a written report to summarize the process and state the conclusion of the inquiry. This report should identify the evidence that was reviewed, summarize relevant interviews, and state the conclusion and recommendations. The respondent will be informed by the MPO whether there will be further investigation. If there is a complainant, he or she will likewise be informed. The respondent and the complainant will be provided the opportunity to prepare written comments on the report that will become part of the official record.

Allegations found to require investigation will be forwarded promptly to a specially designated investigative body. Federal regulation requires that the agency sponsoring the research will also be notified at this point; for research supported by PHS, the relevant office for such notification is the Office of Scientific Integrity (OSI). For research supported by NSF, the relevant office for such notification is the Inspector General (IG).

If an allegation is found to be unsupported, no further formal action will be taken, other than informing all involved parties of the findings of the inquiry. The proceedings of an inquiry, including the identity of the respondent, will be held in strict confidence to protect the parties involved. If confidentiality is breached, the University will take reasonable steps to minimize the damage to reputations that may result from inaccurate reports. The University policy is that allegations that have not been brought in good faith may lead to disciplinary action. However, the University will seek to protect the complainant against retaliation, including protecting anonymity whenever possible. Individuals engaged in acts of retaliation will be disciplined in accordance with the appropriate institutional policies. The inquiry will be completed and the report written within 60 calendar days of receipt of the allegation and all documentation retained for at least three years. Such documentation may be turned over to authorized personnel upon request.
C. Investigation

1. Purpose

An investigation will be initiated within 30 days when an inquiry determines that it is warranted. The purpose of an investigation is to explore further the allegations and determine whether misconduct has occurred. In the course of an investigation, additional information may emerge that justifies broadening the scope of the investigation beyond the initial allegations. The respondent will be informed when significant new directions of an investigation are undertaken. The investigation will focus on accusations of misconduct and examine the factual materials of each case.

2. Structure

The investigative body will be an impartial, expert ad hoc committee to handle each specific case. Members of the investigative body may be chosen from within or outside of the University, as circumstances dictate, and may or may not include the MPO. The committee should have appropriate scientific or administrative expertise to assure a sound knowledge from which to work.

Regardless of the structure chosen, conflicts of interest must be examined scrupulously, and any relationship with parties to the matter must be fully disclosed and made visible to all those involved and having an interest in the investigation. Those investigating the allegations will be selected in full awareness of the closeness of their professional affiliation with the complainant or the respondent. Any member of a committee who has an irresolvable conflict of interest in a given case will not be permitted to be involved in any aspect of the committee’s handling of that case. Members of the committee will be appointed by the Vice President for Faculty and Student Affairs (VPFSA).

3. Process

Upon receipt of inquiry findings that an investigation is warranted, the VPFSA will initiate investigation within 30 days, and the complainant and respondent will be notified of the investigation in writing; the University will notify appropriate agencies of federally funded projects that an investigation has been initiated. All involved parties are obligated to cooperate with the proceedings in providing information relating to the case. All necessary information will be provided to the respondent in a timely manner to facilitate the preparation of a response. The respondent will have the opportunity to address the charges and evidence in detail. Both the claimant and the respondent should be advised of their right to secure legal counsel at their own expense.

As previously noted, federal regulations require that the agency sponsoring a research project in which misconduct is suspected must be notified as soon as the decision has
been made to undertake a formal investigation. This practice is extended to include no-
tification of all sponsors of the research. The University will, in turn, seek assurances
of the confidential treatment of this information. Significant developments during the
investigation, as well as the final findings of the committee, will be reported to the
sponsor(s). When the investigation is concluded, all entities initially notified of the
investigation will be informed of its outcome.

The University will conduct each investigation as expeditiously as fairness and thor-
oughness permit. Every effort will be made to protect involved Federal funds during
the interim. All investigations must be completed within 120 days; if an extension of
the time limit is necessary, the University will submit a request to the cognizant agency
for approval. This request will include an interim report on progress to date and an es-
timate of the time needed to complete the investigation. In any given investigation, the
MPO may request interim reports.

During the investigation, the committee members will examine documentation, in-
cluding, but not limited to, relevant research data and proposals, publications, reports,
correspondence, telephone call notes and memoranda. Those making the allegations,
those against whom the allegation is made, and others who may have information on
key aspects of the investigation will be interviewed. Transcripts of interviews will be
prepared, provided to the interviewed party for comment or revision, and included in
the investigatory file.

4. Findings

The findings of the investigative committee must be submitted in writing to the VPFSA.
The respondent will receive the full report of the investigation. When there is more
than one respondent, each shall receive all those parts that are pertinent to his or her
role. Each will have the opportunity to comment or respond. All federal agencies,
sponsors, or other entities initially informed of the investigation also must be promptly
notified of the findings. The University will retain the findings of the investigation for
three years in a confidential and secure file.

Investigations into allegations of misconduct may result in various outcomes, includ-
ing:

1. A finding of misconduct;

2. A finding that no culpable conduct was committed, but serious scientific errors
   were discovered;

3. A finding that no misconduct or serious scientific error was committed.

Thus, an investigation of misconduct may disclose evidence that requires further action
even in those cases in which no misconduct is found.
If an investigation has been launched on the basis of a complaint, but no misconduct is found, no disciplinary measures will be taken against the complainant, and every effort will be made to prevent retaliatory action against the complainant if the allegations, however incorrect, are found to have been made in good faith. If the allegations are found to have been maliciously motivated, disciplinary actions may be taken against those responsible.

D. Appeal and Final Review

The University will provide respondents with an appeals process at this point through a written appeal of the investigative committee’s decision. Appeals will be restricted to the body of evidence already presented, and the grounds for appeal will be limited to failure to follow the procedures herein provided for the investigation, or evidence of arbitrary and capricious decision making. New evidence may warrant a new investigation. The appeal will be filed promptly after a finding has been made. The VPFSA will specify a senior official not involved in the decision of the investigative body to hear the appeal. The decision of such a review is final.

E. Disposition

Recommendations for any disciplinary action will be included in the final report. The University will make the final determination for disciplinary action. Many actions are available and may be taken in a fashion consistent and commensurate with the nature of the proven acts of misconduct. Examples include:

- Removal from a particular project
- Letter of reprimand
- Special monitoring of future work
- Probation
- Suspension
- Salary reduction
- Rank reduction
- Termination of employment

The University will also consider giving formal notification to other concerned parties not previously notified as to the outcome of the case. These parties may include:

- Other institutions with which the individual is currently affiliated,
• Sponsoring agencies and funding sources,
• Co-authors, co-investigators, and collaborators,
• Editors of journals in which fraudulent research was published,
• State professional licensing boards,
• Editors of journals or other publications, other institutions, sponsoring agencies, and funding sources with which the individual has been affiliated,
• Professional societies, and
• Where appropriate, criminal authorities.

The possibility exists that during the course of the investigation, the individual involved may resign from employment. In this instance, the investigation will continue to its full conclusion. In the interest of prudence, the University will check thoroughly the references, licensing and accreditation status of all new professional staff. As for grantees, federal regulations are already in place to identify individuals who have been suspended from receiving federal grant or contract funds.

III. CONCLUSION

It is the purpose of the Policy for Dealing with Scientific Misconduct to establish the intent to promote ethical scientific conduct among its faculty, staff, temporary employees, consultants, and scientific correspondents as well as to pledge strict compliance with the spirit and details of 42 CFR Part 50.101-50.105, Subpart A of Part 50, “Responsibility of PHS Awardee and Applicant Institutions for Dealing with and Reporting Possible Misconduct in Science,” published at 54 FR 32446 in the Federal Register, Vol. 54, No. 5 as a “Final Rule” dated Tuesday, August 8, 1989, Rules and Regulations. Notwithstanding the wording of the Policy for Dealing with Scientific Misconduct, no part shall circumvent the details or procedures specified in the Final Rule.
(5G) CONSULTING POLICY

For a summary of recent changes to this chapter, see *Chapter 9A: Summary of Recent Revisions to this Handbook.*

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I. PRINCIPLES AND GUIDELINES

A. Principles

Because practical applications can broaden and refine academic knowledge, Trinity University encourages the involvement of its faculty, administrators, and contract staff in consulting activities related to their professional training. The following parameters are meant to guide these activities so that the interests of the Trinity University community are preserved while the professional knowledge of our members is enhanced. For full-time Trinity University professionals, consulting is appropriate when it promises to keep current or deepen knowledge of one’s academic profession, or to maintain professional skills relevant to Trinity University’s teaching and scholarly program at a high level of excellence. Consulting activities and other remunerative work should be conducted in furtherance of one’s service to Trinity University, not at the expense of that service.

B. Guidelines

Consulting is the provision of professional services for pay over and above regular University duties and salary. For consulting services paid from any funds administered by Trinity University, please refer to *Section II: In-House Consulting.* For the provision of such services to individuals, organizations, businesses, or agencies outside Trinity University, the following guidelines shall apply:

1. The service shall not interfere in any way with the individual’s regular, expected, full-time duties with Trinity University.

2. The service should be professional, i.e., an outgrowth or extension of the person’s professional expertise. Faculty consulting activity should be undertaken with the expectation that it will enhance teaching and/or scholarship. Information not of a proprietary nature discovered in the course of consulting should be available to scholarly colleagues.

3. Time spent on the service should consume, on the average, no more than one day out of a week during the individual’s contractual period with Trinity University.
4. The service should not present a conflict of interest for either the individual or Trinity University. Among other things, this explicitly means that the service should not be an instructional activity that competes or conflicts at any time with the instruction provided by Trinity University.

5. Consulting activity ordinarily should not require the use of Trinity University’s services and facilities. On those rare occasions when a faculty member might want to use such services and facilities, a written request for this use must be submitted to the departmental Chair and the Associate Vice President for Academic Affairs: Budget and Research (AVPAA:BR). If the administrators agree that the project is consistent with the aims of the University and the facilities and/or services are available for the period of the project, an estimate of the cost for their use will be determined by a University official. If the terms are agreed to by all parties, a signed agreement will be executed by the AVPAA:BR.

6. A statement describing any continuing long-term consulting arrangement should be placed on file with the AVPAA:BR.

7. Individuals with questions about the interpretation of these guidelines should discuss them with the departmental Chair or director.

II. IN-HOUSE CONSULTING

Consulting is defined as the provision of professional services for pay over and above regular duties and salary. Consulting is “in-house” when a Trinity University contract person used as a consultant is paid from any funds administered by Trinity University. The policy of Trinity University covering these activities is as follows:

A. Relief of Departmental Duties

A faculty member may be relieved of a proportion of his/her usual duties by the Vice President for Faculty and Student Affairs in order to undertake sponsored research, to engage in a sponsored training program, or to perform other University activities provided that the faculty member’s department agrees. In such cases, the individual’s salary may be divided proportionately between the departmental budget, other University budgets, or the special account established by the University for the research or training projects.
B. Extra Compensation

In general, University-administered funds are not to be used to augment an individual’s salary if his/her employment with the University is on a full-time basis. It is understood, however, that occasionally a situation may arise in which extra compensation for a limited time may be justified. Payment from University-administered funds in addition to regular salary will be authorized only under the following conditions:

1. When the faculty member is assigned to work outside the United States and when the payment of a “differential” is specifically authorized by a University officer or by the granting agency.

2. When the faculty member serves on a strictly limited basis as a consultant on a project for which another faculty member in another department has principal responsibility. In such instances the project director, who arranges the consulting fee, must obtain prior written approval from the proposed consultant’s departmental Chair or equivalent, and the Office of Academic Affairs. Such a request for approval must clearly describe the consulting agreement. The following information must be included:

   1. Evidence that the services to be provided are essential and cannot be provided by persons acting within the scope of their contractual professional responsibilities to the University who receive salary under the grant, or are otherwise compensated through University sources for their services.

   2. Evidence that the charge is appropriate considering the qualifications of the consultant, his/her normal charges, specific rate limitations of the granting agency, and the nature of the services to be provided.

   3. Evidence that a *bona fide* search has been made for the most qualified individual with objective evidence that the Trinity University faculty consultant is the most qualified of those available.

   4. The institutional position of each consultant relative to that of the project director is clearly described in the proposal.

3. When an overload is necessary for a training institute or workshop because it is impossible to release the faculty member from any portion of his/her usual duties. The “overload” will not be permitted for a longer period than one semester, and the amount of “overload” permitted will not be greater than an average of one day per week. The compensation for this “overload” will be appropriate considering the qualifications of the consultant, his/her normal charges, specific rate limitations of the granting agency, and the nature of the services to be provided.
C. Supplemental Employment Restrictions

A faculty member assigned full-time to a grant or contract is in every sense a full-time faculty member and is thus subject to the same restrictions on accepting supplemental employment as a faculty member employed full-time and paid from the budget of the University.

D. Summer Activity Regulations

These regulations do not apply to the summer activities of full-time faculty who are on a nine-month contract.
(5H) UNDERGRADUATE RESEARCH PARTICIPANTS

For a summary of recent changes to this chapter, see *Chapter 9A: Summary of Recent Revisions to this Handbook*.

Students participating in research under the supervision of a faculty member will fall into one of two categories. Each of these categories has a different tax status dependent on whether or not the student is receiving credit for the research experience or is viewed as an employee providing services to the University or the faculty member.

I. RESEARCH ASSISTANT

The undergraduate research assistant is a part-time contract employee of Trinity University working with a faculty member. All payments to the research assistant are subject to F.I.C.A. tax. The funding source will also be charged for the employer’s contribution to F.I.C.A. as well as any other costs associated with the employment of the research assistant. Academic credit is not awarded for work in this category.

II. RESEARCH PARTICIPANT

The research participant is a student registered for one or more credit hours of academic research at Trinity University (the number of credit hours being proportional to the expected level of participation). Research participants are eligible to be considered for need-based financial aid at Trinity University. They may also be supported as program participants on external grants. Indirect costs are not recovered here. Requests for participant support in proposals to external agencies may include stipends, subsistence allowance, and tuition. Payment is not subject to F.I.C.A. tax. Students fulfilling degree requirements which are required for all students seeking that particular degree are also considered as research participants.
Chapter 6

Instructional Policies, Responsibilities, and Guidelines

Contents

(6A) Student Rights and Responsibilities ........................................ 260
I. Expression ......................................................... 260
II. Campus Climate ................................................ 261
III. Orderly Processes .............................................. 262
IV. Adoption and Amendment ........................................ 263

(6B) Faculty Instructional Responsibilities ...................................... 264
I. Class Schedules .................................................. 264
II. Class Periods .................................................... 264
III. Class Rolls ....................................................... 264
IV. Course Outlines ................................................ 264
V. Faculty Instructional Load ....................................... 265
VI. Faculty Absence ................................................ 265
VII. Excused Absences from Class .................................... 265
VIII. Field Trips ..................................................... 266
IX. Study Tours ....................................................... 267
X. Food in the Classroom .......................................... 268
XI. Student Attendance ............................................ 268
XII. Policy Regarding Disruption of Class .............................. 269
XIII. Examination Security ......................................... 269
XIV. Final Examinations .................................................. 269
XV. Reading Days ......................................................... 270
XVI. Safety in the Classroom ........................................... 270
XVII. Faculty Presence .................................................... 270
XVIII. Sales to Students .................................................. 271
XIX. Outside Speakers .................................................... 271
XX. Student Evaluation of Courses and Faculty ....................... 272

(6C) Evaluation of Students (Grades) .................................. 273
I. Grade Scale ................................................................... 273
II. Midterm Grades ............................................................ 274
III. Grade Reports .............................................................. 274
IV. Pass/Fail Option ........................................................... 274
V. Courses in Progress ....................................................... 274
VI. Incomplete Grades ....................................................... 275
VII. Non-Credit Grades ...................................................... 275
VIII. Withdrawal ............................................................... 275
IX. Dismissal from a Course ............................................... 276
X. Grade Change Policy ..................................................... 276

(6D) Academic Integrity Policy ............................................. 277
I. Violations of Academic Integrity ....................................... 277
II. Procedures .................................................................... 279
III. Amendments ............................................................... 281

(6E) Advising ................................................................. 282
I. Introduction ................................................................... 282
II. Change of Advisor ......................................................... 282

(6F) Student Records ....................................................... 284
I. Purpose ......................................................................... 284
II. Definition ..................................................................... 284
III. Availability of Records ................................................ 284
IV. Custody of Records ....................................................... 285
V. General Rules of Policy ................................................ 285

(6G) Exceptions to Academic Policies .................................. 288
I. Registrar ................................................................. 288
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>II</td>
<td>AVPAA: SAI</td>
<td>288</td>
</tr>
<tr>
<td>III</td>
<td>VPFSA</td>
<td>289</td>
</tr>
<tr>
<td>(6H)</td>
<td><strong>Student Evaluations</strong></td>
<td>290</td>
</tr>
<tr>
<td>I</td>
<td>Purpose for Course Evaluations</td>
<td>290</td>
</tr>
<tr>
<td>II</td>
<td>Uses of Course Evals</td>
<td>291</td>
</tr>
<tr>
<td>III</td>
<td>Guidelines for the Course Evaluation Instrument</td>
<td>292</td>
</tr>
<tr>
<td>IV</td>
<td>Amendment</td>
<td>293</td>
</tr>
<tr>
<td>(6J)</td>
<td><strong>Nonsexist Language, Etc.</strong></td>
<td>294</td>
</tr>
<tr>
<td>I</td>
<td>Resolution on Nonsexist Language</td>
<td>294</td>
</tr>
<tr>
<td>II</td>
<td>Resolution on Effective Writing</td>
<td>294</td>
</tr>
<tr>
<td>III</td>
<td>Resolution on Speaking</td>
<td>294</td>
</tr>
<tr>
<td>(6J)</td>
<td><strong>CC Course Guidelines</strong></td>
<td>295</td>
</tr>
<tr>
<td>I</td>
<td>The Purpose of the Curriculum</td>
<td>295</td>
</tr>
<tr>
<td>II</td>
<td>Retroactive Approval</td>
<td>299</td>
</tr>
<tr>
<td>III</td>
<td>Transfer Credit and the CC</td>
<td>300</td>
</tr>
<tr>
<td>IV</td>
<td>FYS Guidelines</td>
<td>300</td>
</tr>
<tr>
<td>V</td>
<td>Writing Workshop</td>
<td>301</td>
</tr>
<tr>
<td>VI</td>
<td>Criteria - All CC Courses</td>
<td>302</td>
</tr>
<tr>
<td>VII</td>
<td>The Common Curriculum Understandings</td>
<td>303</td>
</tr>
<tr>
<td>(6K)</td>
<td><strong>The Academic Honor Code</strong></td>
<td>308</td>
</tr>
<tr>
<td>I</td>
<td>The Pledge</td>
<td>308</td>
</tr>
<tr>
<td>II</td>
<td>Violations</td>
<td>308</td>
</tr>
<tr>
<td>III</td>
<td>Academic Honor Council</td>
<td>309</td>
</tr>
<tr>
<td>IV</td>
<td>Miscellaneous Guidelines</td>
<td>327</td>
</tr>
<tr>
<td>V</td>
<td>Assessment Procedures</td>
<td>329</td>
</tr>
<tr>
<td>VI</td>
<td>Amendments</td>
<td>329</td>
</tr>
</tbody>
</table>
(6A) STUDENT RIGHTS AND RESPONSIBILITIES

Academic institutions exist for the transmission of knowledge, the pursuit of truth, the development of students, and the general well-being of society. Free inquiry and free expression are indispensable to the attainment of these goals. As members of the academic community, students should be encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth.

Freedom to teach and freedom to learn are inseparable facets of academic freedom. The freedom to learn depends upon appropriate opportunities and conditions in the classroom, on the campus, and in the larger community. Students should exercise their freedom with responsibility.

The maintenance of the orderly processes of the University is an essential condition for freedom. Dissent and controversy should function within this framework. Violence, the threat of violence, and the disruption of the normal functions of the University are alien to the spirit of the academic community.

The responsibility to secure and to respect general conditions conducive to the freedom to learn is shared by all members of the academic community. Trinity University recognizes its duty to develop policies and procedures which provide and safeguard this freedom. The purpose of this statement is to enumerate provisions for students’ freedom to learn.

I. EXPRESSION

Personal Expression

Challenge and discomfort are essential in academic institutions, while proscription and coercion of thought have no place. Students shall be free to think independently and to discuss whatever subjects they wish. They shall be free to support causes, exchange views, and advance ideas, and at the same time they shall be expected to develop reasonable and responsible forms of self-expression.

In the classroom and in conference, instructors should encourage free discussion, inquiry, and expression. Student performance shall be evaluated solely on an academic basis, not on opinions or conduct outside of class in matters unrelated to academic standards. Students shall be free to take reasoned exception to the data or views offered in any course of study and reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled as well as acquiring and demonstrating the skills and competencies required.

Students shall enjoy the same freedom of speech, peaceful assembly, and the right to petition that
all other citizens enjoy. Information about student views, beliefs, and political associations shall be considered confidential and shall not provide the basis for professional evaluation or recommendation.

Public Expression

Students have the right to hold demonstrations, distribute information, and express opinions as long as such expressions do not disrupt the regular operations of the University.

Student organizations shall be allowed to invite to campus and to hear any person of their own choosing. Organizations must follow approved procedures for sponsoring speakers, for scheduling events, and for reserving and using University facilities. Policies and regulations related to sponsoring speakers shall not restrict the content of the speaker’s message.

Association and Representation

As members of the University community, students bring a variety of interests to the campus and have the right of free association to join with other students with similar interests to form an organization according to the guidelines published by Student Affairs.

These organizations, while not legally a part of and not necessarily endorsed by Trinity University, are understood to be valuable components of the educational process. Students should be free, individually and collectively, to express their views and concerns on issues of institutional policy and on matters of general interest to the student body. In order to facilitate this, the presence of a recognized student representative organization is encouraged and expected.

Student-edited Publications

To make decisions for their lives at the University, students must have access to accurate information and be able to engage in unfettered exchange of ideas. The student-edited press, accountable to the community through an equal-number student and faculty/staff Board of Campus Publications acting as publisher, provides information and a forum for discussion and exercises the student right to freely seek answers to questions.

II. CAMPUS CLIMATE

Acts of Intolerance

Trinity University values a community where the dignity of self and others is not only maintained but actively pursued.

Civility
Trinity University strives to create an atmosphere in which basic civility and decency are expected, and mutual respect and open communication are fostered.

Students living off campus are members of this community and, as such, are representatives of Trinity to the community at large. In this regard, students living off campus maintain an equal measure of accountability to the values and expectations of all members of this community as identified in the Student Handbook.

Safety

Trinity University is committed to creating and maintaining a safe campus environment within reasonable parameters. All members of the community have a right to live and learn free from violence (physical or emotional). Proactive preparation from the institution and individual members to prevent and respond to crisis stemming from natural or human-activated disasters should be expected.

III. MAINTENANCE OF ORDERLY PROCESSES

Procedures

Trinity University recognizes its responsibility to protect its institutional purpose by setting standards for scholarship, conduct, and use of its facilities. In fostering responsible student conduct, policies that govern disciplinary proceedings play a role along with example, counseling, and admonition. Proper procedural safeguards will be observed that are intended to ensure procedures that are fundamentally fair to all parties involved and to protect students from imposition of unfair penalties in all situations. Decisions are based on the greater weight of the credible evidence presented at the hearing. Procedural fairness requires that students at Trinity be informed of the nature of the allegations against them, be given a fair opportunity to refute such allegations, are afforded an opportunity to pose questions to accusers, and have provisions for review of decisions.

Trinity University has an obligation to clarify those standards of behavior that it considers essential to its educational mission and community life. These standards will represent a reasonable set of regulations that govern student conduct, while permitting the Trinity student to be as free as possible from limitations that have no direct relevance to the student’s education.

Searches

Rooms or premises occupied by students and personal possessions of students will not be searched except in serious circumstances. Any exceptions must be authorized in writing by the dean of students, Associate Vice President for Student Affairs and Dean of Students, or a designee, and must specify the reason for the search and the objects and information sought. The student should
be present, if possible, during a search. (The dean of students’ office will publish detailed rights and procedures relative to room searches.)

Continuity of Education

Pending final action on a complaint, the status of the student will not be altered nor will his/her right to be present on the campus and to attend classes be suspended except for reasons relating to his/her physical or emotional safety and well being; for reasons relating to the safety of the members of the University community; or when the continuing presence of the student poses a danger to persons or property, or poses an ongoing threat of disrupting the academic process or any activity authorized by the University. In such cases, the dean of students or the Associate Vice President for Student Affairs and Dean of Students, or a designee, has the authority to take interim action pending the final action.

IV. PROCEDURES FOR ADOPTION AND AMENDMENT TO THIS STATEMENT

The statement on Student Rights and Responsibilities was approved by the Trinity University faculty (by majority vote), the student representative organization (by majority vote), and the administration. The Board of Trustees was advised of the adoption of the statement.

Amendments or changes to the statement on Student Rights and Responsibilities should be presented in writing, and submitted for a vote and approval as listed above, to the faculty, student representative organization, and the administration.
(6B) FACULTY INSTRUCTIONAL RESPONSIBILITIES

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. CLASS SCHEDULES

Each departmental Chair is required to submit to the Registrar a schedule of classes for each semester or session. To provide an opportunity to review and publish the schedules, it is necessary for schedules to be submitted by the deadline published in the administrative calendar. After a class schedule is published, it is desirable to make as few changes as possible. When adjustments are necessary a request should be made in writing by the departmental Chair to the Registrar.

II. CLASS PERIODS

All classes and laboratories should begin promptly at the scheduled hour, and the periods should be closed on time.

III. CLASS ROLLS

Preliminary and interim class rolls should be checked carefully. Any student attending class who is not listed on the class roll should not be permitted to remain in the class. For non-credit students, see Chapter 6C: Evaluation of Students (Grades).

Admission to classes is closed after six weekdays of a regular semester and after five weekdays of a summer session. After those dates, which are specified in the University Academic Calendar, a student may not enter a new course and no further registration will be accepted without approval of the Associate Vice President for Academic Affairs: Student Academic Issues.

IV. COURSE OUTLINES

During the first week of the semester, each instructor is expected to distribute to each student in his/her class and to the Chair a course syllabus or outline giving general objectives of that course
(6B). FACULTY INSTRUCTIONAL RESPONSIBILITIES

(transparent the most current Courses of Study Bulletin description), the dates of major examinations for the semester, dates on which major papers are due, the instructor’s policy concerning attendance and its relation to the course grade, office hours, and other information pertinent to the organization of the course and to the evaluation of students’ performance. If any of the dates of major papers or examinations are to be changed, advance notice of a week (or more) should be given. By action of the University Curriculum Council, no major papers or examinations may be scheduled for the two class days before reading days. Major papers or examinations are defined as papers or examinations that count for more than 10 percent of the total course grade. Laboratory quizzes and performance examinations are excepted from this stipulation.

V. FACULTY INSTRUCTIONAL LOAD

(as defined in Chapter 5A: Sponsored Projects)

The teaching load for all regular full-time faculty members is set at 12 hours per semester or 24 hours in a year. For faculty members holding distinguished professorships, the teaching load is the same. Of those 12 hours, the normal, actual teaching load for full-time regular faculty members is 9 hours per semester or 18 hours per year. For distinguished professors, the actual teaching load is 6 hours per semester or 12 hours per year. The release of 3 hours per semester for regular full-time faculty and 6 hours per semester for distinguished professors is considered research-related time. (See also the definition stated in Chapter 5A: Sponsored Projects.)

VI. FACULTY ABSENCE

A faculty member unable to meet a class should notify his/her departmental Chair at the earliest possible time.

VII. EXCUSED ABSENCES FROM CLASS

(Approved by the Faculty December 9, 1991. Modified by the Faculty on December 12, 2003. Modified by the Faculty on October 19, 2007.)

Students who are absent from class in order to observe a religious holiday, who are absent from class while participating in a University-sponsored dramatic production, or who are absent from
the campus because they officially represent the University in such sponsored activities as intercollegiate athletics, debate tournaments, and tours will be excused from classes under the following circumstances:

- A student’s absence from class does not excuse the student from any work missed during the absence. Students may not be penalized for excused absences; the student and instructor will devise an appropriate substitute for missed work, classes, and examinations.

- The responsibility to make up work lies solely with the student, who should discuss the missed assignments with the instructor.

- Students must discuss with the instructor as far in advance as possible the fact that they will miss classes to observe a religious holiday or to represent the University.

- In cases of students representing the University, the names of students who will miss classes must be sent to their instructors by their instructor or coach as far in advance as possible of the class to be missed.

- Note: Coaches, sponsors, and instructors should make every attempt to schedule travel, games, matches, tours, and other University-sponsored activities at times that will have the least conflict with students’ class schedules.

VIII. CLASS TOURS AND FIELD TRIPS

(Amended by the Faculty December 9, 1991)

An instructor of one class may not schedule field trips that will take students out of other classes. Exceptions to this will be rare and must be approved at least one month in advance of the beginning of the trip by the Vice President for Faculty and Student Affairs. Field trips and class tours scheduled for other than the regular class period, including weekends, cannot be required of students unless the trips are specified at the time of registration.

In addition to protecting students’ rights and the rights of colleagues by restricting field trips or other off-campus instructional activities to the specific time of the scheduled course, the question of University insurance also arises when students travel off campus. The University’s Special Event insurance policy will cover these activities only if the insurance carrier is notified in advance of the trip.

Insurance coverage does not apply for class sessions held in faculty members’ homes, and it is against University policy to hold scheduled classes at home. However, this should not inhibit faculty from, where appropriate, inviting students to their homes for social events. When students are invited to faculty homes, it shall be understood that the student’s presence is voluntary, that the
student is a guest in the home, and that any insurance claims should be presented to the company providing the faculty member’s own homeowner’s policy and not to the University.

IX. TRINITY UNIVERSITY STUDY TOURS

(Approved by the Faculty March 19, 1993)

A. The tour format and sites utilized must be related directly to the subject matter of the course and should materially enhance the amount of learning.

B. The offering should be a regular course published in the Trinity University Courses of Study Bulletin.

C. The course or courses should be taught by Trinity University faculty. In the case of tours operating as Agency or Affiliated programs for the Associated Colleges of the South (ACS), faculty members from other ACS institutions may be invited as needed.

D. The total academic expectations should approximate normal courses and must involve work in addition to the tour itself, specifically:
   1. Preparatory work prior to the travel portion is expected.
   2. The tour itself should have a formal learning component conducted by the instructor.
   3. An assessment component of the course is expected following the tour.

E. The participation of persons in Trinity University Study Tour courses without credit must be approved by the Office of Academic Affairs. First preference shall be given to students wishing to take the course for credit.

F. Instructor compensation for study tour courses is set by the Office of Academic Affairs. All business arrangements will follow University policies and operational guidelines established by the Office of Academic Affairs.

G. Approval for study tour courses must be secured from the departmental Chair and the Associate Vice President for Academic Affairs: Student Academic Issues.

H. Non-credit study tours or tours not emphasizing study may be sponsored by the Office of Conferences and Special Programs and other University offices such as Alumni Relations. Although Trinity University faculty members may be asked to lead or take part in such tours, all promotional materials should make clear that these are not sponsored by an academic department and are not for academic credit.
CHAPTER 6. INSTRUCTIONAL POLICIES, RESPONSIBILITIES, AND GUIDELINES

I. Any Trinity University faculty or staff member privately organizing or participating in the leadership of a tour should be careful to see that promotional materials do not give the impression of Trinity University sponsorship. A person’s position and relevant professional responsibilities at Trinity University may be listed, but it should receive no more emphasis than the minimum necessary for purposes of identification.

X. FOOD, BEVERAGES, AND SMOKING IN THE CLASSROOM

Faculty and students are not permitted to bring food or beverages into any classroom. Smoking is not permitted in University classrooms, laboratories and the library. Smoking is also prohibited in areas where signs forbid smoking. Faculty members are expected to observe and enforce these regulations. See also the Smoking Policy in the handbook Fiscal Affairs Policies and Procedures.

XI. DISMISSAL FROM A CLASS AND STUDENT ATTENDANCE

(Approved by the Faculty March 19, 1993)

The University expects regular class attendance by all students. The instructor in each course is expected to state an attendance policy in the course syllabus. Each student is expected to familiarize himself or herself with this policy at the beginning of each course.

Instructors then have the prerogative of informing the Registrar to drop or withdraw a student from a course for nonattendance within the published deadlines for such actions. After the last date to withdraw, a student dismissed from the class roll for excessive absences will receive an F in the course.

Absence from class does not constitute official withdrawal from the class or from the University. A student must initiate withdrawal from the class or from the University in the manner prescribed for “Withdrawal from a course” or “Withdrawal from the University” in the Courses of Study Bulletin.

When a student is excessively absent from class, the instructor should assume responsibility to notify the Associate Vice President for Academic Affairs: Student Academic Issues (AVPAA:SAI), who will write the student and invite him/her to discuss the reason for the absences. The student’s faculty advisor and the Associate Vice President for Student Affairs and Dean of Students will receive a copy of the letter. The AVPAA:SAI will later inform the instructor, the faculty advisor, and the Associate Vice President for Student Affairs and Dean of Students of the outcome of the conversation with the student.
XII. POLICY REGARDING DISRUPTION OF CLASS

(Approved by the Faculty March 19, 1993; amended by the Faculty March 20, 2009)

Students will not be permitted to behave in such a manner as to disrupt the orderly conduct of classroom activities. When such behavior occurs, it is the responsibility of the instructor to discuss the matter with the student involved, warning the student that continuation of such behavior may result in dismissal from the class. If the behavior continues, the faculty member may drop the student from the class. Notification of such action shall be communicated in writing to the student, the student’s faculty advisor, the departmental Chair, and the Vice President for Faculty and Student Affairs. This notification must include a statement of the reasons for the decision and a summary of the appeal procedures. The student has a period of two school days in which to file a written appeal with the Vice President for Faculty and Student Affairs. A copy of the dismissal notification will remain in a file created for this purpose in the Office of Academic Affairs; the copy will be destroyed when the student is graduated. If the dismissal from class occurs before the published deadline for withdrawal from a class, the student will receive a grade of “W” in the class; if it occurs after the deadline, the grade will be “F.”

XIII. EXAMINATION SECURITY

It is incumbent upon faculty members to provide appropriate security for their examinations. For example, faculty members should not give the same examination to sections of the same class or repeat the same examination semester-to-semester or year-to-year. Student employees should not be asked to type and prepare examinations. Secretaries preparing examinations in departmental offices should be instructed to take all appropriate security precautions. Also, care should be taken in discarding drafts of examinations or copies of old examinations. Finally, examinations to be reproduced in the University Print Shop should be hand-carried by the faculty member or the departmental secretary to the Print Shop. See also Chapter 6D: Academic Integrity Policy.

XIV. FINAL EXAMINATIONS

Schedules for final examinations are announced in advance of the examination period. Final examinations will be held at the published and scheduled time. Exceptions allowing the change of the time of a class examination are rare and will be granted only on the approval of the Chair and the Vice President for Faculty and Student Affairs. The individual faculty member may determine
whether a final examination shall be given. The information concerning the final examination shall
be included on the syllabus. Filing the syllabus with the Chair is sufficient notice that there will
be no final examination. If no final examination is given, some appropriate instructional activity
should be substituted.

XV. READING DAYS

The two days immediately preceding the final examination period are designated as Reading Days.
Since Reading Days are for the purpose of providing students with study time prior to final exam-
inations, no classes are held, no graded assignments or projects are due, and no examinations are
given on those days. Exceptions to this policy must be granted by the Associate Vice President for
Academic Affairs: Student Academic Issues. During this time, departments, student organizations,
and individual faculty members are encouraged to schedule no lectures, projects, parties, or other
activities involving students.

No major papers or examinations may be scheduled for the two days of classes before Reading
Days. Major papers or examinations are defined as papers or examinations that count for more
than 10 percent of the total course grade. Laboratory quizzes and performance examinations are
excepted from this stipulation.

XVI. SAFETY IN THE CLASSROOM

Faculty members are responsible for incorporating applicable safety procedures and practices into
the curriculum of each course offered. Supervision of students should be provided to insure that
procedures are followed. Hazardous conditions or accidents involving personal injury that do not
require immediate emergency assistance are to be reported to the departmental Chair. See also
“Medical Emergencies” in the handbook, Fiscal Affairs Policies and Procedures.

XVII. FACULTY PRESENCE

A. Office Hours

It is the responsibility of each member of the faculty to be available for consultation with students
on a regular and, insofar as possible, predictable basis (for full-time faculty members, a mini-
mum of 10 hours each week is reasonable). Policies regarding consultations with students must
be included in the syllabus for each course. Faculty members must provide students with a telephone number or numbers through which they may be contacted when they are not in their offices; normally this would be the departmental office telephone.

B. Registration

Faculty advisors must be available on campus during advising and registration periods.

C. Convocations

All members of the faculty have the responsibility of participation in all of the formal University ceremonies, including commencement. Academic regalia, when required, may be purchased or rented through the Bookstore.

XVIII. ON-CAMPUS SALES OF INSTRUCTIONAL MATERIALS TO STUDENTS

Commercial exchanges of money between students and faculty members are not permitted at Trinity University. Therefore, neither individual faculty members nor departments are to sell materials to students. The University Bookstore is the appropriate location for on-campus sales to students.

XIX. OUTSIDE SPEAKERS

A. Faculty-Sponsored Classroom Lectures

Faculty members may schedule off-campus speakers to appear before classes, but the faculty member in charge of the class is completely responsible for the acceptability of such a speaker and his/her relevance to the course. If the faculty member is in doubt, he/she should confer with the departmental Chair, who in turn may confer with the Vice President for Faculty and Student Affairs, before extending an invitation to lecture.
B. Faculty- or Department-Sponsored Lectures Open to the Public

University-sponsored lectures open to the public should be approved by the departmental Chair, who in turn may confer with the Vice President for Faculty and Student Affairs before extending an invitation to lecture. If the approval is not granted, the faculty member or department shall have the right to appeal that decision to the University Lecturers and Visiting Scholars Committee. Faculty members or departments shall be financially responsible for the facilities and security not normally required.

C. Lectures Sponsored by Off-Campus Organizations

Off-campus organizations must schedule lecturers through the Office of University Communications, whether the lecture is open to the public or limited to the membership of that organization. Organizations shall be financially responsible for the facilities and security not normally required.

XX. STUDENT EVALUATION OF COURSES AND FACULTY

See: Student Evaluation of Courses and Faculty.
For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

Section II of Chapter 6A: Joint Statement on Rights and Freedoms of Students specifies that the professor in the classroom should encourage free discussion, and that students have protection against improper academic evaluation and improper disclosure.

## I. GRADE SCALE

(Effective June 1982)

The grading system at Trinity University involves letter grades that are assigned a quality point value per semester of credit. The plus/minus system is the designated standard for grading Trinity University undergraduates. Instructors should be careful to state their grading policies clearly and in detail on each course syllabus. Instructors may choose not to use the plus/minus grading, but such a policy must be stated in the course outline.

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<td>A-</td>
</tr>
<tr>
<td>B+</td>
</tr>
<tr>
<td>B (good)</td>
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<tr>
<td>B-</td>
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<tr>
<td>C+</td>
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<tr>
<td>C (average)</td>
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<tr>
<td>C-</td>
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<tr>
<td>D+</td>
</tr>
<tr>
<td>D (poor)</td>
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<tr>
<td>F (failure)</td>
</tr>
<tr>
<td>I (incomplete)</td>
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<tr>
<td>PR (course in progress)</td>
</tr>
<tr>
<td>W (withdrew from course)</td>
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<tr>
<td>FF (failing in a pass/fail course)</td>
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<tr>
<td>PP (passing in a pass/fail course)</td>
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<tr>
<td>N/C (not for credit)</td>
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* Not applicable to graduate students

I, PR, W, FF, and PP grades carry no grade point average, but hours earned with a grade of PP will count toward the student’s total hours for graduation.
II. MID-SEMESTER GRADES FOR UNDERGRADUATES

Only students whose work at mid-semester warrants a grade of D+, D, F or I should have grades reported to the Registrar. Mid-semester grade reports are prepared by the Registrar and distributed to the student, his/her advisor, the Office of Academic Affairs, and the Office of Student Affairs. These grades do not become a part of the student’s permanent record and are intended to serve as a warning of inadequate progress. Mid-semester grades are not reported for the summer session.

III. GRADE REPORTS

Grade reports for each course are due in the Registrar’s Office at the date stipulated by the Registrar. In order to expedite the compilation of grades for graduating seniors, grades for these students may be asked for at an earlier specified time. Non-attendance does not constitute an official withdrawal from a course. A grade should be reported for each student listed on the grade report.

IV. PASS/FAIL OPTION

Certain undergraduate courses may be taken on a pass/fail basis. Such courses may not be taken to fulfill Common Curriculum requirements or major or minor requirements. The purpose of the pass/fail system at Trinity University is to encourage students to take elective courses in new fields of interest. A student applying to take a course on a pass/fail basis may not subsequently request a regular letter grade, and a student registered for a regular course grade may not change to pass/fail after Add/Drop day. The last day to designate a course as pass/fail is the 15th day of classes.

V. COURSES IN PROGRESS

A graduate student or an honors student enrolled for a thesis should receive a letter grade if the document has been completed. If the thesis is in progress, the grade PR should be entered on the grade report.
VI. INCOMPLETE GRADES

A grade of I (incomplete) indicates that a student has done work of a passing grade in a course but has failed to complete some portion of the course because of an emergency condition. With each grade of I, the instructor must file a special report concerning the circumstances and the required action to remove the I. The letter I should be entered on the grade report sheet. Incomplete grades are changed to F unless the required work is completed within the prescribed time limit. For undergraduate students, this limit is one semester. For graduate students, it is one year. If the student completes the work before the time limit expires, the instructor should notify the Registrar to change the grade by filling out a change of grade card. This procedure is also to be followed when a PR grade is to be changed.

VII. NON-CREDIT GRADES

A non-credit student is one who is not eligible for credit or does not desire credit. He/she may receive full instructional attention and may participate in class. He/she is not required to take a final examination or other tests in the course. The grade N/C should be entered on the grade report for the students. No course taken as non-credit may subsequently be requested for credit unless it is repeated.

VIII. WITHDRAWAL

A student may withdraw from a class with a grade of W until the beginning (Monday) of the ninth full week of classes of the fall or spring semester or third week of the summer session. Classes offered for a portion of a semester are exceptions to this rule. A student may withdraw from such a class with a grade of W until the end of the third week of the course during the fall or spring semester, or the first week during the summer semester. After the beginning of the ninth full week of classes in a semester or three weeks of a summer term, no student may withdraw from a class except in an emergency such as hospitalization. Please see also Chapter 6G: Exceptions to Academic Policies. A graduate student who wishes to withdraw from the University entirely must initiate this action with the director of his/her graduate program. Please refer to “Enrollment Information” in the Courses of Study Bulletin.
IX. DISMISSAL FROM A COURSE

A student may be dismissed by the instructor from a class roll with an “F” in any course when

1. The student has consistent unexcused absences and has not notified the instructor, department, or Associate Vice President for Student Affairs and Dean of Students; or

2. The student engages in behavior inconsistent with membership in a scholarly community as outlined in the section on Academic Integrity.

See Chapter 6D: Academic Integrity Policy; Chapter 6B: Faculty Instructional Responsibilities, Section XI: Dismissal from a Class and Student Attendance and Section XII: Policy Regarding Disruption of Class.

X. GRADE CHANGE POLICY

(Approved by the University Curriculum Council November 5, 1982)

A. The grade change approval form does not require the signature of the Chairperson.

B. The grade change approval form is a triplicate form. The original is retained by the Registrar. The two copies are sent to the Chairperson, and the course instructor after the grade change has been posted by the Registrar’s Office. This insures that the faculty member knows of any changes made under his/her name and it informs the Chairperson of grade change activities. The instructor is required to write in the name of the Chairperson on the form in order to expedite the process.

C. If a grade change is for a grade which is more than a year old, the instructor is required to attach to the grade change form a memorandum from the Associate Vice President for Academic Affairs: Student Academic Issues giving formal permission to make this grade change.

D. This policy applies to all grade changes including I grades. It applies to both undergraduate and graduate grade changes.
For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

Following the implementation of the Academic Honor Code for undergraduate students, the Academic Integrity Policy applies specifically to graduate students at Trinity University.

Academic integrity is fundamental to the pursuit of free inquiry and the free exchange of ideas. Intellectual honesty is an essential component of intellectual development. Trinity University expects that all members of its academic community will act with honesty and integrity in academic relationships and with consideration and concern for the academic community and its members.

The academic integrity principle, broadly stated, means students have done or have prepared the work or research in or out of class that bears their names and that they have given proper acknowledgment for the use of materials and sources.

The Academic Integrity Policy has been developed to provide students and faculty with guidelines to determine what behaviors violate the academic integrity principle and procedures for dealing with behaviors alleged to be in violation of the academic integrity principle. These procedures guarantee due process to all members involved in cases of alleged violation of academic integrity and protect the rights of faculty and students involved in such cases.

I. VIOLATIONS OF ACADEMIC INTEGRITY

(The following definitions are not meant to be comprehensive or exclusive.)

A. Cheating

Attempting to use or using unauthorized material or information as study aids in any academic exercise. Visually or verbally receiving or giving information during tests, quizzes, and examinations when not specifically allowed by the instructor, is a form of unauthorized assistance and is defined as cheating.

B. Counterfeit Work

Includes work turned in as one’s own that was created, researched, or produced by someone else. Turning in a report of another’s research, submitting a paper researched or written by someone
else, having someone else take a test, and submitting joint projects as solely one’s own, are all forms of counterfeit work and are unacceptable.

C. Falsification of Academic Records

Knowingly and improperly changing grades on transcripts, grade sheets, electronic data sheets, related documents, academic reports, tests, and projects is an act of academic dishonesty.

D. Falsification of Data or Creation of False Data

Is considered an act of academic dishonesty in research or experimental procedures.

E. Plagiarism

Includes presenting as one’s work the work of someone else without properly acknowledging the source (for example, specific class assignments or submissions to campus publications). Plagiarism is theft—using words and ideas of another person as if they were one’s own. Exact copying should be enclosed in quotation marks and be appropriately documented in footnotes or endnotes that indicate the source of the quotation. Paraphrasing, when the basic sentence structure, phraseology, and unique language remain the same, is also plagiarism. When in doubt about these matters, it is the student’s responsibility to seek guidance from the instructor of the course.

F. Theft

Communicating all or any part of tests or answer sheets, specifically prepared for a given course and as yet not used or publicly released by the instructor of a course, and theft of completed tests constitutes academic dishonesty (see Chapter 6B Section XIII: Examination Security).

G. Unauthorized Reuse of Work

Turning in the same work to more than one class without consent of the instructors involved constitutes academic dishonesty.
II. PROCEDURES

All stages of the academic integrity process—charges, appeals, hearings, and record-keeping—are to be conducted in strict confidentiality. As the sole exception to this principle, faculty members are encouraged to consult their departmental chair or program director when determining whether a violation of academic integrity has occurred and when deciding which of the available penalties shall be assessed.

A. Process

A member of the faculty who discovers in a student’s work or conduct what she or he judges to be plagiarism or another act of academic dishonesty will deal with the matter as follows:

The faculty member specifies the charge and assigns a penalty (see Section II.C: Classification of Penalties) to the student in writing. The faculty member also sends a copy of the letter marked “confidential” to the departmental Chair and the Vice President for Faculty and Student Affairs. A copy of the faculty member’s letter reporting the offense will remain in a confidential file specifically created for this student and kept in the Office of Academic Affairs. The file will be destroyed upon the student’s graduation or four years after the student’s withdrawal from the University.

If the Vice President for Faculty and Student Affairs determines that this case constitutes a repeated offense for the student, the Vice President for Faculty and Student Affairs will so advise the faculty member and administer a penalty appropriate for a repeated offense.

Students charged with academic dishonesty may not change their registration in a course in which the charge is pending, or in which a finding of academic dishonesty has been made.

B. Appeal

If the student wishes to contest the faculty member’s action, the student can appeal to the Commission on Graduate Studies (see the University Curriculum Council Bylaws, Chapter 2B, Article VI.A) for a confidential hearing which will bring together Commission, professor, and student. The procedure in this instance is for the student to state his/her grounds of appeal in writing and send it marked “confidential” to the Vice President for Faculty and Student Affairs, who will send a copy to the faculty member involved and notify the Chair of the Commission on Graduate Studies. This appeal must be initiated by the student within ten days of the faculty member’s written charge. A timely date for the hearing agreeable to all participants will be arranged by the Vice President for Faculty and Student Affairs.
For the purposes of this hearing, the voting members of the Commission will include the faculty representatives on the Commission as well as the Registrar or his or her designee. The appellant may also request the Graduate Student Association to appoint one graduate student to participate in the hearing with full voting privileges. No student or faculty member who belongs to the department in question may participate in the Commission’s deliberation or decision-making.

The Commission will hear the testimony from the student and from the faculty member and, on the basis of such testimony, determine whether the faculty member’s charge was justified. The faculty member and the student are required to attend the hearing. The student may bring an individual from within the University community to the hearing whose role is primarily advisory, but who may speak when invited to do so by the committee Chair.

The Commission will determine whether the faculty member’s charge should stand or be reversed, and will make its recommendation to the Vice President for Faculty and Student Affairs, who will make the final decision. The Vice President for Faculty and Student Affairs will simultaneously report the decision in writing to the student, the faculty member, the Chair of the Commission on Graduate Studies, and the President of the University. In turn, the Chair of the Commission on Graduate Studies will orally inform all committee members of the Vice President’s decision.

If during the appeal process a student presents manifestly counterfeit evidence in his/her defense, he/she will be considered guilty of a separate violation of academic integrity. The Chair of the Commission on Graduate Studies would make the charge on behalf of the committee. This charge may be appealed to the Vice President for Faculty and Student Affairs.

Further appeal can be filed by the student to the President of the University within ten days of the decision by the Vice President for Faculty and Student Affairs. Pending final action on the charges, there shall be no alteration to the status of the student or to his/her right to be present on the campus, to attend classes, and to participate in University-sponsored activities. Notice of the final disposition of the case shall be given in writing to the Vice President for Faculty and Student Affairs, the student, the faculty member, and the Chair of the Commission on Graduate Studies. In turn, the Chair of the Commission on Graduate Studies will orally inform all committee members of the President’s decision. In cases of non-concurrence with committee decisions either by the Vice President for Faculty and Student Affairs or the President of the University, the Chair of the Commission on Graduate Studies shall be provided with a written explanation of the non-concurrence action.

C. Classification of Penalties

The faculty member must select the penalties described in 1., 2., or 3. below. In the case of repeated offenses, the Vice President for Faculty and Student Affairs will impose additional and increasingly severe penalties described in 4., 5., and 6. below.
1. A grade of F (zero credit) on the paper, examination, or assignment;
2. Reduction of final course grade by a full letter grade;
3. A grade of F for a course, effective immediately.
4. Disciplinary dismissal from the University for at least one semester following the semester in which the offense has occurred;
5. Immediate disciplinary dismissal from the University for not longer than the remainder of the current and the following semester;
6. Permanent disciplinary dismissal from the University.

The Vice President for Faculty and Student Affairs, in consultation with the Associate Vice President for Student Affairs and Dean of Students, also may deny the student’s right to participate in University-sponsored activities.

III. AMENDMENTS

The following procedure will be followed if at any time the faculty, Graduate Student Association, or administration believe that an amendment to the Academic Integrity Policy is necessary.

A. Whichever group wishes to propose an amendment must present it in writing to the Faculty Senate, along with a statement outlining the reasons for the amendment.

B. When the Faculty Senate has approved an amendment to the Academic Integrity Policy, the Faculty Senate will submit the amendment as a motion for consideration at a stated meeting of the Academic Faculty Assembly; the Faculty Senate will circulate the proposed amendment in writing to the Academic Faculty at least fourteen (14) days prior to the meeting at which it will be considered. The Academic Faculty Assembly must approve the amendment by a majority vote.

C. The Graduate Student Association must pass a Resolution of Adoption of the amendment by a majority vote.

D. The administration must approve the amendment.

E. If the amendment receives a favorable vote from the Academic Faculty Assembly, the Graduate Student Association, and the administration, it shall become a part of the Academic Integrity Policy.

F. The Board of Trustees will be advised of any amendment to the Academic Integrity Policy.
I. INTRODUCTION

Student advising is an important aspect of the overall educational program at Trinity University. Faculty members are expected to know Common Curriculum requirements and departmental major and minor requirements so that they may effectively inform students of these requirements. Faculty members should keep informed as to the progress of their advisees during the course of a term by scheduling a conference with their advisees periodically. Advisors will be supplied with grade reports on all of their advisees. A statement of the role and responsibility of advisor and advisees is included in the Advising Handbook.

II. CHANGE OF ADVISOR

There are three officially approved reasons to effect a change of advisor:

A. A Student is Ready to Apply for a Major

The student must be at least a sophomore. He or she must file an Application for Major form available in the Registrar’s Office.

B. A Student’s Advisor Goes on Leave or Leaves the University

In this case, the departmental Chair in consultation with the Associate Vice President for Faculty & Student Affairs: Student Academic Issues (AVPAA:SAI) determines who in the department should take that person’s place.

C. A Student Wishes to Change Advisor

In this case, the student should go to the office of the AVPAA:SAI to discuss the reason for the change. If the change is reasonable, the AVPAA:SAI will call the faculty member the student is requesting as new advisor, and also that faculty member’s departmental Chair. If all concur that the change is acceptable, the change will be initiated. In no cases should a faculty advisor, at a student’s request, or at another faculty member’s request, divest him/herself of an advisee and send the advising folder to another faculty member. The change can be effected only by the AVPAA:SAI.
In all cases, a change in advisors for a student without a major must be approved by the AVPAA:SAI. A faculty advisor, at a student’s or another faculty member’s request, should not send the advising folder to another faculty member without notice from the AVPAA:SAI.
II. DEFINITION

Records are defined in several ways. Permanent records are those records which are officially a result of a student’s enrollment at Trinity University, are kept in perpetuity, and are safeguarded in the Registrar’s Office. Temporary records are the supportive records of progress of enrolled students; such temporary records are kept in the various offices whose functions dictate the nature and length of storage of records. Ancillary records are records kept by the faculty and staff members regarding individual students, and are regarded as private records.

III. AVAILABILITY OF RECORDS

Under the provisions of Federal Law 93-380, the following records are open to inspection by students upon specific request according to procedure defined below:

- Educational Records
- Personal Records
- Teacher Education Records
- Financial Records

The following records are not open to inspection:

- Admission Records
- Financial Aid Records
- Health Professions Advisory Committee Records
In cases where records are not open for inspection, the custodian of the records is encouraged to discuss information and answer questions of students without display of records.

IV. CUSTODY OF RECORDS

The following indicates the official custody of supervision of records:

<table>
<thead>
<tr>
<th>Academic Records</th>
<th>Registrar</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Records</td>
<td>Associate Vice President for Student Affairs and Dean of Students</td>
</tr>
<tr>
<td>Financial Aid Record</td>
<td>Director of Financial Aid</td>
</tr>
<tr>
<td>Financial Records</td>
<td>Comptroller</td>
</tr>
<tr>
<td>Teacher Education Records</td>
<td>Chair, Department of Education</td>
</tr>
<tr>
<td>Pre-Medical Students’ Records</td>
<td>Chair, Health Professions Advisory Committee</td>
</tr>
<tr>
<td>Admissions Records</td>
<td>Associate Vice President for Enrollment and Student Retention</td>
</tr>
<tr>
<td>Graduate Records</td>
<td>Graduate Admissions Office (Registrar’s Office)</td>
</tr>
</tbody>
</table>

V. GENERAL RULES OF POLICY

A. A student may waive the right to inspect any record but may not be required to waive his/her right as a condition of any decision.

B. A copy of the University policy on records is to be made available to all students upon request.

C. Letters of recommendation written by faculty members are regarded as ancillary records unless copies are furnished to the Office of Student Affairs, the Graduate Admissions Office or other offices, and are made a part of records in this manner.

D. Where student names are part of a list of names, public posting of names may violate the rights of others. Posting of grades is forbidden unless the right of privacy in this manner is waived in writing. The right of any student who does not waive the right of privacy must be respected.

E. Records may be released to school officials and instructors within the University without specific student permission, provided that the purpose of inspection of the student’s records is specifically related to his/her educational progress.

F. Release of records to others without student request of approval is expressly forbidden except to certain officials of the United States as defined in the law and to financial aid officers or representatives of agencies administering financial aid grants which the student holds or for which
CHAPTER 6. INSTRUCTIONAL POLICIES, RESPONSIBILITIES, AND GUIDELINES

the student has applied. (As a matter of practice, the student should be encouraged to approve the release of records for financial purposes.) Other exceptions include parents of a student claimed as an exemption under the Internal Revenue Code of 1954, law enforcement officers or officers of courts armed with a legally issued subpoena (provided that the student is notified of the legal order before the record is released), and accrediting agencies and others involved in improving instruction and validation of testing programs, provided that such studies avoid personal identification of students.

G. Information may be released in *bona fide* emergencies involving student health and safety provided that due consideration is given to the seriousness of the threat to health and safety, the necessity of records in meeting the emergency, the ability of the person to whom release is made to deal with the emergency, and the extent to which time may be a factor in the emergency. Responsibility for the release of such personal information is that of the President of the University, who may delegate such authority to the Associate Vice President for Student Affairs and Dean of Students as part of his/her regular duties.

H. Federal or state officials may have access to records for the purpose of evaluating and auditing the effectiveness of federally supported educational programs.

I. A written record shall be made of each inspection of a student’s record by a government official or representative of an accrediting agency. The listing shall include the name of the person inspecting the record, the reason for viewing the record, and the date of viewing. The written record shall become a part of the student’s record folder in the appropriate office.

J. When a transcript of an academic record is released to a third party, even at the student’s request, extra precautions shall be made to guard against unauthorized release of information to other parties, and a statement regarding the requirement of limited access to the record and forbidding further release shall be made a part of the record.

K. Student listings may be recreated in whole or in part from computer files. Extra precautions are required to guard against unauthorized access by any party using the services of the Office of Information Technology Services or employed by Information Technology Services. Student records of any kind should be run by Information Technology Services only by proper authorization by a University officer, and the careful disposition of all copies should be made to avoid unauthorized circulation.

L. Students may gain access to their records in the appropriate Trinity University office by signing an official request to see their own records, allowing adequate time (not to exceed 45 days) for reply from the custodian of the records. Such viewing of the records must be in the presence of the designated custodian or his/her deputy, who will ensure that the student does not alter or remove any part of the record. If the student desires to copy any part of the Trinity University record, he/she must pay the established charge for copying.

M. Academic transcripts used in registration or advising or in applying for a major should bear an
appropriate stamp to indicate that the record was released to a student for his/her personal use.

N. Challenge to any part of a record must be made in writing and addressed to the appropriate custodian, specifying the point of challenge and the justification for such challenge. The custodian of the records must immediately notify the Associate Vice President for Student Affairs and Dean of Students, who shall arrange a hearing to be held within 10 class days from the date of challenge. The hearing shall be conducted before a committee composed of one representative from the Office of Faculty & Student Affairs and one representative from the Office of Student Affairs, the Chair of the Faculty Senate (who shall preside), a faculty member named by the student, and a faculty member named by the Associate Vice President for Student Affairs and Dean of Students. Decision shall be made by simple majority, and a record of proceedings shall be made. Appeal of the decision may be made to the President of the University with further right of appeal to the Review Board set up by the Secretary of Health and Human Resources.
(6G) EXCEPTIONS TO ACADEMIC POLICIES

(effective June 1, 1994; revised February 14, 1996; revised August 1, 2001)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

Responsibility for ruling on requests for exceptions to policy is assigned as follows:

I. REGISTRAR

A. Registration for a single class after the official last day to add a class (The Registrar will contact the departmental chair, who, in consultation with the instructor, will determine whether the class is open and whether late admission is appropriate).

B. Approval for “late adds” of individual classes (following procedures set forth in Section I.A).

C. Request by a parent for a student grade report (in accordance with Public Law 93-308).

D. Change in the time for registration of an individual student.

E. Satisfying Common Curriculum requirements by means of:
   - Advanced Placement,
   - International Baccalaureate credit, or
   - courses transferred from other institutions.

(As needed, the Registrar will consult with the appropriate departmental chair.)

II. THE ASSOCIATE VICE PRESIDENT FOR ACADEMIC AFFAIRS:
    STUDENT ACADEMIC ISSUES (AVPAA:SAI)

A. Registration for a student’s entire schedule after the official last day to add a class. The AVPAA:SAI will coordinate approval of departmental chairs (in consultation with instructors) and of the student’s academic advisor.

B. Permission for a student to take an overload (Prior approval is needed from the student’s faculty advisor).

C. Exceptions to general policies regarding transfer of credit.
D. Transfer of credit while the student is on enforced withdrawal.

E. Permission for waiving or changing requirements for credit earned in residence (A copy of the approval letter must be filed with the Registrar).

F. Permission for waiving or changing requirements in the Common Curriculum.

G. Appeals of grades.

H. Appeals from decisions of the Committee on Academic Standing. (The appeal procedure will include a written request for appeal and a plan for future work approval by the advisor if a major has been declared.)

I. Approval of “late drops” of individual classes.

J. Withdrawal from class with a grade of “W” after the date specified in University calendar.

K. Change of “Pass/Fail” status after the date specified in the University calendar.

L. Repeat of a Trinity University course, in which the student received a grade of “F,” at another college or university for transfer credit.

M. Change of the time for final examination for an individual or an entire class (A change in time for an entire class also needs approval of the Vice President for Faculty & Student Affairs).

N. Taking a student out of another class for a field trip or other class-related activity (This also requires the approval of the Vice President for Faculty & Student Affairs).

O. Permission for an undergraduate student to take a graduate course for undergraduate credit.

P. Approval of a student’s request to waive or substitute requirements in the student’s major and minor, by recommendation of the appropriate departmental chair.

III. THE VICE PRESIDENT FOR FACULTY AND STUDENT AFFAIRS

Appeal of any ruling on exception to academic policies may be made to the Vice President for Faculty & Student Affairs.
Chapter 6. Instructional Policies, Responsibilities, and Guidelines

(6H) Student Evaluation of Courses and Faculty

(Amended by the Academic Faculty May 1, 1984. Revised April 29, 1991. Revised October 19, 2007.)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

Student evaluation of instruction is a necessary but incomplete mechanism for the evaluation of the total performance of an instructor. Kenneth Doyle, in his book, Student Evaluation of Instruction, illustrates the inadequacy of using only student evaluation of courses to evaluate the overall performance of a faculty member, as this mechanism taps only one source of information (students) using only one medium (questionnaire). This mechanism assesses the immediate reaction to the stimuli or input of the course materials, the instructor, and the social and physical environment in which the course occurred; it does not give an evaluation of a more reflective assessment which only time and retrospection can provide.

In addition to its singular nature as a source and medium, the student evaluation of instruction partially assesses only the teaching component of a faculty member’s contribution to the Trinity University community. It does not directly assess a faculty member’s scholarly, artistic, or professional productivity, service to the community, or service to the profession. The systematic evaluation of members of the faculty should include mechanisms of evaluation for all these areas. In addition, evaluation should be viewed as an essential and necessary part of the University’s nature and function, and should apply to all members of the University community, including administrators.

I. PURPOSE FOR COURSE EVALUATIONS

The purposes for student evaluation of courses and faculty are:

A. To furnish information for the individual faculty member to use in assessing his/her course content and presentation.

B. To provide the individual student with an opportunity to offer constructive criticism to his/her instructor.

C. To provide the individual faculty member with data that may be used in support of his/her considerations for promotion, tenure, and salary increments.

D. To provide the student body with a voice in developing and maintaining an effective Faculty and curriculum.

E. To provide data that may assist in making curricular decisions.
II. FORMATIVE AND SUMMATIVE USES OF COURSE EVALUATIONS

Student course/instructor evaluations shall be administered, in combination with other measures of teaching effectiveness, for formative (i.e., for faculty self-improvement) and for summative (i.e., for merit salary, reappointment, promotion, and tenure).

A. Student course/instructor evaluations shall be used for summative purposes (i.e., for merit salary, reappointment, promotion, and tenure) only in combination with other measures of teaching effectiveness. Separate measures, agreed upon by the tenured members of each department, will be described in a report to the Vice President for Faculty & Student Affairs, and the report will be sent to the Committee for the Evaluation of Courses and Faculty. Any changes in a department’s method should be documented in the same manner.

B. The instrument to be used for student course/instructor evaluations will consist of a University-wide form, with a set of items common to all uses and a set of items specific to the academic department or curricular unit (e.g., First-Year Seminar Steering Committee). Departments may develop sets of items for different types of courses (e.g., lab vs. lecture). The specific items will be included in the report to the Vice President for Faculty & Student Affairs and the Committee for the Evaluation of Courses and Faculty (together with the description of additional measures described in Section II.A). The use of the student course/instructor evaluation instrument for summative purposes is compulsory every semester, including summer school. However, there will be no evaluation of courses and faculty using the University-wide forms for classes taught off campus during the summer. Faculty wishing to evaluate such courses may do so using their own or departmental forms.

C. The completed instrument shall be collected, tabulated, and returned to the faculty member under the supervision of the Committee for the Evaluation of Courses and Faculty. The summary reports shall include the percentages and frequencies of responses to all questions. Means, calculated to one decimal point, and medians will also be provided on all evaluative questions unless departments request not to receive them. The original forms and the tabulations shall be returned to the instructor after grades are due. Copies of the tabulations shall be sent to the Chair of the department. Each faculty member will give the original summative forms for courses taught during each semester to the departmental Chair after having had an opportunity to examine them. They will be returned to the faculty member after the merit review process is completed by the departmental Chair. In the case of departmental Chairs, the same process will be followed by substituting the Vice President for Faculty & Student Affairs (VPFSA) for the Chair.

D. The faculty member may write an analysis of the evidence for teaching effectiveness as part of the annual Summary of Professional Activities. The Chair shall write his or her own analysis of the evidence, from both student course/instructor evaluations and additional measures, as part
of the annual merit review and send a copy of this analysis to the faculty member. The faculty member may write a rejoinder to the Chair’s analysis directly to the VPFSA, to be included in the merit review documentation. In the case of departmental Chairs, the same process will be followed by substituting the VPFSA for the Chair.

E. The University shall provide faculty members with support services which will aid them in the improvement of teaching skills.

III. GUIDELINES FOR THE COURSE EVALUATION INSTRUMENT

The instrument for student evaluation of courses and faculty shall meet the following guidelines:

A. At least some of the questions shall allow for narrative responses.

B. The common questions will be proposed by a committee jointly appointed for this purpose by the Faculty Senate and the Association of Student Representatives, with the understanding, however, that a majority of the committee shall consist of members of the Academic Faculty.

C. The common questions shall be approved, prior to their use, by the Academic Faculty.

D. The Office of Academic Affairs will prepare envelopes containing the University-wide evaluation forms for all classes, regardless of size. For classes of under five students, departments may decide what to do for themselves. Individual faculty members should thus confer with their departmental Chairs to determine what to do in these classes.

In some cases, due to concerns about the anonymity of students, departments may decide that no courses of fewer than five students should be evaluated. In other cases, departments may decide to conduct evaluations of such courses using their own instruments and procedures for this purpose. In still other cases, departments may choose to use the University-wide forms for these small classes.

When the University-wide form is chosen, in some instances it may be desirable to combine different classes. However, to simplify the task for the Office of Information Technology Services (ITS), the evaluations, even though from different courses, should still be placed in one official white envelope, with its white label unaltered. ITS must know unambiguously what single course identification number under which to enter the data from all the surveys in the envelope. It will be up to the individual faculty and departments to remember what courses were thus combined. Any official white envelopes not used, along with any blank survey forms, should be returned to the Office of Academic Affairs.

E. In consultation with the Committee for the Evaluation of Courses and Faculty, the Office of Academic Affairs will develop and implement a method for orienting all incoming students to the
process of course/instructor evaluation.

IV. AMENDMENT

Following approval by the Faculty Senate, proposed amendments to this document shall be circulated in writing to the Academic Faculty at least fourteen (14) days prior to the stated meeting of the Academic Faculty Assembly at which they will be considered. If passed by a majority of those present and voting at that meeting, they shall become effective at the beginning of the next academic year.
(6I) NONSEXIST LANGUAGE, EFFECTIVE WRITING, AND ORAL COMMUNICATION

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. RESOLUTION ON NONSEXIST LANGUAGE

(Approved by the Faculty Spring, 1986, in conjunction with adoption of Chapter 8C: Anti-Harassment Policy)

As part of Trinity University’s ongoing commitment to speaking and writing effectively and of our general goal of promoting social equality, members of the University Community should avoid linguistic practices which may be construed as undermining equality.

II. RESOLUTION ON EFFECTIVE WRITING

(Approved by the Faculty December 7, 1983)

Whereas a well-educated individual is one who can write clearly and accurately in all walks of life;
Whereas clear thinking and clear writing are inextricably related;
Whereas learning to write effectively requires more than training in formal English courses;
Whereas effective writing demands constant practice;

Therefore, be it resolved that the faculty members of Trinity University pledge to require effective writing in all courses taught at Trinity University. The Faculty considers this a major responsibility to the students, and anything less will fall short of providing an excellent liberal arts education for our students.

III. RESOLUTION ON SPEAKING

(Approved by the Faculty October 18, 1985)

Given the importance of the ability to speak coherently, clearly, and with self-confidence, every course at Trinity University will, wherever appropriate, encourage and require from each student some demonstration of oral communication competence.
GUIDELINES FOR COMMON CURRICULUM COURSES

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

I. THE PURPOSE OF THE CURRICULUM

The Common Curriculum reflects Trinity University’s commitment to the liberal arts and sciences. The Curriculum is meant to establish for each Trinity University student a basis for understanding the varied domains of human knowledge and experience. The Curriculum also includes skills necessary for active, critical and creative participation in the academic life of the University. Paramount among those skills are the abilities to think creatively and critically, and to express such thinking effectively, both orally and in writing. Together, these understandings and skills are necessary for the personal, lifelong quest for understanding of oneself and one’s place in the world, and for the serious commitment to respond to the opportunities and needs of society and self, which are true marks of a liberally educated person. The Common Curriculum consists of the following components:

A. The First-Year Seminar (FYS)

Every new student must enroll in a First-Year Seminar (GNED 1300 or GNED 1301) in the first year at Trinity. Major primary works in any of the fields traditionally included in the liberal arts and sciences are assigned for study and discussion in the seminars, which serve both to induct the students into an intellectual discussion of substantive issues, and to enhance their speaking, writing, and bibliographic skills. A new transfer student with 26 semester hours of transfer credit or whose high school graduation date is a year or more prior to his or her matriculation at Trinity is exempted from the First Year Seminar requirements. The total number of hours required for any Trinity degree shall not be reduced by an exemption from the First-Year Seminar.

B. The Writing Workshop

The Writing Workshop (ENGL 1302) addresses itself to the refinement and enhancement of skills in critical reading, analysis, judgment and written composition, making sure that students are proficient in the use of these essential tools early in their academic careers.

With few exceptions, first-year students will enroll, during their first year at Trinity, in a section of the Writing Workshop. The exceptions are: (1) students who have a score of 5 on the Advanced
Placement Test in English Language and Composition, or the Advanced Placement Test in English Literature and Composition; or (2) students who transfer an equivalent course from another institution.

C. **Four Options for Fulfilling these Requirements**

1. First Year Seminar and Writing Workshop in consecutive semesters with separate topics/foci.

2. Conjoined sections of First Year Seminar and Writing Workshop under a single topic with multiple sections, each section earning six hours of academic credit (for example, HUMA 1600).

3. First Year Seminar under a single topic with multiple sections and a consecutive, nonaligned section of Writing Workshop (for example, the First Year Seminar in Science and Religion in the fall/Writing Workshop in the spring).

4. Individual sections of First Year Seminar conjoined with individual sections of Writing Workshop in a given semester – fall or spring.

D. **Foreign Language, Computer and Mathematical Skills**

Given the importance of skill in the use of foreign languages, of proficiency in the use of computers, and of an understanding of mathematical reasoning for contemporary liberally educated graduates, the Common Curriculum sets these standards. Students are encouraged to go beyond the minimum in all these areas.

1. **Foreign Languages**

Study of a foreign language is an essential part of a liberal arts education. Students are encouraged to continue their study of a foreign language and to study new languages. The University requires two years of a foreign language (either ancient or modern) for admission. To graduate from Trinity, students must reach a minimum level of competence corresponding to that attained after successful completion of the first semester of the intermediate year of college foreign language study (courses numbered “2310”). Students can fulfill this graduation requirement by:

1. successfully completing a third-semester (intermediate) language course or higher at Trinity University, or receiving transfer credit for such a course;

2. successfully completing an approved intermediate language course while studying abroad for at least one semester in a non-English speaking country;
3. receiving an acceptable score on the Advanced Placement (AP) Test, the International Baccalaureate (IB) Exam, or the SAT II Language Exam;

4. taking the third year of a single language in high school and receiving a B or better in the final semester of the last year;

5. passing a language placement exam offered by the Department of Modern Languages and Literatures or the Department of Classical Studies.

2. **Computer Skills**

   Students must be able to use computers to collect, organize, analyze and communicate information in an academic environment. We expect that all students add to their computing skills at Trinity. During orientation of their first year, students will take an examination to determine if they have competency in the following skills:

   1. Introduction to Computing (hardware, software, files and formats);

   2. Computers and Text (the uses of word processing software);

   3. Computers and Numbers (quantitative analysis using spreadsheet software);

   4. Computers and Information Retrieval (structuring and retrieving data using database software);

   5. Computers and Graphics (visualizing and illustrating ideas using graphics software);

   6. Computer Communications (using Local Area Networks, electronic mail and the World Wide Web); and

   7. Computer Ethics (issues of privacy and the legal use of software and data).

   Students who do not pass the test must fulfill this requirement by the end of the first semester of the sophomore year by completing a course built around these criteria which includes both instruction in, and hands-on use of, computers and computer network resources.

3. **Mathematics**

   The University requires completion of three years of college-preparatory mathematics, including either trigonometry or pre-calculus, for admission as a first-year student. Further development of the quantitative ability of all students is required as part of Understanding Quantitative Reasoning.
E. Fitness Education

Students should possess sufficient knowledge, understanding, and skill to enable them to make intelligent decisions relating to health and fitness throughout life. This requirement may be satisfied by:

1. having participated in a lifetime sport at the varsity or club level; or
2. the successful completion of any approved sport or fitness activity numbered PHED 11–.

F. The Senior Experience

A senior experience offers Trinity students various ways to reflect on and unify their four years at Trinity while moving toward their post-baccalaureate goals. The manner in which the senior experience requirement may be satisfied is determined by each individual department or program offering a major. Students must complete the senior experience in the manner specified by their chosen major(s). Students with more than one major may have to complete the senior experience in different ways for each declared major.

Departments and programs may offer one or more of the following options to majors in order to satisfy the senior experience (not all options are accepted by all departments or programs):

1. Senior Thesis (as defined by individual departments)
2. Major Capstone course (as defined by individual departments)
3. Senior Interdisciplinary Seminar (GNED 4300)
4. Senior Synthesis (GNED 4301)

Senior Interdisciplinary Seminar (GNED 4300)

The purpose of the Senior Interdisciplinary Seminar is to encourage students to reflect upon the whole of their education at Trinity, including the major and the Common Curriculum. Courses in the Senior Seminar are interdisciplinary in nature.

Senior Synthesis (GNED 4301)

A senior synthesis may take the form of a substantive paper or project in which the student makes connections among courses in the five Understandings.
G. The Understandings

The Common Curriculum is designed to involve all students in learning in these fundamental areas, which represent the essentials of a liberal arts education. The courses will, where appropriate, include the development and demonstration of writing and speaking skills.

In order to ensure breadth in the Common Curriculum, the following restrictions apply:

1. A student may take no more than seven hours in a single department to satisfy these requirements.

2. In no case may a student apply a single course to satisfy more than one of the Understandings.

3. Should a given course be certified as meeting the criteria of more than one of the Understandings, students taking that course for Common Curriculum purposes must decide, in consultation with their advisors, the Understanding to which it will actually apply.

4. Neither the First Year Seminar nor the Writing Workshop may be used to meet the requirements of any of the Understandings.

II. RETROACTIVE APPROVAL OF COURSES FOR COMMON CURRICULUM

(Approved by the University Curriculum Council January 29, 1988)

A. A student who has successfully completed a course that subsequently is approved for inclusion in the Common Curriculum may count this course toward satisfaction of his/her own Common Curriculum requirements provided that the Department certifies in writing that, at the time the student was enrolled in the course, the course was already being taught as described in the proposal subsequently approved for inclusion in the Common Curriculum (i.e., that the course already satisfied both all of the general criteria for courses in the Common Curriculum and all of the criteria for the specific Understanding in which the course is to be counted).

B. In other cases, such courses may not be counted for the Common Curriculum unless the Office of Faculty & Student Affairs, through an exception to policy, allows a student to substitute such a course for one of the courses already approved for inclusion in the Common Curriculum.
III. TRANSFER CREDIT POLICY AND THE COMMON CURRICULUM

A maximum of nineteen semester hours of transfer credit may be used to satisfy the Six Fundamental Understandings of the Common Curriculum, but no more than ten of these hours may be transferred from another institution in this country after the student has matriculated at Trinity University. Transfer credit may include study abroad, appropriate Advanced Placement credit, and credit transferred from other institutions. Common Curriculum transfer credit is subject to the policy and procedures for credit from other institutions and by examinations as stated in the Trinity University Courses of Study Bulletin.

Transfer credit shall satisfy the Common Curriculum requirements for the same Understanding as the equivalent Trinity University course shown on the current list of courses approved for the Common Curriculum. Transfer credit may also be approved if a course not offered at Trinity University substantially satisfies the criteria for an Understanding.

It is the responsibility of the Registrar to evaluate the equivalence and appropriateness of transfer courses in consultation, if necessary, with departmental Chairs, the Director of Study Abroad, and the University Curriculum Council. Course equivalence and appropriateness should be judged primarily on course content. The absence of the formal speaking and writing requirements, for example, should not be grounds to disqualify a course for transfer credit. In consultation with their faculty advisors, students will have the same opportunity for choosing the Understandings to be satisfied by transfer credit as for courses taken in residence.

IV. FIRST-YEAR SEMINAR GUIDELINES

The specific requirements for reading, writing, and oral communication must be consistent with the following statement adopted by the General Faculty:

“Major primary works in any of the field traditionally included in the liberal arts and sciences are assigned for study and discussion in the seminars, which serve both to induct the students into a University-wide intellectual discussion of substantive issues, and to enhance their speaking, writing and bibliographic skills.”

Hence, in addition to reading seminal works, each instructor’s requirements for writing and oral communication should constitute a sizeable proportion of the overall course requirements. For example, requiring several small papers (1-2 pages) and a major seminar paper would be quite acceptable. Of course, active oral participation would be expected in any seminar. First Year Seminars should have additional requirements. For example, a few short presentations and one formal presentation would be quite acceptable. Generally, it should be necessary for students to use the library extensively to develop and hone research skills.
In reviewing the course requirements and source list proposed by each instructor (or group of instructors), the First-Year Seminar Steering Committee’s charge is to insure that each seminar is consonant with the broad guidelines outlined above. The general presumption must be that the details of these matters are best left to the discretion of the instructor.

V. ENGLISH 1302 “WRITING WORKSHOP”

English 1302 introduces the student to basic rhetorical strategies in relation to intention and audience. The course enables students to write prose applicable to most situations. Focusing on the process of inventing discourse, English 1302 emphasizes the importance of effective reasoning, as students learn that the validity of assertions is relative to the premises or evidence on which those assertions are based. While individual sections may differ methodologically, the basic goals for effective essay writing in the course are as follows:

- A specific, substantial “point,” or thesis;
- A clearly focused, “leading” introduction;
- An organic progression of ideas and “proof”;
- A developed conclusion that provides closure to the argument and that does not merely restate the introduction;
- Clear, precise sentences; and
- A tone of voice appropriate to the audience and subject.

In this way, the course teaches invention, organization, and style (editing) in relation to essay writing, the emphasis of which will be tailored to the needs of each particular class.

Students can expect to write a minimum of 6,000 words during the semester, submitted in the form of six papers—approximately one paper every two weeks. Individual professors will organize their section of the course according to the background and progress of each particular class. The choice of a “grammar” and a “rhetoric” will be left to the discretion of each professor.

“Readers” and reading selections, primarily literary works, will ordinarily reflect the basic goals of the Common Curriculum Understanding, “The Intellectual Heritage of Western Culture.” In general, progress in English 1302 depends on outside preparation for class and on active participation in class, regular attendance, and adherence to all deadlines.

The Writing Workshop addresses critical thinking skills as expressed in writing. Sections of the course meet the following criteria:
A. The instructors assess the level of the class very early in the semester and adjust the instruction appropriately. It is assumed that the Writing Workshops in the Spring semester will have a higher sophistication level than those of the first semester.

B. The professors apply common grading standards by use of preliminary agreement on standards, cross-grading of random papers, double-grading in cases of doubt, and related procedures. The grading standards are published and available through the Writing Center. The Department of English monitors the sections to help insure common standards.

C. The course includes as one of the required papers a literary research paper.

D. The course includes a section on modern formal written communication, including the need for and the use of its various specialized features.

VI. CRITERIA FOR ALL UNDERSTANDINGS COURSES

A. All Common Curriculum courses are expected to reach beyond their originating disciplines towards relevant connections with other areas of knowledge. Courses should be sufficiently broad that the student comes to understand more than a limited segment of the subject of the Understanding.

B. All appropriate courses will include writing as a significant requirement in the course. The writing may be on essay exams (though there must be significant essay components if exams are to satisfy this expectation by themselves). Additional written assignments (essays, papers, etc.) are encouraged.

C. As stated in Chapter 6I Section III: Resolution on Speaking, approved by the Faculty, “every course at Trinity University will, where appropriate, encourage and require from each student some demonstration of oral communication competence.” Common Curriculum courses, perhaps more than others, should meet this expectation through such methods as student oral presentations and participation in class discussions.

D. Any proposal to include a course in the Common Curriculum must either demonstrate how the course will meet the writing and speaking criteria above, or show why doing so is not appropriate.

E. The catalog copy to be printed in the Courses of Study Bulletin should be specific enough so that it is clear how the course meets the criteria for the Understanding under which it falls.

F. As stated in the Courses of Study Bulletin, “each lecture or recitation hour presupposes an average of two hours of outside preparation on the part of the student.” Courses should not impose workloads that differ significantly from this standard.
VII. THE COMMON CURRICULUM UNDERSTANDINGS

Understanding Cultural Heritage (9 hours)

Understanding the traditions that underlie the world’s cultures. Three courses, at least one from each of the following two categories:

- Traditions Indigenous to Africa, Asia, the Americas, Australia, and Oceania
- Greco-Roman, Jewish, and Christian Traditions through the Early Modern Period

Rationale:

The primary emphasis in these courses is on cultural character, how societies have defined themselves through their beliefs and customs and how these definitions have changed through time and from culture to culture. Text-based courses in the Understandings analyze documents in order to illuminate larger historical and cultural processes. To encourage students to enlarge their horizons in both time and space, the Understanding is subdivided between traditional “western” cultures and “non-western” cultures, and includes courses that concentrate on the past. Since most Trinity students are already immersed in contemporary western culture, this Understanding requires students to have an understanding of at least one culture indigenous to Africa, Asia, or the Americas, and to have an understanding of the formation of western culture from the ancient Greeks through the early modern period. The goal of this Understanding is to encourage the development of a historically-informed, critical understanding of various cultural traditions.

Criteria:

Traditions Indigenous to Africa, Asia, the Americas, Australia, and Oceania

- Courses emphasize the cultural traditions indigenous to Africa, Asia, the Americas, Australia, or Oceania.
- Courses emphasize larger historical and cultural processes, with an emphasis on cultural character.

Greco-Roman, Jewish, and Christian Traditions through the Early Modern Period

- Courses address the foundations of Western culture, from the ancient Greeks through the early modern period.
- Courses emphasize larger historical and cultural processes, with an emphasis on cultural character.
Understanding the Arts and Literature (9 hours)

Understanding the arts and literature as principal ways of expressing and enriching the human spirit, approached through involvement with artistic creation, performance, and theories of production and critique; and with the critical analysis of literary texts. Three courses, at least one from each of the following categories:

- Visual Arts, Music, Performance, and Aesthetic Production
- Literary Studies

**Rationale:**

This Understanding reflects the fundamental importance of the arts and literature to a liberal arts education. The courses in this category approach the arts and literature from multiple perspectives. The first subdivision, “Visual Arts, Music, Performance, and Aesthetic Production,” emphasizes the production of art as well as theories of production, performance, and historical/cultural analysis. The second subdivision, “Literary Studies,” emphasizes the analysis of literary texts in a range of historical/cultural and rhetorical contexts. The goal of courses in both subdivisions is for students to cultivate contextual awareness, intellectual independence, and creative insight through a process of aesthetic engagement.

**Criteria:**

Visual Arts, Music, Performance, and Aesthetic Production

Courses emphasize at least one of the following:

- close study of art work in a range of contexts
- theories and techniques of aesthetic production and performance
- active participation in aesthetic production and performance

Literary Studies

Courses emphasize at least one of the following:

- close study of the literary text in a range of contexts
- theories and techniques of literature and literary production

Understanding Human Social Interaction (9 hours)

Understanding the behavior of individuals and groups within social, historical, and institutional contexts, focusing on the ways in which the social sciences and humanities seek to understand human behavior and social cultures, and providing an in-depth investigation of significant social
issues and cultural values that help shape individual and social choice. Three courses are required to satisfy this Understanding:

- Approaches to the Social Sciences (2 courses)
- Social Issues and Values (1 course)

**Rationale:**

This Understanding addresses the broad range of human behavior, along with its causes and consequences. The goals of this Understanding are (1) to explain the behavior of humans in their capacity as individuals as well as social agents through the theoretical and methodological approaches of social sciences disciplines; and (2) to reflect upon formation of cultural values and their complex interplay with human choices and actions.

**Criteria:**

**Approaches to the Social Sciences**

- Courses utilize at least one of the basic theoretical, analytical, or methodological approaches of one of the social sciences; and
- Courses impart the substantive character of its discipline, elucidating the selected approach or approaches within the broader context of the chosen discipline.

**Social Issues and Values**

Courses emphasize at least one of the following:

- Ways of comparing, critically assessing, and choosing social values
- Application of values to human choice, social issues, and/or society itself
- Application of the methods of at least one of the social sciences in understanding a significant social issue or institution

**Understanding Quantitative Reasoning (3 hours)**

Understanding mathematics, symbolic abstraction, and quantitative analysis as modes of cognition and tools in problem solving. (1 course, 3 hours)

**Rationale:**

This Understanding introduces students to methods of thought and language indispensable to a liberal education, to enlightened citizenship in an increasingly technological age, and to understanding of scientific and social phenomena. The goals of this Understanding are (1) to give students an appreciation of the cognitive power of quantitative methods and their applications; (2) to provide them with a framework for problem
solving; and (3) to endow them with tools to organize and interpret information and to make informed decisions.

**Criteria:**

- Courses explore complex problems mathematically and teach problem solving within a structured mathematical framework.
- Courses include symbolic formulation and analysis.
- Courses interpret quantitative results and strive for the understanding of the mathematical apparatus.

**Understanding Natural Science and Technology (at least 6 hours)**

Understanding the foundations and methods of the natural sciences and technology. Understanding ways that natural science and technology impact humans, society, and the environment. Two courses are required to fulfill this Understanding. One course must focus on the fundamentals of a natural science, and one course must actively involve the student in using scientific methods to explore physical or biological phenomena or technology. One of the two courses may fulfill both the natural science and use of scientific methods requirements. (2 courses, at least 6 hours)

**Rationale:**

This Understanding addresses the need of all students to understand the implications and benefits of science and technology, along with an appreciation of the potential and the limits of science and technology to address societal needs. The goal of the courses in this category is to promote greater literacy in science and technology by teaching students to understand the fundamental nature of science, the methods and results of the natural sciences, the methodologies of science and technology, and the relationship between science and technology.

**Criteria:**

All courses study the methods and results of the scientific study of the natural universe or the methods and results of applied science, engineering, and technology. Courses may also focus on the impacts of science and technology on humans, society, and our world. These impacts may include ethical, environmental, social, or philosophical issues. Courses satisfying the natural science and using scientific methods requirements must also meet the following additional criteria:

**Natural Science**

- Courses relate scientific results and methods to phenomena in the natural universe. These phenomena include physical, biological, chemical, and geological processes.
Courses use the theories, results, and methods concerning one or more of these classes of phenomena.

Using Scientific Methods

- These courses actively involve the student in using scientific methods to study physical or biological phenomena or technology.
- Activities should include understanding the design of experiments, acquisition of data, analysis of data, drawing conclusions, and the testing of conclusions.
- These activities may be integrated in the course or may take place in a coupled laboratory course.
(6K) THE ACADEMIC HONOR CODE

(Approved by the Academic Faculty Assembly on February 21, 2003; revised by the Academic Faculty Assembly on May 2, 2008)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

The values of honesty, scholarship and the pursuit of excellence are central to the mission of Trinity University. The Academic Honor Code is the system through which Trinity students uphold these values by assuming individual responsibility for integrity. An environment that encourages personal responsibility facilitates one of the highest aims of education, the free pursuit of knowledge.

At its core the Academic Honor Code is based on trust. Because trust is the bond that forms among all members of the Trinity community, it cannot exist independently or in a vacuum. Thus, it is essential that all members of the Trinity community conduct themselves in such a way that exemplifies integrity. Trinity students are trusted and expected to be honest in their academic work. Any violation of the Academic Honor Code destroys the value of the work, erodes the spirit of trust, and negatively impacts the mission of the University.

I. THE PLEDGE

Upon matriculation, students will sign an agreement that they will abide by the Academic Honor Code policy. The Academic Honor Code covers all academic work. Instructors will designate what, if any, type of collaboration or assistance is authorized for each assignment. Students are required to add the statement “On my honor, I have neither given nor received any unauthorized assistance on this work” and their signature to each assignment to reinforce and reaffirm their adherence to the Academic Honor Code. (Instructors may allow students to shorten this statement by simply writing “pledged” followed by a signature.)

II. VIOLATIONS

It is a basic assumption that credit is awarded for the work of the individual student and judged according to its quality. Violations of the Academic Honor Code thus involve an infraction of that basic assumption. Such violations include but are not limited to:

A. Using or giving unauthorized material or assistance in any academic exercise, ranging from a homework assignment to a paper or a final exam.
B. Turning in someone else’s work as one’s own or allowing someone else to take an exam for you.

C. Choosing to present words or ideas of another as one’s own, which is plagiarism. This is plagiarism. While it is often appropriate to use other’s work in one’s paper, it must be credited as such. Quotation marks should be used for exact quotations, and in all cases, whether paraphrasing or using another’s exact wording, footnotes or endnotes should clearly indicate the source and the extent of the borrowing of ideas.

D. Turning in the same work to more than one class without the consent of the instructor(s) involved.

E. Collaborating on an assignment unless specifically authorized to do so by the instructor.

F. Knowingly helping another student violate the Academic Honor Code.

G. Changing or attempting to change grades that have been assigned by the instructor.

H. Falsifying data, creating false data, or fabricating sources.

It is also a basic assumption that violations of Academic Integrity are not confined to courses taken for credit. Violations of the Academic Honor Code thus include but are not limited to:

A. All of the violations enumerated above in A-H, when committed by a student who is not registered for credit in connection with the action in question.

B. Falsification of academic records by knowingly and improperly changing grades, signatures, or documents related to transcripts, grade sheets, forms and academic reports.

III. ACADEMIC HONOR COUNCIL

A. Function

It shall be the responsibility of the Academic Honor Council to hear all cases involving infractions against the Academic Honor Code and to determine sanctions in those cases where a violation has occurred. It shall be the responsibility of the Academic Honor Council as well to orient all incoming students to the Academic Honor Code every fall. The responsibility for annual orientation of the faculty shall reside with the Council’s faculty advisors with the support of the Office of Academic Affairs. The Academic Honor Council shall provide an annual report to the University community, detailing the number of cases and sanctions levied. Finally, it shall be within the purview of the Academic Honor Council to review and improve procedures as needed. Procedural changes may be amended by a majority vote of the membership of the Academic Honor Council providing the proposed amendment is distributed in writing to all members at least five (5) class days prior to the meeting at which the amendment is to be considered.
Class days are defined as any day on which classes are held, any day on which exams are being administered, and any day that the University designates to be a reading day.

In conjunction with Academic Affairs, the Honor Council shall adopt a budget consistent with its function and needs in the Spring semester.

B. Academic Honor Council Selection and Composition

1. The Philosophical Premises of Selection and Composition
   a. The composition of the Academic Honor Council is designed to promote diversity, mentoring for underclass members, and experienced leadership within the Council. Ownership of the entire process belongs to students.
   b. The Association of Student Representatives (ASR) shall recommend to the President the appointment of Academic Honor Council members in order to ensure a well-informed selection process and for the sake of efficiency.
   c. Faculty involvement exists in order to ensure procedural consistency and historical guidance but is limited so as not to infringe on student responsibility for the Academic Honor Code.

2. The Academic Honor Council
   a. Selection Process
      1) The Academic Honor Council shall consist of between 23 and 25 members from the student body recommended by ASR on behalf of the Honor Council and appointed by the President. There shall be, at the time of service, two to four first years, at least three sophomores, at least three juniors, and at least three seniors.
      2) Undergraduate students may apply through the external chair of the Academic Honor Council. Applicants must submit a written personal statement explaining their suitability as an Academic Honor Council member. Also, they must report whether or not they have any previous academic integrity/honor violations, to be verified by the Office of Academic Affairs.

Applicants will be interviewed by at least two members of the Honor Council, including the external chair, and at least one member of the ASR. Applicants must also pass an exam on Honor
Council policies and procedures, to be administered by the external chair. The external chair will submit a list of potential new members along with their applications to the ASR by the beginning of Spring Break. The ASR, after reviewing the list and applications, will recommend to the President the appointment of Academic Honor Council members.

3) Academic Honor Council members shall be appointed during the Spring semester prior to their term of service (except for the two to four first-year members, who shall be appointed early in the Fall). The Academic Honor Council shall be required to meet before the beginning of finals of the Spring semester prior to its term of service to familiarize itself with procedure. The members shall swear to uphold the joint statement, rules, regulations, and policies of Trinity University, to serve the University loyally, and to make impartial decisions.

4) The term of office shall be one year. Academic Honor Council members may be reappointed with the approval of the President. They will be terminated if they are found in violation of either the Academic Honor Code or the University Standards of Student Conduct. In the event of a vacant seat, the Academic Honor Council will forward the name of a replacement to the ASR, which shall then recommend to the President the replacement in a timely fashion.

Recommendations for permanent removal of council members will be routed through the faculty advisors. The AVPAA will consult with all appropriate parties and make all final decisions.

b. Composition and Responsibilities

1) The Academic Honor Council includes two officer positions: the external chair and the internal chair. Both chairs require at least one year of Academic Honor Council experience and are elected from within and by the Council members. They will be elected late in the Spring semester by the returning members of the Academic Honor Council.

2) The external chair receives submitted complaints of violation of the Honor Code, serves as a liaison with ASR and the Faculty Senate, coordinates public education forums and ethical development programs, and receives appeals.
The external chair shall coordinate all educational functions of the Council, including the orientation of new students at the beginning of each academic year. All new students and transfer students will be oriented to the Honor Code, and will pass an examination testifying to their familiarity with it. The external chair is also charged with coordinating relations with the student body, faculty, and staff. This includes receiving and processing complaints from students, faculty members, and staff, researching and answering any questions students, faculty, or staff might have pertaining to the Code or the Council, addressing any concerns students, faculty, or staff might have pertaining to the Code or the Council, and coordinating the selection of new council members with the ASR. The external chair will coordinate and preside over general meetings of the Council, unless the external chair delegates these responsibilities to the internal chair.

3) The internal chair assigns members to each case, coordinates the release of briefs, compiles annual reports, manages all Academic Honor Council records, and sends them to the Office of Academic Affairs. Any member with a conflict of interest shall decline a case with approval by the internal chair.

The internal chair shall coordinate all internal functions of the Council, including judicial processes and concerns involving the performance of individual Council members. It is the responsibility of the internal chair to ensure that the Honor Code and the Bylaws of the Council are being followed, and that the Council is working effectively together. The internal chair is also charged with the creation and maintenance of all records pertaining to the Council’s judicial proceedings, including the opening of files, the coordination of all paperwork and filing involved in an open case, and the preservation of closed files. Before assigning an Honor Council member to a case, the internal chair shall check with the member to verify that a conflict of interest does not exist. If a conflict does exist, the member will decline to participate in the case and send a brief written explanation of the conflict to the internal chair to be kept on file. Without such a conflict, members shall only be allowed to decline participation in a case twice per academic year. The internal chair will be given a schedule of foreseeable conflicts by each Council member at the beginning of each semester so that assignments may be made more easily.
In the event that an accused student appears in front of the Honor Council more than once, it is the responsibility of the internal chair to ensure that Council members do not participate in more than of the cases.

4) The internal chair appoints two case-presenters for each complaint filed: one will present the complaint on behalf of the University; the other will present the report on behalf of the accused student. First year members may not serve as case-presenters.

Case-presenters generally serve no investigative function beyond gathering evidence provided by those they represent. Case-presenters serve to inform the parties of Honor Council procedure, assist them with the presentation of evidence, and present that evidence in a coherent report to be made before the hearing panel. Case-presenters will contact their assigned parties – the complainant or the accused – by the end of the second class day following the opening of the case, that is, after the accused student is first notified.

Upon conferring with their assigned parties as soon as it is possible to do so, case-presenters are to answer any questions that their assigned parties may have as to Honor Council procedures, while also gaining a familiarity with the circumstances of the case.

Case-presenters should exchange a list of evidence and the statements to be presented at the hearing. The list and statements should then be shared with the accused student and the complainant at least 48 hours before the scheduled hearing.

Case-presenters are also responsible for composing a witness list if either the accused student or the University wishes the hearing panel to call witnesses. Case-presenters will submit witness lists to the presiding member at least three class days before the hearing. Lists will include a written statement of justification for each potential witness.

The presiding member will approve any lists of witnesses based on a witness’s knowledge relevant to the facts of the case. Witnesses testifying to the character of the accused do not satisfy the requirements of this criterion and will therefore not be accepted. The presiding member shall notify all witnesses of their requested appearance before the hearing panel at least two class days before the hearing.
Within reason, witnesses are to make themselves available throughout the duration of all Honor Council proceedings.

5) The internal chair appoints one presiding member and two additional members to each case.

The presiding member is charged with the primary responsibility of managing the case. He or she is responsible for notifying the complainant and accused student of the date and time of hearing. The notification should indicate to the complainant and student that their presence at the hearing is crucial in serving their own interests. The presiding member, as indicated above, handles the witness lists provided by case-presenters. The presiding member is also responsible for writing the opinion of the hearing panel following the hearing unless he or she is a dissenting member. All procedure involving the hearing is led by the presiding member as well.

The two other members of the hearing panel are to participate fully in the hearing and deliberation that follows. Non-presiding members may be charged with the writing of opinions should the presiding member be in the minority of a decision and choose to author a dissenting opinion.

6) Any member may serve as an advisor in response to informal student inquiries about filing a complaint. If members feel this consultation compromises their ability to decide a given case fairly, they shall notify the internal chair that they are removing themselves from that specific case.

All council members are expected to attend every meeting unless they receive the internal chair’s approval to be absent, as well as to fulfill the obligations of any post to which they are assigned. They are expected to adjudicate fairly without bias and to abide at all times by the letter and spirit of the Academic Honor Code and the Council’s Bylaws. This obligation applies to all judicial and non-judicial functions, including programs, speaking events, or discussion that might take place at any time between a council member and any other individual, be they on the Council or not. At all times the council member is to behave in accordance with the Code and in a manner that does not undermine it in any way. This obligation also includes maintaining confidentiality regarding all judicial matters before the Council and any sort of discussion that
may take place among the council members involving both its judicial and non-judicial functions.

7) Two faculty members and one alternate, designated by the Faculty Senate, serve staggered terms as Academic Honor Council advisors. Two faculty members are appointed to three-year terms, and the alternate is appointed to a two-year term. The primary roles of the Academic Honor Council advisors are to provide historical continuity for the Academic Honor Council and to assist the Office of Academic Affairs with dissemination of information concerning the Academic Honor Council and implementation of the Academic Honor Code.

C. Complaint, Notification, and Investigation

1. The Philosophical Premises of Filing and Investigation

   a. Students are more likely to abide by an honor code if they have ownership of the structure and process by which it is implemented.

   b. Guidance in understanding the Academic Honor Code and its implementation should be made available to all members of the university community (thus, inquiries regarding the process, available options, etc., are encouraged).

   c. Faculty must be supportive of the designated process and should not undermine the process by dealing directly with the alleged honor code violation.

   d. Timely implementation is important, particularly in situations involving alleged breaches of the Academic Honor Code near the end of a semester or by a graduating senior.

   e. All adjudications should be conducted in such a manner as to bring to light all the relevant facts, including facts that may exonerate an alleged violator as well as facts that confirm the alleged violation.

   f. The division of case responsibilities provides an evenly distributed workload to cover many complaints; it allows members to remove themselves in cases that present a conflict of interest; and it builds consistent interpretations of the Academic Honor Code by giving each member the opportunity to serve in various aspects of the investigation and decision-making process.

2. Procedure for Complaint to the Academic Honor Council
a. The Academic Honor Council shall have jurisdiction over cases involving a student suspected of violation of the Trinity University Academic Honor Code. The process begins when the Academic Honor Council receives a written complaint stating the charges alleged.

b. All consultation prior to formal filing of charges is confidential; records of such consultation shall not become part of the official record. Clarification of perceptions of alleged violations at this stage do not constitute formal accusations.

c. A member of the Trinity community, whether student, staff, or faculty member, must file his or her allegation with the Academic Honor Council’s external chair via the allegation form found on the Academic Honor Code website under Academic Affairs.

d. A student may turn himself or herself in for a violation of the honor code, following the same procedure.

e. Allegations must be submitted in writing within ten (10) class days of the discovery of the alleged violation. If discovery of alleged violations occurs at times other than during fall or spring semester (as in the case of Incompletes, end of term, and summer school work), allegations must be submitted via the Academic Honor Code website no later than the tenth class day of the succeeding semester. They must include relevant details substantiating the charges and the names of any witnesses. However, the person reporting the alleged incident may remain anonymous to the accused student until the Academic Honor Council decides to hear the case.

f. All records shall be maintained by the Office of Academic Affairs and shall remain confidential.

g. Students accused of violating the Honor Code may not change their registration in a course in which the accusation is pending or in which a responsible finding has been made. If a student drops or withdraws from a course after an alleged violation occurs but before being notified, then the student will still be subject to a hearing. In such cases, if the student is found responsible, then he or she will be subject to the standard sanctions with the exception that there will be no grade penalty in the course, as the student is no longer enrolled in the course.

3. Notification Procedure of the Academic Honor Council

a. The complainant, if an instructor, will be notified of receipt of the complaint by the Honor Council’s external chair within one class day following
its submission. The faculty member at the same time will be told that his or her presence at the hearing is important to ensure that the evidence in the case is properly explained, and to be available to answer questions from the hearing panel. The faculty member will also be told that a case-presenter will be contacting him or her shortly, with further information about procedures.

b. The complainant, if a student or staff member, will be contacted by the external chair and a meeting arranged to discuss the following three points: 1) for the case to go forward, the student or staff member cannot remain anonymous; 2) unless the accusing student or staff member has solid evidence, the case will go nowhere during the hearing resulting in a finding of “Not Responsible”; and 3) an alternative is for the student or staff member to report suspicions/evidence to the instructor of the class involved. If the student or staff member is not willing to forego anonymity, then the case is dropped at once.

c. The accused student will be notified by the external chair as soon as feasible that an allegation of violating the Academic Honor Code has been made against him or her. In the case of an allegation filed by an instructor, the accused student will be notified of the allegation, with relevant details as submitted by the instructor, at the same time that the instructor is notified of receipt of the complaint. The external chair will also provide the accused student with an electronic statement of the student’s rights. In addition, the external chair will provide the accused student with the name of the internal chair, to whom the accused student should direct any inquiries at this time about the case. At this same time the external chair will notify the internal chair, the Associate Vice President for Academic Affairs charged with oversight of the Honor Council (henceforth “the AVPAA”), and the faculty advisors, providing all of these with a copy of the allegation.

d. In the case of an allegation filed by a student or staff member, the accused student will be notified once the accusing student or staff member has met with the external chair, agreed to forego anonymity, and has submitted solid evidence. The accused student in this latter case will also be given the evidence, or summary of it, against him or her. The external chair will also provide the accused student with an electronic statement of the student’s rights. In addition, the external chair will provide the accused student with the name of the internal chair, with whom the accused student should direct any inquiries about the case. At the same time the external chair will notify the internal chair, the AVPAA, and faculty advisors as in the preceding paragraph.
Accused students are not to contact instructors or other complainants once they have been notified. If they do, this may be considered an aggravating factor in determining sanctions if the student is found responsible.

e. The internal chair will set the hearing date for at least four days after the accused student has been notified of the case.

f. If the accused student or the person reporting the alleged incident wishes to present witnesses, to inform the Council of any information relevant to the case, or to inform the Council of his or her inability to appear on the scheduled hearing date, he or she must submit a written request to the presiding member no more than two (2) days after receiving official notification of the date of the hearing. Cases are rescheduled because of conflict only for exceptional reasons.

g. If the accused student desires witnesses, pending approval of the witnesses as valuable to the case, the presiding member shall notify any witnesses to appear for the accused. If approved, the witness or witnesses shall be sent a notice two class days prior to the hearing date to appear at the hearing. The date, time, and location of the hearing shall be included so as to assure his or her presence. Should a witness not be able to attend, the witness may present a statement signed in the presence of the case-presenter.

h. If not called as a witness, the faculty member responsible for the course at issue may attend the hearing as an interested party and offer testimony.

4. Preparation for the Hearing

a. Upon opening a case, the internal chair will do all of the following: assign a case number, assign a hearing date, and assign from members of the Honor Council one presiding member and two other panel members to hear the case, and two case-presenters. One of the case-presenters will present the complaint on behalf of the University. The other case-presenter will present the report on behalf of the accused student.

Hearings will be held on Tuesday or Thursday afternoons between the hours of 4:00 p.m. and 7:00 p.m., except under unusual circumstances such as when a heavy backlog of cases occurs, or at the end of a semester. Hearing dates should be scheduled in a timely manner, but should allow at least four days after the accused student is notified, for the student and complainant to prepare for the hearing.

b. Once the presiding member has been determined, the internal chair will turn over to the presiding member the case file with all documents pertinent
to the case up to that point.

c. The presiding member will continue to collect in the case file all additional information regarding the case, including any communication (telephone, personal conversation, e-mail) between a member and the accused student or the person reporting the alleged incident. After the hearing is concluded, the presiding member will file the case according to its number in the office of the AVPAA.

D. Academic Honor Council Hearing Procedures

1. Hearing Procedures

a. The Academic Honor Council shall have full authority to establish and define the rules of conduct and procedure that shall govern its hearings and deliberations, so long as they accord with the general principles prescribed in the Honor Code. Such rules shall become a matter of public record. They may be altered by a majority vote of the full body of 23-25 members.

Fifteen minutes prior to the commencement of a hearing, all panel members will be present and provided with the statements of the accuser and accused, and all submitted evidence. It is expected that panel members will avail themselves of these fifteen minutes to review the statements and evidence.

A hearing shall progress first with the presiding member stating the case name, number, and complaint. The accused student will then be asked by the presiding member to submit a plea of “responsible” or “not responsible” for the conduct reported in the complaint. Following an answer to this question, the case-presenter for the University will present evidence, followed by a presentation of evidence by the case-presenter for the accused student. Any witnesses will then be called first by the case-presenter for the University, and then by the case-presenter for the accused. Following the questioning of any witnesses and of the accused and complainant, the originating complainant will be afforded the opportunity to make a final statement. The accused student will then be given the opportunity to do the same. Upon conclusion of final statements, both the accused and the complainant will be asked to recess while the hearing panel deliberates. They will be asked to be prepared to reconvene following deliberation.

In certain cases such as collaboration, more than one accused student may be heard in a single hearing, following the basic procedures outlined in the preceding paragraph.
All hearings should be tape-recorded for the sake of record keeping and so that proceedings may be available for review should an appeal warrant it.

The presentation of evidence will come in the form of an oral report to be given by each case-presenter and will present all evidence that the hearing panel should consider and give insight into the role of any witnesses that might be called. These presentations will give the University and the accused student equal opportunity to present both sides.

Witnesses will be called by the panel in an order predetermined by the case-presenters, first calling witnesses for the University, and then for the accused student. Witnesses will be asked to respond to questions by the hearing panel, and will not be questioned by either case-presenter. The presiding member of the hearing panel reserves the right to recall witnesses at any time during the proceeding.

The hearing panel under the supervision of the faculty advisors will deliberate on whether the accused student is responsible for violations specified in the complaint.

In exceptional cases when the panel feels that there is not sufficient evidence to come to a determination, and also has good reason to believe that additional relevant evidence can be obtained in a timely manner with further investigation, a hearing may be continued when a majority of panel members feels a continuance best serves the interest of justice and fairness. If a case is continued, the presiding member will ask the case-presenters to obtain the additional evidence, and will send a request to the internal chair to set a new date and time for the case to resume, with a brief explanation of the reasons for the continuance and of the further evidence to be obtained.

After deliberation, the decision of responsibility and the sanction, if applicable, will be announced to the complainant and accused student by the presiding member. Whether the decision was split is not to be disclosed at this time.

Accused students will not contact professors or other complainants about the case once the hearing panel has rendered a decision. If accused students contact the professor once a decision has been rendered by the hearing panel, further disciplinary action may result.

b. All Academic Honor Council hearings are closed sessions, open only to the accused student, witnesses, faculty member for the course, hearing members, case-presenters, and Honor Council advisors.
If for some urgent reason, a member of the hearing panel cannot be present at the time of the hearing, the internal chair may hear the case in the stead of that hearing panel member.

If the internal chair is also not available, then the external chair may hear the case.

c. The Academic Honor Council reserves the right to make a decision regarding any charge in absentia when a party to the case or witness fails to appear as directed. Individuals are warned that any mitigating factors on their behalf may not be considered if they are not present to supply the relevant information.

d. An Academic Honor Council advisor attends all hearings and deliberations as a silent observer to ensure that procedures and due process are followed but should not intervene otherwise.

If at any point a faculty advisor finds procedure to be improperly followed or particular questions asked by the hearing panel to be improper, he or she may instantly call a point of order. This includes calling a point of order in response to any perception a faculty advisor might have of case-presenters failing to follow the appropriate guidelines for their role in the proceeding. If deemed advisable by the faculty advisor, and upon being granted the authority to approach the panel members by the presiding member, the faculty advisor may consult with hearing panel members.

E. Sanctions for Academic Honor Code Violations

1. The Philosophical Premises of Sanctions for Academic Honor Code Violations

a. Because violations of the Academic Honor Code constitute an affront against the entire University community, there should be significant consequences for individuals found in violation of the Academic Honor Code. The sanctions are designed to penalize the offender in relevant and proportional ways.

b. Violations vary in severity, so a range of sanctions is available. Guidelines are offered to facilitate consistency across cases while allowing members the flexibility to consider circumstances unique to a particular incident.

c. An ethical development seminar or other educational tools shall be designed to educate offenders about the importance of integrity, specifically in an academic setting.
d. The most severe sanction, expulsion, is reserved for repeat offenders or very serious offenses.

2. Sanctioning Procedures for Academic Honor Code Violations

a. All three hearing members assigned to the case shall vote on whether or not the accused student violated the Academic Honor Code based on the greater weight of the credible evidence presented by witnesses and case-presenters. A majority of two shall decide a case.

b. The presiding member is responsible for issuing the majority opinion to the internal chair. A dissenting hearing member may also issue an opinion. The presiding member provides all opinions to the accused student, both case-presenters, and the professor(s) involved within five (5) class days of the hearing.

The presiding member will also deliver the written majority opinion and any dissenting opinion to the complainant, who may not be the instructor of the course involved, to the external chair, the AVPAA, and the faculty advisors via email. If the originating complainant is not the faculty member in whose course the violation occurred, that faculty member will be delivered the opinion via email.

The majority opinion will contain the finding and an outline of the reasoning the hearing panel followed in making its decision.

Authorship of majority and dissenting opinions is not to be disclosed. The identification of dissenters will be reported by the presiding member only to the internal chair and only in the case that a letter of appeal is filed and an appeals board must be assembled.

The presiding member will also notify the complainant and the accused of the possibility to appeal based on criteria outlined in the Honor Code, and of the appeal process. Following the hearing, questions regarding appeal process should be directed to the external chair.

c. If the accused student is not found in violation of the Academic Honor Code because there was not sufficient evidence, the presiding member may still issue a “Letter of Clarification,” stating that although the Academic Honor Code Council did not find the student in violation of the Academic Honor Code, the Council would like the student to keep in mind specific aspects of the Code. No entry would be made in the student’s file for such a letter.

da. If a student is found in violation of the Academic Honor Code, the hear-
ing members shall assign sanctions. Sentencing decisions shall be made by a majority of two out of three hearing members.

Past academic integrity violations are relevant to these deliberations. The faculty advisors are responsible for obtaining this information from the office of the AVPAA. The faculty advisors will not disclose this information to any hearing panel member unless a determination of responsibility has been made. Such knowledge will be used in determining the specific sanctions.

Note that, according to the Honor Code, “If a student is suspended or expelled by the Academic Honor Council, an automatic appeal will be registered with the President of Trinity University for a final decision. The dispositive authority of the Council shall not prejudice the executive powers of the President of the University including executive privilege of granting pardon or clemency” (Chapter 6K, Article III.F.5).

3. Sanctioning Guidelines

a. Every student found in violation of the Academic Honor Code shall be given the following three sanctions:

1) An F (zero credit) on assignment;

2) Required completion of a CD-ROM program focusing on ethical principles as they apply to academic integrity;

3) Academic Honor Code probation.

In addition, the student will receive one of the following grade sanctions:

Lower course grade by 1, 2, or 3 full letter grades. F in the course.

b. If a student is repeatedly found in violation of the Academic Honor Code, more severe sanctions shall be imposed. Suspension for a semester shall routinely be applied for second offenses. Any further violation of the Academic Honor Code may result in expulsion from the University.

1) Suspension — from classes and all other activities for remainder of semester with an F for the course in which the violation took place and Ws for all other courses in which the student is enrolled.

2) Expulsion — from the University with no option to re-enroll.

c. If a student not enrolled in a course knowingly gives significant unauthorized help on an assignment or an examination completed by another
CHAPTER 6. INSTRUCTIONAL POLICIES, RESPONSIBILITIES, AND GUIDELINES

student, s/he will be subject to the following sanctions:

1) Academic Honor Code Probation.

2) Required completion of a CD-ROM program focusing on ethical principles as they apply to academic integrity.

3) If a student is found in violation of the Academic Honor Code in the above way for a second time, a more severe sanction may be imposed that may include suspension from all classes for the remainder of the semester.

d. If a student is found in violation of the Academic Honor Code for an activity that is not involved with coursework, s/he will be subject to the following sanctions:

1) Academic Honor Code probation

2) Required completion of a CD-ROM program focusing on ethical principles as they apply to academic integrity.

3) No gain from the action that was found in violation.

4) Other sanctions that would be appropriate to the violation given the circumstances of the violation.

F. Procedures for Appealing a Decision

1. Philosophical Premises for the Appeals Process

   a. An appeal must have merit and must be sufficiently justified.

   b. The appeals process shall be operated by students in keeping with every other aspect of administration of the Academic Honor Code. An Academic Honor Council faculty advisor shall again be present in order to ensure due process.

2. Composition

   a. The Appeals Board shall be made up of seven (7) members of the Academic Honor Council selected by the internal chair.

   b. Among these seven (7) members, there shall be one of the three (3) original hearing members (one who voted with the majority) in order to offer insight into the rationale for the original decision without having sufficient
power to uphold that decision should the majority of the Appeals Board disagree with it.

The original panel member is not to serve as the presiding member on the Appeals Board. Case-presenters assigned to the case being appealed cannot serve on the Appeals Board.

3. Basis for Appeal of an Academic Honor Council Decision

a. After the judgment of the Academic Honor Council has been rendered, the accused student or the professor of the course in which the violation occurred may appeal on the following grounds:

   1) The Academic Honor Council procedure was improperly followed during the adjudication process.

   2) New evidence relevant to the case comes to light.

   3) The faculty member responsible for the course at issue appeals on the grounds that the sanction is inappropriate.

b. The letter of appeal shall include the basis for appeal, substantiation of such assertions, and the names of any pertinent witnesses.

4. Procedures for Appeal Process

a. Professors, other complainants, or accused students who wish to appeal the Academic Honor Council’s decision shall submit their request in writing to the external chair within five (5) class days following receipt of the Academic Honor Council’s opinion or the discovery of new information.

The external chair shall notify the internal chair, the accused student, the originating complainant, the faculty advisors, and the AVPAA of the receipt of any petition for rehearing by the end of the first class day following the day of its receipt.

The internal chair, by the end of the second class day following notification by the external chair, will assemble the Appeals Board, appointing one of the seven (7) members to preside over the appeals board. The internal chair will notify these members of their appointment and set a date for all seven (7) members and the faculty advisor(s) to meet. The internal chair will also notify the accused student and originaing complainant of the date, and encourage both to attend.

b. Any sanctions imposed by the Academic Honor Council shall be delayed during the appeals process.
c. In cases of appeals for a rehearing to reconsider a finding of “Responsible” or “Not Responsible,” a majority of four (4) members of the Appeals Board must concur on the viability of the basis for appeal in order for the Council to rehear a case. In this event, the case shall be reheard as soon as possible.

Once an Appeals Board is convened to consider a petition for rehearing, the presiding member reads the petition and the facts of the original case are presented. The Appeals Board will hear from the petitioner should he or she be present and willing to address the board. The Appeals Board will then hear from the other party should he or she desire to respond to the petition. Both petitioner and respondent will be heard separately. The Appeals Board then considers the petition and renders a decision to rehear the case based on a majority vote of the seven members. A faculty advisor must be present for deliberation to ensure due process.

Should a rehearing be granted, the presiding member will so inform the internal chair, who shall schedule a rehearing as soon as possible and notify all parties involved of the date and time of the rehearing. Parties should be given at least five (5) class days to prepare for the hearing.

d. In the case of appeals for a change of sanction, the Appeals Board may accept the appeal by majority vote of four, without further action.

In the case of an appeal of a sanction, the Appeals Board will hear from the petitioner should he or she be present and willing to address the Board. The Appeals Board will then hear from the student should he or she desire to respond to the petition. A faculty advisor must be present for deliberation to ensure due process.

e. The rehearing shall follow the same procedures as the original hearing. The members of the Appeals Board for the appeal of the case will serve as the rehearing panel.

The presiding member of the Appeals Board will be the presiding member of the rehearing. The same case-presenters who served on the original case will serve in the rehearing unless the basis for appeal involved one of the case-presenters. In such a case, the internal chair will assign a new case-presenter. A faculty advisor, as usual, must be present to ensure due process.

f. In the rehearing, a majority of the Appeals Board members may reverse the original decision.
The presiding member of the rehearing panel will notify the accused student, the originating complainant, and the AVPAA of the rehearing panel’s decision by the end of the same day the rehearing panel meets. The announcement of the opinion and the release of the written opinion will follow the same procedure as that pertaining to an original opinion.

5. Procedure for Appealing Suspension or Expulsion

If a student is suspended or expelled by the Academic Honor Council, an automatic appeal will be registered with the President of Trinity University for a final decision. The dispositive authority of the Council shall not prejudice the executive powers of the President of the University including executive privilege of granting pardon or clemency.

IV. MISCELLANEOUS GUIDELINES

The Rights and Responsibilities of Faculty Members in Relation to the Academic Honor Code

- It is the Academic Honor Council’s responsibility to assign sanctions for infractions of the code. Please note that the Council members are not grading a student’s work; they are assigning a penalty that will affect the student’s grade.

- It is the faculty member’s right, if s/he objects to the assigned penalty, to appeal the Council’s decision.

- While the responsibility of assigning penalties for violations has been transferred to the Academic Honor Council, the entire University community benefits from the resulting campus-wide consistency of the sanctions.

- It is the faculty member’s responsibility to be clear about which assignments are “collaborative” and which are not. For instance, instructors who designate an assignment as collaborative may indicate so on the syllabus as well as on any written instructions. Additionally, instructors may wish to require students to include a “Collaborative Statement” with the assignment on which the student cites the names of other collaborators. A simple statement such as, “I worked on the assignment/problem with . . . and received help from . . .” could suffice.

- It is the faculty member’s responsibility to participate in any relevant Academic Honor Council hearing.

Reporting of Violations
All complaints, whether originating with a student or a faculty member, should go directly to the Academic Honor Council. Students are discouraged from reporting a violation to the professor for two reasons: first, to protect the reputation of the student reporting the violation; and second, to protect the impartiality of the professor toward the accused student should the accusation be found to be false. In some cases, however, it may be advisable for the accusing student to contact the professor, after consultation with the external chair of the Honor Council.

**Proctoring of Exams**

It is entirely within the instructor’s discretion whether to proctor an exam. Unproctored exams shall be an option.

**Maintenance of “Test Files” by Student Organizations**

Keeping records of tests, papers, or other assignments belonging to former students, even for the sake of consultation, violates the spirit of academic honesty. Organizations must not keep such files. Responsible individuals within organizations that have such files may be charged with violations of the Academic Honor Code.

**Rights of Students in Academic Honor Council Hearings**

- To seek advice from an Academic Honor Council member in confidence before alleging a case against someone.
- To claim that you are responsible or not responsible for the charges.
- To have an appointed Academic Honor Council member serve as a case-presenter on your behalf.
- To call pertinent witnesses to a hearing, pending approval.
- To have a confidential investigation and judicial process as well as a closed hearing.
- To appeal any decisions to the Academic Honor Council, and as a last resort, in cases where a student has been suspended or expelled, to the President of Trinity University.

**Responsibilities of Students Involved in an Academic Honor Council Hearing**

- To attend the hearing, unless you have a documented academic conflict.
- To represent your case honestly and respectfully.

**Glossary**

- **External Chair**: the Academic Honor Council officer primarily in charge of communicating with the University community, for receiving complaints, and for promoting education about the Academic Honor Code.
- **Internal Chair:** the Academic Honor Council officer who manages internal assignments and documents.

- **Case-Presenters:** those assigned to help students, faculty, and/or staff in the presentation of their case – one member presenting the complaint on behalf of the University and one member presenting the report on behalf of the accused student.

- **Hearing Members:** the panel of three members assigned to adjudicate a given case.

- **Appeals Board:** the panel of seven members assigned to consider appeals and rehear cases.

- **Academic Honor Code Advisor:** a faculty member with up to a three-year term responsible for aiding the Academic Honor Council with procedural consistency and for assisting the Office of Academic Affairs with faculty communications.

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**V. ASSESSMENT PROCEDURES**

A. The Academic Honor Code Council will submit an annual report to the Faculty Senate, the Association of Student Representatives, and the Vice President for Faculty and Student Affairs so that the implementation of this Code may be assessed and any necessary changes recommended.

B. A formal review of the Academic Honor Code will be conducted every fifth year, in academic years in which the spring semester ends in -0 or -5. The review will be conducted by a review committee to determine how well the honor code system is operating and to recommend any necessary changes. The review committee will be appointed by the Vice President for Faculty and Student Affairs and will consist of two faculty members nominated by the Faculty Senate, two students nominated by the Association of Student Representatives, and one member of the Administration. If the Faculty Senate, the Association of Student Representatives, or the Administration believes that a change to the Academic Honor Code is necessary, the amendment procedures outlined in Chapter 6K, Article VI (Amendments) will be followed.

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**VI. AMENDMENTS**

The following procedure will be followed if at any time the faculty, Association of Student Representatives, the Honor Council, or the Vice President for Faculty and Student Affairs believes that an amendment to the Academic Honor Code is necessary.

A. Whichever group wishes to propose an amendment must present it in writing to the Faculty Senate, along with a statement outlining the reasons for the amendment.
CHAPTER 6. INSTRUCTIONAL POLICIES, RESPONSIBILITIES, AND GUIDELINES

B. When the Faculty Senate has approved an amendment to the Academic Honor Code, the Faculty Senate will submit the amendment as a motion for consideration at a stated meeting of the Academic Faculty Assembly; the Faculty Senate will circulate the proposed amendment in writing to the Academic Faculty at least fourteen (14) days prior to the meeting at which it will be considered. The Academic Faculty Assembly must approve the amendment by a majority vote.

C. The Association of Student Representatives must pass a Resolution of Adoption of the amendment by a majority vote.

D. The administration must approve the amendment.

E. If the amendment receives a favorable vote from the Academic Faculty Assembly, the Association of Student Representatives, and the administration, it shall become a part of the Academic Honor Code.

F. The Board of Trustees will be advised of any amendment to the Academic Honor Code.
Chapter 7

Administrative Policies

Contents

(7A) Fiscal, Safety, and Health Policies ........................................ 333

(7B) Information Technology Policies ......................................... 335
  I. Acceptable Use Policy .................................................. 335
  II. Network Protection Policy ............................................. 337
  III. Password Policy ...................................................... 338
  IV. Mass Email ............................................................. 339
  V. Security Policy ......................................................... 340
  VI. Information Security Incident Response Policy ................. 342
  VII. Cell Phone Purchasing Policy .................................... 344
  VIII. Administrator Access Policy .................................... 345
  IX. Student Computer Service Center Policy .......................... 347
  X. Computing Lab Policy ................................................ 351
  XI. Patch Management Policy .......................................... 352
  XII. Web Privacy Statement ............................................ 354
  XIII. VPN Policy .......................................................... 356
  XIV. Electronic Communication ....................................... 358
  XV. World-Wide Web Policy .......................................... 360

(7C) Use of Facilities ......................................................... 362
  I. Definitions ............................................................. 362
  II. General Principles ................................................ 363

331
Faculty and contract staff are required to abide by and should familiarize themselves with policies and procedures found in the handbook *Fiscal Affairs Policies and Procedures*, especially including the following:

A. **Alcoholic Beverages on Campus.** Refer to “Alcoholic Beverages on Campus” in the handbook *Fiscal Affairs Policies and Procedures*.

B. **Cash Overage/Shortage Procedures.** Refer to the section on Cash Overage/Shortage Procedures under “Handling and Accounting for Cash Policy” in the handbook *Fiscal Affairs Policies and Procedures*.

C. **Drug and Alcohol Abuse.** Refer to “Drug and Alcohol Abuse” in the handbook *Fiscal Affairs Policies and Procedures*.


E. **Firearm Policy.** Refer to “Firearm Policy” in the handbook *Fiscal Affairs Policies and Procedures*.

F. **Handling and Accounting for Cash by University Personnel.** Refer to “Handling and Accounting for Cash Policy” in the handbook *Fiscal Affairs Policies and Procedures*.


I. **Key Control and Issue Policy.** Refer to “Key Control and Issue Policy” in the handbook *Fiscal Affairs Policies and Procedures*.

J. **Medical Emergencies.** Refer to “Medical Emergencies” in the handbook *Fiscal Affairs Policies and Procedures*.

K. **Microcomputer Insurance.** Refer to the section on Electronic (Microcomputer) Equipment under “Property and Equipment” in the handbook *Fiscal Affairs Policies and Procedures*.

L. **Petty Cash Management.** Refer to the section on Petty Cash Management under “Handling and Accounting for Cash Policy” in the handbook *Fiscal Affairs Policies and Procedures*.

M. **Receipt, Custody, and Disbursement of Monies.** Refer to the section on Receipt, Custody, and Disbursement of Moneys under “Handling and Accounting for Cash Policy” in the handbook *Fiscal Affairs Policies and Procedures*.
Fiscal Affairs Policies and Procedures.


P. Sexual Assault Programs and Procedures. Refer to “Sexual Assault Programs and Procedures” in the handbook Fiscal Affairs Policies and Procedures.

Q. Smoking Policy. Refer to “Smoking Policy” in the handbook Fiscal Affairs Policies and Procedures.

R. Staff Identification Card. Refer to “Staff Identification Card” in the handbook Fiscal Affairs Policies and Procedures.

S. Travel Policy. Refer to “Travel Policy” in the handbook Fiscal Affairs Policies and Procedures for information on reimbursement for properly documented expenses in conjunction with approved travel.

T. Use of Institutional Name or Logo (Trademark Policy Statement).

Refer to “Use of Institutional Name or Logo” in the handbook Fiscal Affairs Policies and Procedures.
I. ACCEPTABLE USE POLICY

A. Purpose

The hardware and software that constitute Trinity’s computing network are vital to the operation of the university. Inappropriate use of the network can detrimentally affect our ability to accomplish the institution’s mission. Every user of the network has a responsibility to utilize these shared resources in an appropriate manner. The Acceptable Use Policy addresses that responsibility.

B. Scope

The Acceptable Use Policy applies to all users of the Trinity computing network.

C. Policy

Network users are expected to respect restrictions on authorized access to network information and resources. Violations of this policy include activities such as:

- use of another user’s password (with or without their knowledge);
- sharing of one’s own password with another user;
- employing either directly or by implication a false identity when using an account or other network resources;
- attempts to gain access to information or resources for which a user does not have explicit authorization;
- giving another individual the means to access data or resources they are not authorized to access;
- obtaining, possessing, using, or attempting to use passwords or other information about someone else’s account;
• inspecting, modifying, distributing, or copying data, mail, messages, or software without
  proper authorization, or attempting to do so;
• tapping phone or data lines; accessing files by circumventing privacy or security restrictions.
• violations of copyright as in recording or taping of entertainment media without payment of
  fees or permission of copyright holder.

Network users are expected to treat all network hardware with care and are expected to utilize all
network resources in ways that respect the other network users. The following activities constitute
violations of this policy:

• damaging University hardware,
• introducing viruses,
• deliberately slowing a system,
• attempting to crash a system.

Discriminatory, demeaning, or abusive behavior may be subject to the University’s Policy State-
ment on Harassment as described in the Faculty and Contract Handbook or the Student Conduct
Polices on Respect for Self, Others, and the Community, Respect for Property, Personal Respon-
sibility, or Harassment as described in the Student Handbook.

Network users are expected to use systems for authorized purposes only. Violations include activ-
ities such as:

• advertising for a commercial organization,
• running a business,
• activities that violate state or federal law.

D. Definitions

The Trinity computing network is the group of stations (computers, telephones, or other devices)
owned or operated by Trinity University connected by communications facilities owned or operated
by Trinity University for exchanging information. Connection can be permanent, via cable, or
temporary, through telephone or other communications links. The transmission medium can be
physical (e.g., fiber optic cable) or wireless (e.g., satellite, wi-fi).
II. NETWORK PROTECTION POLICY

A. Purpose

The hardware and software that constitute Trinity’s computing network are vital to the operation of the university. Viruses, malware, computer vulnerabilities and inappropriate use of the network are a threat to these resources and can detrimentally affect the ability to accomplish the institution’s mission. Trinity University has a responsibility to maintain these resources and ensure they are used in an appropriate manner.

B. Scope

The Network Protection Policy applies to all users of the Trinity computing network.

C. Policy

Trinity University has the responsibility to protect valuable network resources and the confidentiality of sensitive personal information from any and all threats. In keeping with this responsibility, Trinity University scans computer hardware devices connected to the Trinity computing network for key security vulnerabilities. Where sufficient cause has been found to indicate a threat to the network, a threat to the university or a violation of federal or state law, Trinity may disable the network access of the offending hardware device. Any attempt by a user to circumvent the system or process of scanning for key security vulnerabilities is a violation of this policy.

Use of the Trinity computing network constitutes the user’s acceptance of this policy.

D. Definitions

The Trinity computing network is the group of stations (computers, telephones, or other devices) owned or operated by Trinity University connected by communications facilities owned or operated by Trinity University for exchanging information. Connection can be permanent, via cable, or temporary, through telephone or other communications links. The transmission medium can be physical (i.e. fiber optic cable) or wireless (i.e. satellite).
III. PASSWORD POLICY

A. Purpose

Passwords are an important aspect of computer security. A poorly chosen password may result in the compromise of Trinity University’s entire network. The purpose of having a password policy is to ensure a more consistent measure of security for Trinity’s network and the information it contains. The implementation of this policy will better safeguard the personal and confidential information of all individuals and organizations affiliated, associated, or employed by Trinity University. Additionally, this policy establishes a standard for creation of strong passwords, the protection of those passwords, and the frequency of change of passwords.

B. Scope

The Password Policy applies to all persons accessing the Trinity University network regardless of their capacity, role or function. Such persons include students, faculty, staff, third party contractors, visitors (guests), consultants and employees fulfilling temporary or part-time roles.

C. Policy

- All Trinity owned electronic devices must, if possible, have password protection enabled.
- All passwords (e.g., email, web, voice mail, computer, PDA, BlackBerry, etc.) must be changed at least every 12 months. Individuals with access to critical areas of information will be required to change their T.U. password at least every 90 days. Such users will be identified by the Director of Information Technology Services. For example, employees of Trinity University with “change level access” to the university administrative system(s) will be required to change their passwords every 90 days.
- Passwords must not be inserted into email messages or other forms of electronic communication and should not be shared with anyone, including via email or phone conversations.
- Passwords should not be written down or stored electronically without encryption.
- All passwords must be at least 8 characters long, contain at least 2 numbers or special characters, not be a word in the dictionary, and not be part of your name or user name. If the device or application does not permit a password to meet these criteria, the password should satisfy as many of these criteria as possible.

Guidelines and suggestions for creating strong passwords can be found at: http://iraa.trinity.edu/x276.xml
IV. RECURRING MASS E-MAIL OPT-OUT POLICY

A. Purpose

To ensure that network system resources are not strained and important communications via email are not overlooked or discarded by users, the number of recurring, large mass email messages received by users from university departments and offices should be kept to a minimum.

B. Scope

The Recurring Mass Electronic Messaging Opt-Out Policy applies to all users, departments and offices that send recurring mass email messages to Trinity email accounts through the Trinity computing network.

C. Policy

Recurring mass e-mail messages, with a total size of 1MB or larger (including any attachments), sent to Trinity email accounts through the Trinity computing network, must provide the recipients with the option to opt-out from receiving further messages. Therefore, all recurring mass e-mail messages with a total size of 1MB or larger must be sent through the Lyris listserv ListMan-ager. Initial set up of a recurring e-mail list in Lyris, must be requested through the ITS Helpdesk. Upon set up, lists may include all students, faculty, staff and alumni if requested. Thereafter, all messages sent to the Lyris list will automatically include an opt-out notice in the footer of the message. The opt-out notice will instruct users how to opt-out from receiving further messages.

D. Definitions

Trinity email accounts are individual email accounts provided by the university to students, faculty and staff with an address of @trinity.edu.

The Trinity computing network is the group of stations (computers, telephones, or other devices) owned or operated by Trinity University connected by communications facilities owned or operated by Trinity University for exchanging information. Connection can be permanent, via cable, or temporary, through telephone or other communications links. The transmission medium can be physical (i.e. fiber optic cable) or wireless (i.e. satellite).
Recurring mass email messages are mass e-mail based messages that are sent by users, departments or offices regularly or on a scheduled basis to many recipients of the Trinity University community. This includes, but is not limited to, newsletters.

V. INFORMATION TECHNOLOGY SECURITY POLICY

(Pursuant to Gramm Leach Bliley Act Information Safeguards Rule)

A. Purpose

This document summarizes Trinity University’s comprehensive written information security policy (the “Policy”) mandated by the Federal Trade Commission’s Safeguards Rule and the Gramm – Leach – Bliley Act (“GLBA”). In particular, this document describes the Program elements pursuant to which the Institution intends to (i) ensure the security and confidentiality of covered records, (ii) protect against any anticipated threats or hazards to the security of such records, and (iii) protect against the unauthorized access or use of such records or information in ways that could result in substantial harm or inconvenience to clients. The policy incorporates by reference, the Institution’s existing policies and procedures and is in addition to any institutional policies and procedures that may be required pursuant to other federal and state laws and regulations, including, without limitation, Family Education Rights and Privacy Act (FERPA).

Designation of Representatives: The Institution’s Information Security Administrator is designated as the Program Officer who shall be responsible for coordinating and overseeing the Policy. The Program Officer may designate other representatives of the Institution to oversee and coordinate particular elements of the Policy. Any questions regarding the implementation of the Program or the interpretation of this document should be directed to the Program Officer or his or her designees.

B. Scope

The Information Technology Security Policy applies to any record containing nonpublic financial information about a student or other third party who has a relationship with the Institution, whether in paper, electronic or other form, that is handled or maintained by or on behalf of the Institution or its affiliates. For these purposes, the term nonpublic financial information shall mean any information (i) a student or other third party provides in order to obtain a financial service from the Institution, (ii) about a student or other third party resulting from any transaction with the Institu-
tion involving a financial service, or (iii) otherwise obtained about a student or other third party in connection with providing a financial service to that person.

C.  Policy

1. Risk Identification and Assessment. The Institution intends, as part of the Policy, to undertake to identify and assess external and internal risks to the security, confidentiality, and integrity of nonpublic financial information that could result in the unauthorized disclosure, misuse, alteration, destruction or other compromise of such information. In implementing the Policy, the Program Officer will establish procedures for identifying and assessing such risks in each relevant area of the Institution’s operations, including:

   • Employee training and management. The Program Officer will coordinate with representatives in the Institution’s Human Resources and Financial Aid offices to evaluate the effectiveness of the Institution’s procedures and practices relating to access to and use of student records, including financial aid information. This evaluation will include assessing the effectiveness of the Institution’s current policies and procedures in this area.

   • Information Systems and Information Processing and Disposal. The Program Officer will assess the risks to nonpublic financial information associated with the Institution’s information systems, including network and software design, information processing, and the storage, transmission and disposal of nonpublic financial information. This evaluation will include assessing the Institution’s current polices and procedures relating to Acceptable Use Policy, Information Technology Security Policy, and Records Retention Policy. The Program Officer will also assess procedures for monitoring potential information security threats associated with software systems and for updating such systems by, among other things, implementing patches or other software fixes designed to deal with known security flaws.

   • Detecting, Preventing and Responding to Attacks. The Program Officer will evaluate procedures for and methods of detecting, preventing and responding to attacks or other system failures and existing network access and security policies and procedures, as well as procedures for coordinating responses to network attacks and developing incident response teams and policies. In this regard, the Program Officer may elect to delegate to a representative of the Department of Information Technology the responsibility for monitoring and participating in the dissemination of information related to the reporting of known security attacks and other threats to the integrity of networks utilized by the Institution.

2. Designing and Implementing Safeguards. The risk assessment and analysis described above shall apply to all methods of handling or disposing of nonpublic financial information, whether in electronic, paper or other form. The Program Officer will, on a regular basis, implement safeguards to control the risks identified through such assessments and to regularly test or otherwise monitor
the effectiveness of such safeguards. Such testing and monitoring may be accomplished through existing network monitoring and problem escalation procedures.

3. **Overseeing Service Providers.** The Program Officer shall coordinate with those responsible for the third party service procurement activities among the Department of Information Technology and other affected departments to raise awareness of, and to institute methods for, selecting and retaining only those service providers that are capable of maintaining appropriate safeguards for nonpublic financial information of students and other third parties to which they will have access. These standards shall apply to all existing and future contracts entered into with such third party service providers, provided that amendments to contracts entered into prior to June 24, 2002 are not required to be effective until May 2004.

4. **Adjustments to Program.** The Program Officer is responsible for evaluating and adjusting the Program based on the risk identification and assessment activities undertaken pursuant to the Program, as well as any material changes to the Institution’s operations or other circumstances that may have a material impact on the Program.

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### VI. INFORMATION SECURITY INCIDENT RESPONSE POLICY

#### A. Purpose

According to [Texas Senate Bill 122](https://www.capitol.texas.gov) Section 48.102 the university “shall implement and maintain reasonable procedures, including taking any appropriate corrective action, to protect and safeguard from unlawful use or disclosure of any sensitive personal information collected or maintained in the regular course of business.”

The purpose of this policy is to provide the basis of appropriate response to incidents that threaten the confidentiality, integrity, and availability of university digital assets, information systems, and the networks that deliver the information.

#### B. Scope

The Information Security Incident Response Policy applies to all users of the Trinity computing network.
C. Policy

Intrusion attempts, security breaches, theft or loss of hardware and other security related incidents perpetrated against the University must be reported to Information Technology Services.

Anyone with knowledge or a reasonable suspicion of an incident which violates the confidentiality, integrity, or availability of digital information will make an immediate report to the following e-mail address: infosec@trinity.edu. Upon notification of an incident the Information Security Administrator will investigate and, as needed, escalate, remediate, or refer to others. The incident will be documented providing a general description of events, approximate timelines, parties involved, resolution of the incident, external notifications required and recommendations for prevention and remediation. All external notification must be approved by the V.P. for Information Resources and carried out in accordance with Texas Senate Bill 122 known as the Identity Theft and Protection Act.

D. Definitions

The Trinity Computing Network is the group of stations (computers, telephones, or other electronic devices) owned or operated by Trinity University, connected by communications facilities owned or operated by Trinity University for exchanging information. Connection can be permanent, via cable, or temporary, through telephone or other communications links. The transmission medium can be physical (i.e. fiber optic cable) or wireless (i.e. satellite, radio or otherwise).

Sensitive Personal Information as defined by the Texas Senate Bill 122 means “an individual’s first name or first initial and last name combination with any one or more of the following data elements (when the name or data element is not encrypted):

- Social security number
- Driver’s license or government issued identification number
- Account number or credit or debit card number in combination with any required security code, access code, or password that would permit access to an individual’s financial account.
- Does not include publicly available information that is lawfully made available to the general public from the Federal government or a state or a local government” (2-3).

Examples of Security Incidents:

- The theft of physical loss of computer equipment known to store SSNs
- Loss or theft of PDA, BlackBerry or other mobile device
- A server known to have sensitive data is accessed or otherwise compromised by an unauthorized party
• A firewall accessed by an unauthorized entity
• A DDoS (Distributed Denial of Service) attack
• The act of violating an explicit or implied security policy
• A virus or worm uses open file shares to infect from one to hundreds of desktop computers
• An attacker runs an exploit tool to gain access to a University server’s password file


VII. CELL PHONE PURCHASING POLICY

A. Purpose

To provide guidance to departments and employees regarding cell phone purchases and services supplied by Trinity University.

B. Scope

The Cell Phone Purchasing Policy applies to anyone currently possessing or purchasing a cell phone or device through a Trinity University account or with Trinity University funds.

C. Policy

• Cell phones purchased with a Trinity Account should be approved by ITS prior to purchase. Information Technology Services will be unable to support unapproved cell phones.
• AT&T Wireless (formerly Cingular) will be the provider for cellular services for Trinity University. Cell phones that are currently operating under a different service provider should be migrated to AT&T once the current contract expires.
• Cell phone rate and data plans should be coordinated with ITS.
• Each purchasing unit will be responsible for the payment of each cell phone belonging to their department, including change of plans and porting fees.
- For lost or stolen cell phones, the end user is responsible for notifying the department head and ITS. The end user is responsible for filing a lost or stolen property report with Trinity University campus safety.

- Any cell phone (including Blackberry, iPhone) supported by AT&T will likely be supported by ITS.

How to switch from your current provider:

Please contact the Manager of Telecommunications in ITS (x7414). Please be ready to provide the following information:

- Cell phone number.
- Current provider.
- Cell phone account number.
- Expiration date of current contract.
- Name on current account.
- Current voice and data rate plan.
- New cell phone model you have selected from http://www.att.com/shop/wireless.html.
- Department account number that new service plan and equipment will be charged to.

Proper disposal of cell phones no longer in use:

Cell phones and cell phone equipment purchased through Trinity University accounts or with Trinity University funds that have been replaced and or are no longer in use should be sent to Trinity Information Technology Services (ITS) for proper disposal.

Before cell phones are turned over to ITS for disposal, a reasonable attempt should be made to delete and erase all information from the phone. ITS will then wipe clean the memory of the phone again before properly disposing of it.

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VIII. ADMINISTRATOR ACCESS POLICY

A. Purpose

This document defines Trinity University’s policy regarding local administrator rights to Trinity University owned workstations.
CHAPTER 7. ADMINISTRATIVE POLICIES

The University is committed to providing members of Trinity community with reliable technology in stable operating condition while appropriately addressing the University needs and maintaining University system integrity and data security.

B. Scope

The Administrator Access Policy applies to all users who are granted “Administrator” access on Trinity University owned computers or workstations.

C. Policy

By default all Trinity Faculty/Staff members are assigned General access level rights on their individual workstations. Exceptions may be granted to Faculty/Staff members who require Administrator level access to perform job related tasks.

Individuals may request administrator level access through the ITS Helpdesk (helpdesk@trinity.edu or x7409) and sign the Request for Administrator Access document (provided by ITS), acknowledging that they have read the Use of Trinity University Computing Network policy and Administrator Access policy. The use of these rights and the level of access to the workstation are to be in accordance with the “Use of Trinity University Computing Network” policy.

D. Guidelines

- Trinity University workstations are university property and are intended for university business.
- Individuals should only install software related to university business.
- Individuals should not install software that may damage files and expose Trinity University’s network to virus attacks and malicious coding.
- Individuals should refrain from installing software which may monopolize local processor power, resulting in noticeable system slowdown or degradation of performance.
- Individuals should not install applications that may establish network share protocols which result in an increase in bandwidth utilization as this may cause network congestion and degradation of network performance across wide areas of the campus.
- Individuals should not download or install applications (software) that are illegal or not licensed on university owned equipment.
• Individuals who download or install applications (software), other than those included in the standard configuration for all university computers, are responsible for retaining documentation of appropriate licenses. Individuals are also responsible for re-installing this non-standard software if necessary.

E. Support

• Non-standard software will be removed as part of a normal repair process if necessary to restore system functionality.

• In the event of computer or network performance issues associated with a computer enabled with administrator level access, ITS will only restore the computer to the standard configuration for all university computers.

• The occurrence of repeated instances of OS integrity problems may result in the removal of administrator level access in order to prevent continued challenges in supporting the computer.

F. Definitions

**Administrator access** level allows the user to have complete and unrestricted access to the computer. This includes the ability to install any hardware or software, edit the registry, manage the default access accounts and change file level permissions. Manipulating these may cause serious stability issues with your system.

**General access** level allows most administrative powers with some restrictions. Installation of software or hardware that makes changes to the underlying operating system will require the assistance of ITS. General Access Level will generally assure the highest level of stability for a computer.

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IX. STUDENT COMPUTER SERVICE CENTER POLICY

A. Purpose

The purpose of the Student Computer Service Center Policy is to provide guidelines for students administering and receiving computer and network related services.
B. Scope

The Student Computer Service Center policy applies to Residential Computer Consultants (RCC) and students.

C. Policy

RCC Responsibilities

RCCs are required to:

- Conduct themselves in a professional manner when servicing student machines.
- Respect and protect the privacy of student data.
- Present, discuss, and have student sign a TigerNet Service Invoice.
- Contact student through Trinity email when service has been completed.
- Avoid conflicts of interest with the University, e.g., by offering competing services to the students.

Student Responsibilities

Students receiving computer assistance will:

- Pick up their computer within one class day of being notified that the service has been completed.
- Stay with the RCC in the residence hall room until the tasks are completed – leaving the RCC alone to service a computer will terminate the service in progress, requiring the student to seek assistance at a later date.
- Provide a smoke free working environment in the residence hall room without obstacles in and around the work area.
- Pay the required fees listed in the Residential Network Fee Schedule.

Services and Associated Fees

When servicing student computers the Student Computing Services Fee Schedule will apply to the services rendered.

Please see the Student Computing Services Fee Schedule (http://web.trinity.edu/x933.xml) for the current fee associated with the following services:

- Reinstalling operating system
• Software installation
• Virus/Spyware/Adware removal
• Port deactivation/reactivation

Please note that hardware removal or installation is not supported.

Reinstalling Operating Systems

Reinstalling operating systems may be necessary if damage to the existing operating system occurs through virus infection, intrusion by a hacker, or spyware related programs, to name a few. A student may either have a Residential Computer Consultant (RCC) or ITS technician reinstall the operating system for the fee listed above, or may choose to reinstall the operating system him or herself.

Whether an RCC or ITS technician reinstalls the operating system or the student reinstalls the operating system, the student is responsible for backing up the data he or she wishes to keep. RCCs will not be responsible for backing up data.

If a student chooses to have his or her operating system reinstalled by an RCC or ITS technician, the software and license must be legitimately owned by the student or licensed through the university.

Trinity University provides all students with the software and instructions necessary to perform an installation of supported and university provided software. These materials can be found at the Circulation Desk located on the third floor, main entrance level, of the Elizabeth Huth Coates Library.

Before installing such software, the person conducting the installation should:

• Verify that the computer meets the minimum hardware criteria. These criteria may be found at http://iraa.trinity.edu/iraa/x360.xml.

• Select “Check System Compatibility” from the Welcome to Windows installation window. Instructions for checking system compatibility are included in the “Installing Windows – New Installation and Upgrading to Windows” instruction packets that can be acquired from the Circulation Desk located on the third level of Elizabeth Huth Coates Library.

• Assure that drivers for hardware devices are available for the Windows version being installed. In some cases, hardware drivers for specific devices will not be available for Windows or will be available only on the hardware manufacturer’s web site.

• Similarly the above applies to university provided software for the Apple platform.

RCCs or ITS technicians who reinstall an operating system will ensure that drivers to any hardware that was determined to be compatible with the software are installed and functioning correctly. The
CHAPTER 7. ADMINISTRATIVE POLICIES

RCC or ITS technician will also ensure that Symantec Anti-Virus software is installed and configured appropriately on the (Windows) machine before the project will be considered completed. Only with reinstallations of operating systems performed by an RCC or ITS technician will a student not be charged for the installation of Symantec Anti-Virus software.

Software Installation

Software installation refers to anti-virus, Microsoft, or MAC software that is legitimately licensed to the student or licensed through Trinity University for student use. Examples include Microsoft Office products, Symantec Anti-Virus Corporate Edition. Trinity University technicians or RCC’s will not install other types of software such as games, AIM, or BitTorrent clients.

Virus, Spyware, and Adware Removal

Malicious code and spyware can dramatically affect a computer’s performance. Such code includes viruses, worms, and spyware. To learn more about the differences among these types of malicious code, see Understanding the Difference between Trojan Horses, Viruses, Worms, and Spyware (http://web.trinity.edu/x295.xml).

While some malicious code can be removed without also installing software, the removal of spyware will require software to be installed on the computer in question and configured properly for effective cleaning.

Trinity cannot guarantee a student’s machine will function normally after the computer has been cleaned and cannot be held liable for the loss of intellectual data or integrity of the computer’s operating system. If the computer is experiencing residual effects after the malicious code has been removed, the computer’s operating system may have to be reinstalled. If the student’s operating system is functioning abnormally the student will be encouraged to reinstall it or have an RCC or ITS technician reinstall it.

Port Deactivation and Reactivation

Port deactivation can occur for, but is not limited to, a violation of the Acceptable Use policy. One of the main reasons that a port may be disabled would be if the Information Technology Services Department determines that a student’s PC is infected with malicious code. The port to that machine will be turned off until that machine has been cleaned. The computer can be cleaned by an RCC, a technician from the university’s ITS department, or by an outside source. If someone other than Trinity personnel cleaned the system, that computer must be inspected by a Trinity representative prior to accessing or connecting it to TigerNet.

Port deactivation may also occur for violations of copyright as in the illegal downloading of music, games, movies and other such media.

There is a charge for port reactivation. (See ResNet Fees Schedule)

Something to Consider
RCCs will attempt to resolve software related issues. However, depending on the degree of damage sustained to a computer’s operating system by malicious code or a file corruption, there may be residual effects that inhibit application features or reduce system performance. RCCs and Trinity University cannot be held liable either for virus infections or how the operating system responds to the removal.

Beware! If an issue has been resolved, such as spyware removal, it is possible and quite common for the same or similar problem to return quickly depending on the student’s Internet surfing and computing habits. If an RCC has to remove a virus or spyware problem again, the situation will be treated as a separate work order with the appropriate fees charged to the student.

D. Definitions

An RCC is a Resident Computer Consultant. RCC’s are students hired by Information Technology Services to assist students with their network configuration and connection to TigerNet. A student with connectivity issues may contact the Helpdesk x7409 or helpdesk@trinity.edu to receive assistance from an RCC.

X. COMPUTING LAB POLICY

A. Purpose

Trinity University maintains computing labs for academic, instructional, research, administrative and public service purposes. This policy is in place to ensure that the computing labs are kept functioning at an optimal level of effectiveness for all users.

B. Scope

All persons using Trinity University Computer Labs and equipment must abide by this policy. Violation of these policies may result in loss of computer lab privileges and other disciplinary action as described in the various handbooks issued by the University to students, faculty, and staff.

C. Policy

- Persons using laboratory equipment must have a Trinity University ID card valid for the current semester and must be able to produce the card upon request.
University computer labs must be used in a manner consistent with the policies of Trinity University including the “Acceptable Use Policy.”

All persons using the lab are responsible for backing up their own data and protecting their own information.

Printing from lab machines can be sent to a (Tiger Card’s) Pharos Print station. A Trinity University Tiger Card or guest print card will be needed to purchase printing.

Food, beverages, tobacco use, weapons, firearms or animals, except service animals, are prohibited in the labs.

Audio output or sound playing devices are permitted only with the use of headphones.

Use of two-way communication devices are prohibited in the labs. Ringers and alarms on these devices should be turned off or set to vibrate while in the labs.

Children are permitted in labs only if accompanied by a TU faculty or staff.

Whenever others are waiting, computer use is restricted to one-hour sessions.

Games that are part of class assignments are subjected to the time limits stated above.

ITS lab equipment may not be used for business purposes or in any for-profit venture.

Disabling computers by disconnecting cables, removing hardware, applying software locks or locking workstations will be considered vandalism and treated as such under University policy.

ITS employees, including ITS student workers, are responsible for maintaining order in the labs. Anyone violating these policies, or disturbing others in any way, will be asked to leave.

Persons with special needs requiring special access to computer laboratory equipment may contact Coordinator of Disability Services @999-7411.

XI. PATCH MANAGEMENT POLICY

A. Purpose

Security vulnerabilities are inherent in computing systems and applications. These flaws allow the development and propagation of malicious software which can disrupt normal business operations in addition to placing university data at risk. In order to effectively mitigate this risk, software “patches” are made available to remove a given security vulnerability.
Given the large number of computer workstations and servers that comprise the Trinity University network, it is necessary to utilize a comprehensive patch management solution that can effectively distribute security patches automatically when they are made available. The patch management solution has the ability to evaluate individual computer workstations and servers for vulnerabilities. Patches may then be automatically installed and, when necessary, the affected machine rebooted.

Effective security is a team effort involving the participation and support of every Trinity University employee and affiliate who is a user of the Trinity University computer network.

B. Scope

This policy applies to employees, contractors, consultants, temporaries, and other workers at Trinity University including all personnel affiliated with third parties. This policy applies to all equipment that is owned or leased by Trinity University such as all electronic devices, servers, application software, computers, peripherals, routers, and switches.

C. Policy

Many computer operating systems such as Microsoft Windows, Linux, Mac OS and others include software application programs which may contain security flaws.

Occasionally, one of those flaws permits a hacker to compromise a computer. A compromised computer threatens the integrity of the network and all computers connected to it. Almost all operating systems and many software applications have periodic security patches released by the vendor that need to be applied. Patches which are security related or critical in nature should be installed.

- In the event that a critical or security patch can not be centrally deployed by ITS, it must be installed in a timely manner using the best resources available.

- In the case of non Microsoft desktop operating systems where a centralized deployment is not available then installation should occur in a timely manner by a member of User Support Services or Network, Security, and System Services personnel or the end user.

Failure to properly configure new workstations is a violation of this policy. Disabling, circumventing or tampering with patch management protections and/or software constitutes a violation of policy.
D. Definitions

The Microsoft Windows Server Update Services (WSUS): enables information technology administrators to deploy the latest Microsoft product updates to computers running Microsoft Windows Server 2003, Microsoft Windows XP with Service Pack 1, and Windows 2000 with Service Pack 4 operating systems. By using WSUS, administrators can fully manage the distribution of updates that are released through Microsoft Update to computers in their network.

The WSUS server provides the features that administrators need to manage and distribute updates through the WSUS Administration Console, which can be installed and accessed on any Windows computer in the Trinity domain. It works by controlling the Automatic Updates applet already present on all Windows machines. Instead of many machines at Trinity all going to Microsoft’s website to download updates, the WSUS server downloads all updates to an ITS owned server and workstations on the Trinity domain look for updates.

Push Technology is used in client/server applications, to send data to a client without the client requesting it.

XII. WEB PRIVACY STATEMENT

Trinity University has adopted this Web Privacy Statement in order to inform users of University policies with respect to information collected on this website. Your use of this website constitutes your acceptance of this Privacy Statement and your consent to the practices it describes.

A. Your Privacy

Trinity University is committed to respecting your privacy and recognizing your need for appropriate protection and management of the personally identifiable information you share with us. The purpose of this Privacy Statement is to let you know what personally identifiable information we may collect from you when you visit our website, how we use such information.

B. Information We Collect

There are three types of information that may be collected during your visit: Network traffic and Web server logs, cookies, and information voluntarily provided by you.

Network Traffic and Web Server Logs
In the course of ensuring network security and consistent service for all users, the University may use software programs to do such things as:

- Analyze network traffic
- Identify unauthorized access
- Detect computer viruses and other software that might damage University computers or the network
- Monitor and maintain the performance of the University network

In the course of such monitoring, these programs may detect such information as e-mail headers, addresses from network packets and other information. Information from these activities is used solely for the purpose of maintaining the security and performance of the University’s networks and computer systems. Personally identifiable information from these activities is not released to external parties unless required by law.

The University Web servers collect and store information from Web site visitors to monitor Web site performance and to improve service. This information includes the following:

- Page visited
- Date and time of the visit
- Domain name or IP address of the referring site
- Domain name and IP address from which the access occurred
- Version of browser used and the capabilities of the browser

The University makes no attempt to identify individual visitors from this information: any personally identifiable information is not released to external parties unless required by law.

**Cookies**

Cookies are small bits of data stored on your hard drive on behalf of a Web site and returned to the Web site on request. This site may use cookies for two purposes: to carry data about your current session at the site from one Web page to the next, and to identify you to the site between visits. If you prefer not to receive cookies, you may turn them off in your browser, or may set your browser to ask you before accepting a new cookie. Some pages may not function properly if the cookies are turned off. Unless otherwise notified on this site, we will not store data, other than for these two purposes:

**Information Voluntarily Provided by You**

In the course of using this web site, you may choose to provide us with information to help us serve your needs. Such as:
CHAPTER 7. ADMINISTRATIVE POLICIES

- Name, address, phone, fax, email address of purchasing party
- Name, address, phone, fax, email address of order recipient
- Credit card information (card type, number, expiration date and owner’s name) of purchasing party

We will not sell, exchange or otherwise distribute your personally identifiable information without your consent, except to the extent required by law.

C. Our Commitment to Data Security

To prevent unauthorized access to your personal data, maintain data accuracy, and ensure the correct use of information, we have put in place physical, electronic, and managerial procedures to safeguard and secure the information we collect through this website.

D. External Links

Trinity University sites provide links to other World Wide Web sites or resources. We do not control these sites and resources, do not endorse them, and are not responsible for their availability, content, or delivery of services. In particular, external sites are not bound by the University’s Web privacy policy; they may have their own policies or none at all.

E. Changes to This Privacy Statement

We will occasionally amend this Privacy Statement. We encourage you to periodically review this policy to be informed of how we are committed to protecting your information and providing you with improved content on our website.

F. Questions about Our Privacy Statement

If you have questions about this site, its collection of information, and its Web privacy statement, contact the Trinity Helpdesk at: helpdesk@trinity.edu.

XIII. VIRTUAL PRIVATE NETWRK (VPN) POLICY

A. Purpose

The purpose of this policy is to provide guidelines for (Virtual Private Network) connections to access Trinity University’s internal network. Trinity University’s VPN server is designed to provide off-campus access to network resources available on the Trinity campus. Using the VPN server to access Internet resources external to Trinity University is not recommended.
B. Scope

This policy applies to employees with demonstrated need to access resources internal to the campus network.

C. Policy

- VPN access is available using university owned and approved laptops installed with a VPN client distributed by ITS. All requests for this service must be made by completing the VPN Access Request Form and approved by ITS. This form is available via the University Help Desk.

- By using the VPN technology employees must understand that university laptops are a de-facto extension of the Trinity University network, and as such are subjects to the same rules and regulations that apply to university computers on campus.

- VPN gateway/concentrators will be set up and managed by ITS.

- Users of this service are responsible for procurement and cost associated with acquiring basic Internet connectivity, and any associated service issue. VPN services work best over broadband connections (cable modem or DSL).

- It is the responsibility of the employee with VPN privileges to ensure that unauthorized users are not allowed access to the Trinity University campus networks.

- VPN access is controlled using an ID and password issued by the university for authentication.

- All VPN services are to be used solely for the approved business and/or academic support purpose. All users are subject to auditing of VPN usage.

- VPN users may be automatically disconnected from the Trinity network after fifteen minutes of inactivity.

- Disk encryption software will be installed on the laptop to safeguard information stored on the laptop.

- Current VPN software is available for Windows and Mac OS.

- All computers connected to the Trinity Network via VPN must use the university approved virus software and are subject to scanning before establishing a connection.
D. Definitions

Virtual Private Network (VPN) is a method for accessing a remote network uses encryption and tunneling to connect users securely over a public network, usually the Internet.

XIV. ELECTRONIC COMMUNICATION

A. E-Mail

The Trinity e-mail system is an official means of communication. The university views communication via e-mail to constitute being duly informed for faculty, staff and students. Reading e-mail and checking one’s e-mail is thus an obligation for all faculty, staff and students. Having one’s university e-mail forwarded to an off-campus account does not alter this obligation.

The Trinity University e-mail system is a delivery system for communication and does not constitute a long term storage system for documents delivered by e-mail. Therefore, the e-mail system ought not to be relied upon for the long-term retention of official records of the University. The University provides storage systems outside of the e-mail system for long-term retention such as the network storage drive. Storing such records may alternatively be accomplished by saving them to a CD, DVD, flash drive, or by printing them.

B. Voice Mail

As with e-mail, voice mail records are retained for two weeks. The VoIP telephone system cannot serve as a long term storage system for important voice mail communications. The retention of voice mail for the longer term may be accomplished by utilizing the university network storage system or copying such files to CD, DVD or flash drive.

C. Documents

Documents created by any user for which one needs reliable storage should utilize the university network based storage system and not rely solely on a copy stored on a local hard drive. Alternatively, such documents may be printed and stored.
D. Privacy

Trinity operates the e-mail system with full respect for privacy and confidentiality in accordance with relevant laws, regulations and university policy. While Trinity permits limited personal use of the e-mail infrastructure, those availing themselves of such privilege are subject to the same rules, regulations laws and policies as university business e-mail.

The custodians of the e-mail system must not inappropriately access or disclose the content of mail on the university e-mail system unless required by law to disclose such contents or in certain circumstances only with the permission of the university President. For example: When the correspondent is unavailable and the information is necessary for the conduct of university business or in a health or safety emergency.

Trinity University e-mail is hosted and supported by Google Apps. Google has signed a contract committing them to uphold a strict privacy policy and to always treat your personal information with the utmost care and security. For more information on Google’s privacy standards, please consult their Privacy Policy.

E. E-Mail Accounts

Graduates of Trinity will have their e-mail accounts disabled one year after graduation. Graduates who wish to maintain a Trinity e-mail address need to contact the Alumni Relations Office at alumni@trinity.edu.

Individuals resigning from Trinity Staff will not have access to their University-provided e-mail account effective on the date of resignation.

Trinity faculty designated “professor emeritus” will be provided a Trinity e-mail account for life unless that account is found to be in violation of the University policies or if dormant and unused for more than one year. Those who resign will no longer have access to their Trinity e-mail account effective on the date of resignation.

F. Log Retention

DHCP and IP logs are retained for one week.

G. Definitions

DHCP – Dynamic Host Configuration Protocol – Used by network devices to obtain the parameters required for operation in an Internet Protocol network.
IP Address – Internet Protocol – The address of the client on the Internet. Essentially identifies the client making any given connection to a site. Every computer connected to the Internet has an IP address which enables the identification of that computer.

XV. WORLD-WIDE WEB POLICY

(Approved by the President May 7, 1996)

A. Introduction

The World-Wide Web is a powerful new medium of communication and a valuable resource to many members of the University community. This policy establishes guidelines for its use with two purposes in mind: to ensure free, fair access to and responsible use of the Web by the University community at large, and to establish an “official” University presence on the Web through a consistent, clearly identifiable set of Web pages administered by the Office of University Communications.

B. General Web Use

Any individual or group with authorized access to a University-owned computer or computer network may use it to gather information from and disseminate information via the World-Wide Web freely, subject to the terms of this policy, other applicable University policies, and state and federal laws. Applicable University policies include, but are not limited to:

- Academic Freedom
- Academic Responsibility
- Code of Ethics for Computing
- Policy Statement on Harassment
- Use of Institutional Name or Logo (Trademark Policy Statement)
- Student Rights and Responsibilities
- Academic Integrity Policy
- “Standards of Student Conduct” in the Student Handbook
C. Official University Web Pages

The University’s official presence on the Web is through a set of Web pages administered by the Office of University Communications. Only these official Web pages and the official University print publications listed in Chapter 9B: Other Handbooks, Bulletins, and Publications of the Faculty and Contract Staff Handbook are permitted to display facsimiles of the registered University seal or the University logo; exceptions require permission of the Office of University Communications.

Upon request, direct links will be provided from the official University Web pages to Web pages maintained independently by individual departments and University offices listed in the University Administrative Structure Chart in the Faculty and Contract Staff Handbook, and sponsored student organizations as defined in the Student Handbook. Direct links to Web pages maintained independently by individual faculty members, recognized student organizations, or other individuals or groups may be provided at the discretion of the Office of University Communications.

D. Violations of Policy

Any violation of the provisions of Section B of this policy is necessarily a violation of an existing University policy and will be addressed through the procedures provided therein. The Office of Information Resources has the authority to restrict or prohibit Web use which it believes to be in violation of any provision of this policy on a temporary basis, until appropriate procedures resolve the matter. The Office of University Communications has the authority to determine whether Web use is in violation of the provisions of Section C of this policy and to restrict or prohibit such use.
I. DEFINITIONS

**Official University events** include all events that are approved and sanctioned by the University and that are consistent with its educational mission. Official University events are either Trinity-sponsored, Student Organization sponsored or non-Trinity-sponsored.

A **Trinity-sponsored event** must be an official function of an academic department or administrative office of the University; the event must be approved by the chair or director of the office; and the office must control the program and agenda of the event.

A **non-Trinity-sponsored event** is not a function of an academic department or administrative office. An off-campus requestor works with the Office of University Communications or the Office of Conferences and Special Programs to handle all event details. The off-campus requestor signs a contract, provides proof of liability insurance or purchases event insurance from the University, and is responsible for all fees connected with the event. Certain restrictions apply for non-Trinity sponsored events. Refer to *Section V: Non-Trinity Sponsored Events*.

A **Student-Organization-sponsored event** is an official function of a registered, sponsored, Greek or chartered student organizations. The event must be scheduled and approved via the Campus & Community Involvement Office in order to be considered official, whether the event is occurring on or off campus.

**Academic space** includes, but is not limited to, lecture halls, classrooms, laboratories, dance and fine arts studios, theatres, and seminar rooms used for credit-bearing, instructional purposes. Academic spaces are scheduled and managed at all times by the Office of the Registrar.

**Non-academic space** includes conference rooms, meeting rooms, outdoor areas, and all other spaces not primarily intended for credit-bearing, instructional purposes.

**Restricted facilities** include the Great Hall, the Forrest M. Smith Dining Room, and all other spaces that may be reserved only with special permission from the President’s Office.
II. GENERAL PRINCIPLES

The facilities and grounds of Trinity University are used first and foremost to support the University’s educational mission and to serve the institutional needs of faculty, students, and staff. After meeting the space needs of these primary user groups, facilities may be made available for rental to other individuals and groups at the discretion of University officials.

The guiding philosophy is that all space belongs to Trinity University. There is no space, classroom, area, or venue that belongs to an individual, department, or office.

The land and buildings of Trinity University are private property, and the University reserves the right to control access to its campus and the use of its space and facilities. Federal and State statues relating to private property and the rights of individuals will apply.

Uses of space must comply with all University policies and regulations.

During the summer, academic programs and summer conferences are priority users, with other uses possible if they do not conflict with these priority users.

When fully implemented, the Trinity Scheduling Planning And Calendaring Events system (T-SPACE) will be the single calendar officially published and linked to the calendar page on the Trinity website.

III. SCHEDULING OFFICIAL UNIVERSITY EVENTS

Each event held on the Trinity University campus, whether Trinity-sponsored or non-Trinity-sponsored, shall have a designated event director. The event director:

- Assumes complete responsibility for the event and makes all event arrangements with the appropriate personnel as described in this policy;
- Attends and monitors the event (or designates another University employee to attend and monitor the event) while it is in progress; and
- Initiates scheduling of the event as follows:

A. **Academic classes** are scheduled by the Registrar.

B. For events sponsored by University offices and academic departments, see *Section IV: Trinity-Sponsored Events*.

C. For events **sponsored by student organizations**, the facilities and services are scheduled by Campus & Community Involvement staff. Such events are considered to be official University events. The procedures governing use of Trinity University facilities by student organizations...
are included in the policy on “Student Organizations” in the Student Handbook and the Student Organizations Handbook and are also available from the Campus & Community Involvement staff. The Campus & Community Involvement staff will approve the request and, as needed:

1. Consult with Campus Security if extensive parking space or unusual security needs are foreseen;
2. Make labor and special setup arrangements with the Physical Plant;
3. Provide Housekeeping with a schedule to ensure routine or special cleaning before and after the event; and
4. Facilitate needed audio-visual equipment and technicians from the Center for Learning and Technology.

The student organization should make necessary arrangements for food service with the Office of Dining Services, which has the right of first refusal for any food service at an on-campus event.

Refer also to Section VII: Financial Responsibility of Users.

D. For a conference or fee-supported noncredit activity, the non-Trinity sponsor must schedule the event with the Office of Conferences and Special Programs. A staff member in Conferences and Special Programs will act as event director in the initial planning of the activity, assign residence hall space if necessary, and provide guidelines to the non-Trinity sponsor regarding institutional policies and costs of services. Refer to Chapter 7D, Section II: Procedures for Conferences and Fee-Supported Noncredit Activities.

E. All other campus events must be scheduled or cleared by the Assistant Director of Community Relations and Special Events in the Office of University Communications. The off-campus requestor shall provide the Assistant Director of Community Relations and Special Events with the name of the sponsoring individual or group, the title of the event, date, start time, end time, location, and any other pertinent information. The Assistant Director of Community Relations and Special Events will determine suitability of the facility for the event, consult University policies and regulations, coordinate arrangements with all relevant persons and departments, and apply appropriate usage fees. If the request is not routine in nature or not clearly covered by University policies, or if it may create fiscal obligations not covered by the sponsoring group, the request must be approved by the President of the University before any commitment of facilities or services can be made. Only the President can waive a facility usage fee.

F. Except as noted above, no office or department of the University has the authority to commit the use of Trinity University facilities or to process, evaluate, or act upon such a request.

G. In order to ensure the fair and efficient use of University space, the following principles will apply:
• Persons planning an event are discouraged from reserving space when the event has not yet been scheduled for a specific date or time.

• When making tentative space reservations for an event, users are limited to no more than three days per specific event/meeting. Furthermore, it is expected that users will advise the appropriate person(s) immediately when a tentative space reservation can be canceled. A tentative reservation must be confirmed at least 10 days before the event, or the reservation will be canceled.

• Reservations for regularly recurring Trinity sponsored events are permitted for periods not to exceed 4 months. If any occurrence is cancelled or will not be held, the event director is responsible for cancelling the reservation in writing, no later than 7 days in advance. Failure to do this could result in loss of future facilities usage privileges.

• For Trinity sponsors, space reservations remain tentative until confirmation is made via e-mail or other written communication. For non-Trinity sponsors, space reservations remain tentative until the Assistant Director of Community Relations and Special Events receives the signed Facilities Use contract and a deposit, if applicable. The deposit is fully refundable when cancellation occurs two weeks or more before the event.

• Requests should be submitted no fewer than 10 business days in advance for best consideration. During peak periods, more time may be required.

• For non-academic space, requests may be made 12 months in advance.

• For academic space, requests may be submitted for the Fall semester beginning April 1; for the Spring semester, November 1. Summer semester requests received by February 1 will receive priority. Reservations will remain tentative until the official final summer class schedule is published, typically in early April.

IV. TRINITY-SPONSORED EVENTS

For student organizations, the procedures scheduling events and making related arrangements are described above in Section III.C.

After scheduling the event as described in Section III above, the event director of an on-campus event (except when sponsored by a student organization) must:

• Book the needed facility with the respective facility coordinator. A list of facility coordinators and procedures is available from the Assistant Director of Community Relations and Special Events.
• Submit the “Event Information Form,” available from the Office of University Communications or the Trinity University Web site, to the Assistant Director of Community Relations and Special Events at least 14 days prior to the event.

• Inform Campus Security about the event. When extensive parking space or unusual security needs are foreseen, the Director of Campus Security must be consulted before the University facilities are committed to the event.

• Make labor and special setup arrangements with the Physical Plant.

• Provide Housekeeping with a schedule to ensure routine or special cleaning before and after the event.

• Request necessary audio-visual equipment and technicians from the Center for Learning and Technology.

• Make necessary arrangements for food service with the Office of Dining Services, which has the right of first refusal for any food service at an event.

• The event director or designee is required to attend and monitor the event while it is in progress.

• No alcoholic beverages may be served unless the event is catered by Dining Services and unless permission has been received from the Vice President for Finance and Administration. See the Trinity University Alcohol Policy as well as Alcoholic Beverages on Campus in the Finance and Administration Policies and Procedures.

• At certain special times during the academic year (for instance, New Student Orientation, Fall Family Weekend, Spring Family Weekend, Alumni Weekend, and Commencement Weekend), priority will be given to reservations directly associated with the major event.

V. NON-TRINITY-SPONSORED EVENTS

Requests for periodic, regularly recurring use of Trinity University facilities will not be granted. Use of Trinity University facilities for events with off-campus sponsorship requires that the event be consistent with the interests and purposes of the University as expressed in policies and statements adopted by the Board of Trustees. Such events are scheduled as described in Section III.

The off-campus group will sign a Facility Use contract and provide proof of liability insurance. A facility usage fee is charged, and fees are also assessed for support services (Campus Security, the Physical Plant, Housekeeping, the Center for Learning and Technology, and Dining Services) and for costs incurred by the University.
In working with non-Trinity sponsors, the Assistant Director of Community Relations and Special Events will perform the following functions:

- Inform Campus Security about the event;
- Consult the Director of Campus Security before committing University facilities to the event, when extensive parking space or unusual security needs are foreseen;
- Book the needed facility with the respective facility coordinator;
- Submit service requests to Physical Plant;
- Provide Housekeeping with a schedule to ensure routine or special cleaning before and after the event;
- Request necessary audio-visual equipment and technicians from the Center for Learning and Technology;
- Make necessary arrangements for food service with the Office of Dining Services, which has the right of first refusal for any food service at an event.

The Assistant Director of Community Relations and Special Events must monitor any non-Trinity-sponsored event. An invoice will be sent to the off-campus group after the event.

Booking of events will be subject to the following restrictions:

- No private social functions. If an organization is conducting a lecture, workshop, or some other educational function, a meal or reception may be included.
- No for-profit business seminars, workshops, or classes.
- No regularly recurring meetings or events.
- No public religious service, large or small.
- No fundraising events.
- No individual faculty or staff sponsorship of community events. A University department or office may permit a community group to use campus facilities, but in this case the event must meet all requirements of a Trinity-sponsored event.
- No alcoholic beverages may be served unless the event is catered by Dining Services and unless permission has been received from the Vice President for Finance and Administration. See the *Trinity University Alcohol Policy* as well as *Alcoholic Beverages on Campus* in the *Fiscal Affairs Policies and Procedures*.
- Weddings are held only in the Parker Chapel. Wedding receptions are held only in the Parker Chapel Reception Room and only if the wedding is held in the Chapel.
• At certain special times during the academic year (for instance, New Student Orientation, Fall Family Weekend, Spring Family Weekend, Alumni Weekend, and Commencement Weekend), non-Trinity-sponsored events may not be scheduled in any University space.

VI. RESERVATION OF SPECIAL FACILITIES BY AN INDIVIDUAL

An individual may request to reserve the following facilities:

A. Parker Chapel. Weddings, receptions, and funerals may be scheduled through the Chapel Office, which handles all arrangements. The policy for Chapel use is available in the Chapel Office and at their website.

B. Laurie Auditorium. The Director of Laurie Auditorium makes reservations for concert promoters (including sole proprietorships, partnerships, and corporations) for performing arts events in Laurie Auditorium, the Green Room, Gallery Room, and Room 110. The policy for use of Laurie Auditorium is available in the office of the Director of Laurie Auditorium.

C. Holt Conference Center. Events in the Holt Conference Center are scheduled through the Office of Conferences and Special Programs.

D. Great Hall. Events in Great Hall are scheduled through the Office of the President.

E. Forrest M. Smith Dining Room in Mabee Hall. Events in the Forrest M. Smith Dining Room are scheduled through the Office of the President.

VII. FINANCIAL RESPONSIBILITY OF USERS

The event director, on behalf of the sponsoring individual or organization, assumes responsibility for all fees assessed for support services (Campus Security, the Physical Plant, Housekeeping, Center for Learning and Technology, and Dining Services).

A. Facility use fees are not charged to University departments or administrative offices for Trinity-sponsored events unless a fee is charged and/or a donation is requested for admission.

B. Facility use fees charged for non-Trinity-sponsored events reflect the operating cost of the facility. Prior to approval of the event, the sponsoring group or individual must notify and receive approval from the Assistant Director of Community Relations and Special Events all donations or admissions charges to be collected from participants. The sponsoring group or individual will:
• sign a Facility Use contract and assume responsibility to make prompt payment to the University;
• reimburse the University for any and all damages resulting from the event; and
• provide proof of insurance or bonding for risks associated with the event at least fourteen days prior to the event.

VIII. HOUSING

University housing is unavailable during the academic year except for resident students. For summer conferences or workshops, all facility arrangements involving participant housing on campus must be made with the Residential Life Office and the Office of Conferences and Special Programs.

IX. IMPLEMENTATION AND AMENDMENT

The policies and procedures included in this document are subject to approval by the University’s Executive Staff and to periodic review and updating.
(7D) CONFERENCES AND SPECIAL PROGRAMS

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

Conferences and noncredit programs are an important part of the outreach function of the University and contribute to the University’s total educational program. They draw directly upon the research, teaching, and educational resources of the University and community for the benefit of an appropriate population locally, statewide and nationally.

I. ADMINISTRATION AND COORDINATION

All fee-supported conferences and noncredit programs offered under the auspices of a department of the University may be administered or coordinated through the Office of Conferences and Special Programs.

A. Program Management

Conferences and programs will be developed by the Conferences and Special Programs staff and approved by the Director. Involvement of Trinity University faculty will be solicited and encouraged. Facilities or services will not be used for promoting private entrepreneurial activities. Programs must be budgeted on a cost-recovery basis with a minimum fixed percentage for management services. These costs will include salaries and all direct program expenses. The cancellation of a program on the basis of fiscal or other considerations is a responsibility of the Director of Conferences and Special Programs after consultation with appropriate parties.

B. Office of Conferences

The Office of Conferences and Special Programs has the following specific responsibilities:

1. Initiating conferences and special programs for a professional local, state, and national adult constituency, and selected programs for high-school students.

2. Coordination of campus-initiated conferences.

3. Administration of conference financial components (i.e., budget preparation, budget monitoring, authorization of payment of bills, income and expense summary, and negotiation of service contracts and letters of agreement).
4. Conference management (i.e., registration, preparation of materials, location and amenities, meal guarantees, marketing and promotion).

5. Maintenance of an accurate record-keeping system of all aspects of the activity and rosters for Continuing Education Unit transcripts.

6. Establishment of acceptable standards and criteria for Conferences and Special Programs activities based on recommendations from the National University Continuing Education Association and the Association of Collegiate Conference and Event Directors International.

7. The Office of Conferences and Special Programs will use campus meeting facilities on the basis of availability at no additional charge. The William Knox Holt Conference Center will be made available to campus departments and faculty at no charge for appropriate non-fee supported, department-hosted activities.

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**II. PROCEDURES FOR CONFERENCES AND FEE-SUPPORTED NONCREDIT ACTIVITIES**

*Chapter 7C, Section III* states the procedure by which the event director may schedule Trinity University facilities. After the event has been scheduled, the following procedures apply in the case of conferences and fee-supported noncredit activities.

**A.** If the sponsor is an off-campus group, the Director of Conferences and Special Programs will provide administrative and conference support services for the activity, including:

- Monitoring the budget
- Securing meeting rooms, food service and parking facilities
- Notifying campus offices as appropriate, such as Campus Safety, Dining Services, Housekeeping, and the Physical Plant, regarding special needs of the program.

Although program development remains the responsibility of the event director, the Office of Conferences and Special Programs is prepared to assist upon request. A fee to recover the cost of staff time to provide these services will be included in the activity budget.

**B.** Academic departments and administrative offices sponsoring conferences or fee-supported noncredit activities are encouraged to avail themselves of the support services of the Office of Conferences and Special Programs.

If with the concurrence of the Associate Vice President for Academic Affairs: Budget and Research the department or administrative office chooses not to use the coordinating services provided by
the Office of Conferences and Special Programs, then the ultimate responsibility for the activity budget, the proper coordination with University support services (Campus Safety, Dining Services, Housekeeping, and the Physical Plant), and the observance of all University policies rests with the Associate Vice President for Academic Affairs: Budget and Research.
I. STATEMENT OF PURPOSE

To provide support to Trinity University by creating an excellent campus bookstore, operated to contribute to education and to support the goals of Trinity University.

To become an integral part of Trinity University by developing partnerships with students, faculty, staff, and administration.

To excel and continue to innovate in customer service, store design, merchandise selection, and store operations.

To conduct business in accordance with high ethical standards.

II. OPERATIONS

The Trinity University Bookstore is operated by Barnes and Noble College Bookstores, Inc.

A. Administration

The Trinity University Bookstore is an integral part of the Coates University Center, the student services and student programming center of campus, and is a part of the Student Affairs division of the University.

All employees of the bookstore are employed by Barnes and Noble College Bookstores, Inc. The Regional Manager of Barnes and Noble College Bookstores, Inc. works directly with the Associate Vice President for Student Affairs and Dean of Students.

Any suggestions for improvements for the Bookstore are always in order and should be directed to any of the administrators mentioned above or to members of the Bookstore Operations Committee.
III. POLICIES

A. Selling Policy

All merchandise is sold on a cash basis (including personal check, American Express, VISA, Master Card, and Discover) or is charged to a departmental charge account or to personal faculty/staff accounts. Departmental charges are billed monthly to departmental accounts by the Trinity University Bookstore. Each department receives a monthly record of charges made to its account. Departments receive a 20% discount on office supplies.

Personal faculty/staff charge accounts may be opened by full-time University employees. Charges on these accounts are billed monthly to the individual. Prompt payment is expected so that Bookstore costs can be kept low. The Bookstore reserves the right to close accounts that are not paid with reasonable promptness. Faculty and staff members receive a 10% discount except for textbooks, computer software, sale merchandise, and some special orders.

B. Pricing

1. The pricing of textbooks is established using the net price charged by each publisher plus a percentage mark-up not to exceed 23%. If a publisher does not structure pricing using a net price, but rather a list price less a discount, the textbook will be priced at the list price. Freight charges are not added to the price of a textbook.

2. The pricing of non-textbook merchandise is set on industry standard margins.

C. Desk Copies

Departments are responsible for ordering their own desk copies from the publisher. In cases when publishers do not furnish desk copies, faculty members may purchase these desk copies by charging them to the appropriate department or to their personal account. If the desk copies are returned within two weeks of the start of a new semester in new condition, free of all markings, full refund credit will be given.

D. Textbook Requisitions

All textbook requisitions are submitted to the Trinity University Bookstore Textbook Department. Quantities stocked for classes are based on estimated enrollments, prior sales history, and registration figures from the Registrar. Textbook requisitions should be received by the bookstore by October 1 for the Spring semester, March 15 for the Summer semester, or April 1 for the Fall
semester, with the exception that when these deadlines should fall on a weekend, textbook requisitions will still be accepted the following business day. All faculty members requesting textbooks will be provided, prior to the start of each semester, with a print-out listing the textbooks that have been ordered by the Bookstore, and the quantity that the Bookstore intends to stock. The goal of the Bookstore is that all educational materials required by faculty be stocked in sufficient quantity on the first class day to satisfy the need of each student.

E. Check Cashing

The Bookstore does not provide a check-cashing service. Checks written in payment for merchandise may be written for five dollars over the amount of purchase.

F. Special Orders

The Bookstore will place Special Orders for books and supply items. Any specialty items that the Bookstore does not stock, and that are available from vendors used by the Bookstore, may be special ordered. The Campus Community is encouraged to make suggestions to Bookstore employees regarding the items or services they would like to have stocked or performed by the Bookstore.

G. UPS Services

Any merchandise purchased in the Bookstore will be shipped via UPS at the request of the customer.

H. Office Supplies

The Bookstore staff attempts to keep the most needed office supplies in stock. If a needed item is not in stock, the store staff will try to locate the item. If requested, the Bookstore staff will obtain a price quote before the item is ordered for the customer.

I. Bookstore Hours

The Bookstore is open Monday through Friday, 8:30 a.m. to 5:00 p.m. The Bookstore will be open extended hours at the beginning of each semester. The Bookstore will be open on Saturdays based on Special Events occurring on campus and immediately before classes begin each semester.
J. Faculty/Staff Authors

The Bookstore is honored to stock for sale publications authored by Trinity University faculty and staff members. The Bookstore Manager should be contacted to make arrangements to have these publications stocked in the Bookstore.

K. Bookstore Services

- Special Orders for Books, Supplies, and any item available from Bookstore Vendors
- Gift Certificates
- Film Processing
- Mail orders
- Promotional sales
- Photocopying (coin operation)
- Departmental charge accounts
- Faculty and staff charge accounts
- Textbook Buy Back (year-round)
- Graduation invitations, announcements, and cap and gown pick-up
- UPS Service for Bookstore purchases
- FAX machine
- Ethernet hook-up boards and adapters for student computers
- American Express, Master Card, Visa, and Discover charge card acceptance
- Faculty caps and gowns
(7F) CONFLICT OF INTEREST POLICY

(Approved by President, Academic Year 1991-92; amended June 1, 1995; amended August 2012)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to this Handbook.

Conflicts of interest occur when employees are in a position to influence decisions on policy, purchases, or research where they may directly or indirectly receive financial benefit or give improper advantage to associates or family. Conflicts of commitment arise when employees are involved in outside activities that substantially interfere with their primary responsibility to the University. Italicized words are defined in Section V.

Trinity University expects all employees to exercise good judgment, professional commitment, and the highest ethical standards in extramural activities that can in any way affect the University. Every employee has an obligation to avoid any activity, agreement, business investment or interest, or other situation that could be construed to be in conflict with the University’s interest or to interfere with the employee’s duty to serve the University. Where existing outside interests contravene the policy, the employee will be permitted a reasonable period, not to exceed three months, to make adjustments.

I. POLICY

It is the policy of Trinity University that:

A. No employee shall have a direct or indirect interest in any business enterprise that is a competitor of the University or has dealings with the University as a supplier. An employee in a position to influence a University business decision for which he/she may receive material benefit should disclose the nature of the conflict to his/her immediate supervisor, and, where possible remove himself/herself from involvement in the decision. If the individuals continue to participate in the decision process, discussion with supervisors and documentation of the potential conflict should be presented to the Conflict of Interest Committee.

B. No employee shall seek or receive, for personal or any other person’s gain, any payment, whether for services or otherwise, loan (except from a bank), gift or discount of more than nominal value, or entertainment that goes beyond common courtesies usually associated with accepted business practice from any business enterprise that is a competitor of the University or has current or known prospective dealings with the University as a supplier or could benefit from the employee’s submission of research data.

C. No employee shall, for personal or any other person’s gain, deprive the University of any opportunity for benefit that could be construed as related to any existing or reasonably anticipated future
activity of the University.

D. No employee shall, for personal or any other person’s gain, make use of or disclose confidential information learned as a result of employment by the University. Any information that has been acquired in connection with sponsored research by University members cannot be withheld from the sponsoring organization(s) for personal benefit.

E. No employee shall have any outside interest that materially interferes with the required time or attention that the employee must devote to the University. Employees should not undertake or orient activities to serve the needs of an outside organization at the expense of fulfilling the Mission of the University.

F. Before considering outside employment or consulting activities, an employee should discuss potential conflicts of commitment or interest with his/her appropriate supervisor. Employees regularly involved in consulting activities from which they profit financially, are not in conflict so long as:

1. University resources (laboratories, studios, equipment, computational facilities, and/or human resources) are not used more than incidentally without reimbursing the University.

2. Such activities do not unduly interfere with the time and energy committed by the individuals to their primary responsibilities to the University. The allowable amount of time dedicated to consulting will be governed by the Consulting Policy (Chapter 5G).

3. Such involvement does not inhibit the publication of research findings developed in the course of the individual’s regular University activities.

G. The University actively encourages involvement in professional organizations, panels, advisory commissions, government, charitable and community organizations. However, such involvement should not become so dominant that University members no longer effectively satisfy their responsibilities to the University.

H. Faculty members must exercise prudence in directing students and supervised employees toward activities from which the faculty might financially benefit. If a potential conflict exists, faculty are encouraged to consult their departmental chair or the AVPAA:BR for an independent evaluation of the activities’ educational merits.

I. No employee shall act or be involved in any situation that potentially conflicts with the principle that this policy is intended to implement.
II. EXCEPTIONS

A. Specific exceptions may be made by the Conflict of Interest Committee upon application in writing by the employee. Such exceptions shall be wholly discretionary and shall be adopted at such times and under such conditions as will serve the interests of the University.

B. The Conflict of Interest Committee is composed of four Vice Presidents or a designee. Each must be in attendance to consider the exception. Absentees will be considered negative votes. The President of the University will make the decision in case of a tie vote.

C. The Conflict of Interest Committee will determine whether an actual or potential conflict of interest exists, and determine what conditions or restrictions, if any, should be imposed by Trinity University to manage, reduce or eliminate such conflict of interest.

III. STANDARD FOR COMPLIANCE

A. Prohibitions of this policy should be construed broadly rather than narrowly. A conflict of interest may be deemed to exist even though it may not result in financial loss to the University, regardless of the motive of the employee involved. If a possible conflict of interest arises, the employee is encouraged to discuss the matter with the appropriate Vice President designated by the Conflict of Interest Committee to determine whether such a conflict in fact exists and, if so, how it may be resolved.

B. The AVPAA:BR shall be responsible for appropriate dissemination of this policy.

IV. REPORTS AND INVESTIGATION

A. The Conflict of Interest Committee shall have authority to direct the Internal Auditor to investigate any suspected violation of this policy by any University member.

B. Violation of this policy may be grounds for disciplinary action. The University will make the final determination for disciplinary action. Many actions are available and may be taken in a fashion consistent and commensurate with the nature of the proven acts of misconduct. Examples include:

- Suspension of eligibility to seek external funding or IRB approval, or to supervise research students
- Probation
• Reduction in rank or salary
• Suspension or termination of employment

C. The Conflict of Interest Committee will inform the President in a timely manner (i.e., 24 business hours) of any decisions concerning an employee being asked to reduce or eliminate certain business interests.

V. DEFINITIONS

A. Activities. Includes both direct activities and financial interest in the activities of other businesses.

B. Business. Any corporation, partnership, proprietorship, firm, franchise, association, holding company, joint stock company, receivership, trust, or any other legal entity organized for profit. This does not include mutual funds over which the investigator has no control, or any governmental committee, community, political, academic, charitable, religious, social, or professional non-profit organization.

C. Conflict of Interest Committee. A group made up of all Vice Presidents charged with determining what to do in cases of employees’ conflicts of interest.

D. Contracts. Excludes the terms of the investigator’s own or any family member’s employment contract with the University.

E. Employee. Includes faculty (full-time and part-time), staff (contract and classified), and visiting faculty and staff.

F. Equity Interests. Ownership or control of stock, stock options, or other investment instruments.

G. Facilities. Excludes the investigator’s office, office equipment, and incidental supplies (e.g., copying, fax, long distance telephone service) for which the investigator reimburses Trinity University.

H. Family. Spouse and dependent children.

I. Intellectual property. Includes organized information, ideas, fabrication methods, devices, or substances that are patented or copyrighted or have that potential, and that are partially or fully owned by Trinity University. Excludes any intellectual property for which the investigator holds a license from Trinity University or which is in the public domain.

J. Investigator. The principal investigator, co-principal investigators, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational
activities funded by a federal grant.

**K. Policy position.** A director, officer, partner, manager, or agent in any managerial position.

**L. Receipts.** Includes loans, gifts, royalties, and earned income other than consulting fees. Excludes grants, *contracts*, or any other sums that the *investigator* or the *investigator’s family member* receives from *Trinity University*, no matter what the original source.

**M. Staff services.** Excludes infrequent secretarial support.

**N. Trinity University.** Includes all units operated by the University.
# Chapter 8

## Employment Policies and Benefits

### Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>(8A)</td>
<td>Employment</td>
<td>385</td>
</tr>
<tr>
<td>I.</td>
<td>Faculty Employment</td>
<td>385</td>
</tr>
<tr>
<td>II.</td>
<td>Contract Staff Employment</td>
<td>385</td>
</tr>
<tr>
<td>III.</td>
<td>Postdoctoral Staff Employment</td>
<td>388</td>
</tr>
<tr>
<td>IV.</td>
<td>Classified Staff Employment</td>
<td>388</td>
</tr>
<tr>
<td>(8B)</td>
<td>Non-Discrimination and Diversity Policy</td>
<td>389</td>
</tr>
<tr>
<td>(8C)</td>
<td>Anti-Harassment Policy</td>
<td>390</td>
</tr>
<tr>
<td>I.</td>
<td>Anti-Harassment</td>
<td>390</td>
</tr>
<tr>
<td>II.</td>
<td>Implementation and Amendment</td>
<td>395</td>
</tr>
<tr>
<td>(8D)</td>
<td>Code of Conduct</td>
<td>396</td>
</tr>
<tr>
<td>A.</td>
<td>Policy</td>
<td>396</td>
</tr>
<tr>
<td>B.</td>
<td>Procedure</td>
<td>396</td>
</tr>
<tr>
<td>(8E)</td>
<td>Educational Benefits</td>
<td>399</td>
</tr>
<tr>
<td>I.</td>
<td>Tuition Remission Policy</td>
<td>399</td>
</tr>
<tr>
<td>II.</td>
<td>Tuition Exchange</td>
<td>402</td>
</tr>
<tr>
<td>III.</td>
<td>Tuition Remission and Exchange Policy Summary</td>
<td>402</td>
</tr>
<tr>
<td>IV.</td>
<td>Conference and Special Programs Reduction</td>
<td>403</td>
</tr>
<tr>
<td>(8F)</td>
<td>Insurance and Other Benefits</td>
<td>405</td>
</tr>
<tr>
<td>I.</td>
<td>Flexible Benefits</td>
<td>405</td>
</tr>
<tr>
<td>II.</td>
<td>Other Benefits</td>
<td>406</td>
</tr>
</tbody>
</table>
CHAPTER 8. EMPLOYMENT POLICIES AND BENEFITS

III. Financial Services ................................................. 408
IV. Cultural Benefits ................................................. 409
V. Retired Faculty and Staff ......................................... 410

(8G) Leaves and Scheduled Absences ................................. 412
I. Academic Leaves .................................................. 412
II. Court Duty ......................................................... 412
III. Disability Leave .................................................. 412
IV. Family and Medical Leave ....................................... 414
V. Funeral Leave ..................................................... 416
VI. Parental Leave ..................................................... 416
VII. Parental Leave - Sick Time ...................................... 418
VIII. Military Leave ................................................... 419
IX. Probationary Period and Leave ................................ 419
X. Short-Term Medical Leaves ....................................... 419
XI. Sick Leave ......................................................... 420
XII. Vacation Leave ................................................... 420
(8A) EMPLOYMENT OF FACULTY, CONTRACT STAFF, AND CLASSIFIED STAFF

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to This Handbook.

I. FACULTY EMPLOYMENT

Policy statements relating to faculty, faculty appointments, and academic governance are contained in Chapters 3A-F. Specific information on such employment policies as establishing and filling vacant positions, faculty records, adjunct faculty, and retirement are discussed in Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement), Chapter 3E: Faculty Appointments and Evaluation (Other Policies), and Chapter 3F: Faculty Records.

II. CONTRACT STAFF EMPLOYMENT

A. Filling a Vacant or New Position

1. Approval to Fill the Position

To create a new contract staff position, the director of the unit or the departmental Chair must submit a request to create the position to the appropriate vice president. The director of the unit or the departmental Chair must submit to the appropriate vice president a request to search that includes a job description and a search plan.

Upon the vacancy of a contract staff position, the director of the unit or the departmental Chair must submit to the appropriate vice president a request to search that includes a job description and a search plan.

When an existing position is to be redefined, a written justification must accompany the request to search.

2. Search Plan

After obtaining vice presidential approval to fill the contract staff position, the director or departmental Chair must forward to the appropriate vice president a complete search plan that includes information on position availability, deadline for applications, application data, and other required elements. A copy of the notice of the position and
CHAPTER 8. EMPLOYMENT POLICIES AND BENEFITS

any advertising copy must be included. Upon approval of the appropriate vice president, this will be forwarded to the Office of Human Resources for affirmative action compliance review. The Office of Human Resources will return the approved search materials to the appropriate vice president’s office, who will forward them to the director or Chair. All searches will comply with federal and state mandates.

*Please note that the hiring department must acknowledge in writing receipt of each application for a contract staff position. In order to be considered, all applications must contain current rsums, authorized transcript of university degree(s), and letters of reference.*

The appropriate vice president will approve the personal interview of each candidate.

3. Conclusion of the Search

The vice president will approve issuing a formal offer. Upon verbal acceptance of the offer, the Office of Human Resources will prepare a letter of appointment to be signed by the appropriate vice president or the President and sent to the candidate for his or her signature. By signing the letter, the employee is subject to all terms and conditions set forth in but not limited to the *Faculty and Contract Staff Handbook*. The orientation of new contract staff is the responsibility of the individual department or unit.

The department or unit will notify in writing all candidates not selected at the conclusion of the search process. All applicant files must be forwarded to the Office of Human Resources through the appropriate vice president’s office at the conclusion of the search process.

B. Evaluation of Contract Staff

Contract staff, including administrative and library contract staff members, will be evaluated annually. Contract staff members will submit a summary of professional activities to their immediate supervisor at the end of each calendar year. This summary of professional activities will contain relevant information pertaining to the performance of their assigned responsibilities and services.

The supervisor will evaluate the contract employee in writing. The evaluation must be shared with and signed by the employee. If the staff member does not concur with the evaluation, she/he may append a response. The supervisor, director, and/or Chair will use the merit evaluation of the contract employee in recommending an annual salary.

The evaluation and any response from the contract staff member must be submitted with the annual merit salary recommendation from the director and/or Chair to the appropriate vice president. The evaluation will be maintained in the employee’s permanent personnel file. The vice president will
consider the evaluation by the director and/or Chair in recommending a salary to the President each academic year.

C. Resignation/Termination of Contract Staff

1. Resignation

As stated in the Vacation Leave Policy, twelve-month contract employees must submit a 30-day written notice of intent to resign in order to be eligible to be paid for all vacation leave balances.

(For further information, please see Sick Leave and Vacation Leave in the handbook Fiscal Affairs Policies and Procedures.)

2. Termination

The employment of any staff employee by the University is exclusively “at will” employment, any previous verbal assurance, statement, or representation notwithstanding. Consequently, the employment of any staff employee may be terminated by the University at any time with or without reason or cause, its only obligation being to pay wages or salary owed to the employee up to date of termination. Any such employee may terminate his/her employment at any time, subject to applicable notice requirements and the provisions of this Handbook.

D. Due Process

Contract employees have the right to file what they feel to be legitimate grievances. In the event that an employee lodges a complaint, procedures of due process will be followed through an appeal process if necessary. Ordinarily, employees should bring grievances to the attention of the immediate supervisor, the Chair, or the director; if this appears inappropriate, they may appeal to the appropriate vice president. Subsequent to receipt of the Vice President’s decision, should the grievance still remain unresolved to the employee’s satisfaction, the employee may appeal that decision within five (5) working days of the date of the decision to the Director of Human Resources. If the appeal is not timely taken, the matter will not be considered further. The Director of Human Resources will have the grievance studied by a committee composed of three (3) full-time University employees: one selected by the Vice President, one selected by the grievant, and the third selected by the other two (2) committee members. The committee will review the matter and render a decision within thirty (30) working days. The decision of the committee will be final. (Please note Chapter 8B: Non-Discrimination and Diversity Policy and Chapter 8C: Policy Statement on Harassment.)
NOTE: Please refer to Chapter 8E: Educational Benefits, Chapter 8F: Insurance and Other Benefits, and Chapter 8G: Leaves and Scheduled Absences for further information on benefits, insurance, and leaves and scheduled absences for contract staff.

III. POSTDOCTORAL STAFF EMPLOYMENT

Persons appointed to postdoctoral positions at Trinity University are classified as contract employees and are subject to all the policies of the University regarding the employment of persons in the contract category. (See Section II: Contract Staff Employment above as well as Chapter 8E: Educational Benefits, Chapter 8F: Insurance and Other Benefits, and Chapter 8G: Leaves and Scheduled Absences.)

Appropriate search procedures must be followed as described above for contract staff.

Recommendations to hire must be sent to the Office of Academic Affairs for approval. The Office of Academic Affairs will prepare a letter of appointment for the individual after approval of the recommendation by the grants accountant, the Associate Vice President for Academic Affairs: Budget and Research (the institutional grants officer), the Vice President for Faculty and Student Affairs, and the President of the University.

The postdoctoral employee is eligible for some or all fringe benefits providing he/she works more than one-half time over the course of a year. After two years of continuous employment the individual will be eligible for retirement benefits. The individual will accrue sick leave and vacation leave in the same manner as other contract employees. However, unused vacation time will not be reimbursed at the time of termination of employment or at any other time.

All costs for fringe benefits, including retirement and social security, and related University costs are to be charged to the funding source unless specific arrangements are approved.

Visa status determines the individual’s liability for social security tax. This must be determined on a case-by-case basis by the institution’s Office of Human Resources.

The employee is subject to annual evaluations, as are all employees of the University.

IV. CLASSIFIED STAFF EMPLOYMENT

For a summary of recent changes to this chapter, see *Chapter 9A: Summary of Recent Revisions to This Handbook.*

Within published requirements for admission, Trinity University does not and will not discriminate in admission of students to study at the University, enrollment in classes, housing or use of facilities in the academic program because of race, color, religion, sex, age, national origin, disability (if otherwise qualified for admission), military/veteran status, sexual orientation, gender identity, gender expression, or any status protected by federal, state, or local laws.

Trinity University does not and will not discriminate against any employee or applicant for employment because of race, color, religion, sex, age, national origin, disability (if otherwise qualified for the job), military/veteran status, sexual orientation, gender identity, gender expression, or any status protected by federal, state, or local law. The University is committed to making employment-related decisions according to an applicant or employee’s experience, talent, and qualifications, without regard to his/her race, color, religion, sex, age, national origin, disability (if otherwise qualified for the job), military/veteran status, sexual orientation, gender identity, gender expression, or any status protected by federal, state, or local laws.

The Compliance Officer of the University is the Director of Human Resources. Any questions or complaints relative to discrimination should be referred to the Office of Human Resources. The Section 504/Americans with Disabilities Act Compliance Officer is the Director for Risk Management and Insurance. Students with disabilities who desire accommodations should contact Disability Services for Students in Counseling Services, preferably before the beginning of each semester. Any questions or complaints relative to facilities, services, and accessibility should be referred to the Office of Risk Management.
(8C) ANTI-HARASSMENT POLICY

(Amended by the Academic Faculty Assembly on March 26, 2010.)

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to This Handbook.

Trinity University is committed to the maintenance of an academic environment free of all forms of conduct considered to be harassment according to Title VII of the Civil Rights Act of 1964 as such conduct adversely affects the working or learning environment. The University reaffirms its commitment that unlawful harassment relating to a person’s race, sex, color, sexual orientation, gender identity, gender expression, religion, national origin, age, or disability is prohibited. This prohibition against harassment includes harassment of employees, job applicants, students, or prospective students.

I. ANTI-HARASSMENT

A. Policy and Definition

1. Sexual Harassment. Sexual harassment is any unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature including when:

   (a) submission to such conduct is made either explicitly or implicitly a term or condition of instruction, employment, or participation in other University activities;

   (b) submission to or rejection of such conduct by an individual is used as a basis for evaluation in making academic or personnel decisions affecting the individual; or

   (c) such conduct has the purpose or effect of interfering with an individual’s work performance or creating an intimidating, hostile, or offensive University environment.

2. Harassment Based on Other Protected Categories. In addition to prohibiting sexual harassment, the University also prohibits harassment based upon an individual’s race, sex, color, sexual orientation, gender identity, gender expression, religion, national origin, age, citizenship status, or disability. For these purposes, prohibited harassment includes, without limitation, slurs, jokes, other verbal, graphic, or physical conduct relating to an individual’s race, sex, color, sexual orientation, gender identity, gender expression, religion, national origin, age, citizenship status, or disability when:
(a) submission to such conduct is made either explicitly or implicitly a term or condition of instruction, employment, or participation in other University activities;

(b) submission to or rejection of such conduct by an individual is used as a basis for evaluation in making academic or personnel decisions affecting the individual; or

(c) such conduct has the purpose or effect of interfering with an individual’s work performance or creating an intimidating, hostile, or offensive University environment.

In determining whether an alleged behavior constitutes harassment under this policy, the full context in which the incident occurred should be considered.

B. Guidelines

1. It is University policy to investigate complaints made by any person who is the subject of alleged prohibited harassment or when such conduct is reported by a witness, and to take timely corrective action in the event that misconduct has occurred.

2. Filing a complaint or otherwise reporting harassment under this policy shall not affect the individual’s status as a faculty member, contract staff member, classified staff member, or student, nor shall it affect future employment, compensation, work assignment, or evaluation of the individual. Retaliation against a person for filing a complaint of harassment or reporting observed acts of alleged harassment is prohibited. Likewise, the person accused of violating this policy is entitled to the same protection until such a time as an investigation may be conducted and a determination made concerning the resolution of the complaint.

3. The confidentiality of all parties involved in an alleged violation of this policy will be maintained to the extent reasonably possible.

C. Procedures

1. Procedure for an Informal Complaint: Consultation.

   a. In many cases, complaints under this policy may be resolved informally. If comfortable, a person who has been offended by the conduct of another may discuss the issue with the person who has offended him or her, and this may resolve the issue. If a person is not comfortable discussing his or
CHAPTER 8. EMPLOYMENT POLICIES AND BENEFITS

her concerns in this manner, he or she is nor required to do so. In this situation: (i) students should contact the Associate Vice President for Student Affairs and Dean of Students; (ii) faculty should contact the Department Chair; (iii) contract staff should contact the Vice President responsible for the employee’s area; and (iv) classified staff should contact the Assistant Vice President for Human Resources. No student, faculty member, classified staff, or contract staff is required to complain directly to the person who is the source of the alleged harassment. Therefore, if one of the above-listed individuals is the source of the harassment, the complaint should be made to the office of the Assistant Vice President for Human Resources.

b. The person receiving the complaint will evaluate the complaint and the degree of seriousness of the offense and seek, to the extent possible and appropriate, to resolve the matter. In the process of attempting to resolve a complaint, statements may be taken and witness interviews may be conducted. A resolution might take the form of clarifying to the offending party the kind of behavior that may be deemed objectionable and securing the cessation of such behavior; it might also take the form of clarifying to the complaining party that the incident does not constitute harassment.

c. When complaints are resolved without formal sanctions, the offending party may be cautioned that repetition of such conduct could lead to sanctions.

d. Although a major purpose of consultation and early resolution is to resolve problems, heighten awareness, and achieve changes in behavior without resort to formal investigatory or disciplinary proceedings, nothing in this policy should be construed as discouraging more formal procedures when the seriousness or repetitive character of the offense makes that the more appropriate course of action, or when the complaining party is not satisfied with the resolution of the informal procedure.

2. Procedure for a Formal Complaint. The complainant will submit a written description of the offensive behavior and the circumstances surrounding it to the parties responsible for overseeing investigation of the complaint. Upon receipt of the written statement, the alleged offender should be provided with a copy of the statement and identity of the party making the complaint.

If the complaint is not resolved through the informal procedure, or if an individual chooses, a formal investigation will be conducted by the appropriate Vice President working in conjunction with Human Resources. In addition to reviewing prior statements, the individual making the complaint will be interviewed as part of the investigation. A new or supplemental written statement from the individual making the
complaint may be requested. After the interview or statement is received, the following steps will be taken:

a. Appointment of Ad Hoc Committee. In cases of complaints against faculty members or contract or classified staff members, the appropriate Vice President will request that an ad hoc committee composed of three members be appointed to investigate the allegations.

   i. For allegations against faculty members, the three members of the committee will be selected from the Academic Faculty by the Faculty Senate.

   ii. For allegations against contract staff members, the committee will be composed of three contract staff members selected by the Vice President with administrative responsibility for the accused staff member.

   iii. For allegations against classified staff, the committee will be composed of three employees selected by the Vice President with administrative responsibility for the accused staff member.

   iv. Notwithstanding (i) through (iii) above, if an allegation is made by a student against a faculty member, contract staff member, or classified staff member, one of the three members of the committee shall be selected by the Associate Vice President for Student Affairs and Dean of Students.

   v. For the allegations against students, the investigation and determination of sanctions will be handled under existing policies stated in the Student Handbook and the procedures of the Office of Student Affairs.

b. Committee Review of a Complaint. Members of the committee should meet with the Assistant Vice President for Human Resources to discuss the complaint and review any statements or other materials relative to the complaint. In addition to interviewing the person asserting a complaint, the Committee will make every reasonable effort to interview the person who allegedly violated this policy. The Committee has the discretion to decide who else to meet with or interview in connection with the investigation. The Committee may review additional information relevant to the complaint, including interviewing witnesses, reviewing policies or other documents, and gathering whatever information it deems necessary to assist it in reaching a determination as to the merits of the allegations. Once such a determination has been reached, a report will be drafted by the Assistant Vice President for
c. **Recommended Sanctions.** If a sanction is recommended against a faculty member, a contract or classified staff member, the recommended sanction(s) shall be part of the Ad Hoc Committee report. The Committee may consider the seriousness of the offense, the context in which the incident occurred, any mitigating or aggravating circumstances, and any history of past offenses of a related nature in making its recommendation.

d. **Acceptance of Sanctions.** The Vice President reviewing the Ad Hoc Committee report and recommendation has the discretion to implement the sanction or impose a different sanction in his/her discretion.

i. **Sanctions against Faculty.** Sanctions may be recommended up to and including termination of employment in accordance with University policy. Principles governing the imposition and appeal of minor and major sanctions are stipulated in *Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement), Article VIII: Procedures for Imposition of Sanctions Other than Dismissal*, and, on students, in the *Trinity University Student Handbook* section on “Standards of Student Conduct.”

ii. **Sanctions against Contract Staff Members.** Sanctions may be recommended up to and including termination of employment. The contract staff member may appeal a sanction by appealing directly to the President of the University.

iii. **Sanctions against Classified Staff.** Sanctions may be recommended up to and including termination of employment from the University in accordance with the *Classified Staff Handbook*. The classified staff member may appeal the decision by filing it in accordance with the grievance appeal procedures of the Classified Staff Handbook.

iv. **Sanctions against Students.** Sanctions may be taken up to and including expulsion from the University in accordance with policies stated in the *Student Handbook*. Students who want to appeal the decision may do so in accordance with the *Student Handbook* section on “Standards of Student Conduct.”
D. Gender-Based Language

It is not the intent of this policy to regard as harassment the use of gender-based references. The foregoing definitions, procedures, and sanctions do not apply to an individual’s personal choice among conventions of language which fall within the broad and changing range of common English usage, for example, the generic use of “man,” “mankind,” or masculine pronouns.

Note: The Resolution on Nonsexist Language, which was adopted by the Faculty in Conjunction with approval of this Policy Statement on Harassment, is found in Chapter 6I: Nonsexist Language, Effective Writing, and Oral Communication.

II. IMPLEMENTATION AND AMENDMENT

A. Implementation

The Trinity University Anti-Harassment Policy shall become effective when approved by

1. the Trinity University Faculty Senate;
2. the Trinity University Academic Faculty; and
3. The Trinity University Board of Trustees.

B. Amendment

The Trinity University Anti-Harassment Policy may be amended by majority vote of

1. the Trinity University Faculty Senate;
2. the Trinity University Academic Faculty;
3. the Association of Student Representatives; and
4. the Trinity University Board of Trustees.

Amendments may be initiated by the Faculty Senate, the Academic Faculty, the Association of Student Representatives, or the Board of Trustees. Before voting upon a prepared amendment, at least fourteen days notice shall be given in writing to the membership of the Faculty Senate, the Academic Faculty, the Association of Student Representatives, or the Board of Trustees.
(8D) CODE OF CONDUCT

(Approved by the Academic Faculty Assembly on October 23, 2009.)

A. Policy

Trinity University is committed to the pursuit of knowledge through free inquiry and debate. To that end, faculty members must be free to criticize vigorously the ideas of others, even if doing so causes others anger or discomfort. It is a violation of this code to engage in threatening, harassing, or abusive conduct or speech.

B. Procedure

1. Procedure for an Informal Complaint: Consultation

   a. Complaints alleging violation of this policy should be directed to the faculty member’s Department Chair or, if this appears inappropriate, to the Vice President for Faculty and Student Affairs (in the case of library faculty, to the University Librarian or Vice President for Information Resources, respectively). Students alleging violation of this policy should contact the Associate Vice President for Student Affairs and Dean of Students for assistance in filing a complaint. Staff members alleging violation of this policy should contact the Office of Human Resources for assistance in filing the complaint.

   In all cases, the Department Chair or Vice President shall notify the accused party and the Assistant Vice President for Human Resources of the substance of the complaint. The Assistant Vice President for Human Resources shall provide guidance to the Department Chair or Vice President in responding to the complaint, and the Assistant Vice President for Human Resources shall preserve documentation reflecting the results of any informal investigations.

   b. The Department Chair or Vice President shall evaluate the validity of the complaint and the degree of seriousness of the accusation and seek, to the extent possible and appropriate, to resolve the matter. An informal resolution might take the form of clarifying to the accused party the kind of behavior that may be deemed objectionable and securing the cessation of such behavior; it might also take the form of clarifying to the complaining
party that the incident does not constitute a violation of the Code of Conduct policy.

c. Careful attention should be given to mitigating or aggravating circumstances.

d. When complaints are resolved informally, the accused party, when appropriate, should be cautioned that repetition of such conduct could lead to formal investigation and sanctions.

e. Although a major purpose of consultation and informal resolution is to resolve problems, heighten awareness, and achieve changes in behavior without resort to formal investigatory or disciplinary proceedings, nothing in this paragraph shall be construed as discouraging more formal procedures when the seriousness or repetitive character of the offense makes that the more appropriate course of action, or when the complaining party is not satisfied with the proposed resolution. The Department Chair or Vice President may encourage moving to a formal complaint when, in his or her judgment, the complaint has a sufficient degree of seriousness or is a repetition of previous complaints so as to indicate that informal resolution has been inadequate.

2. Procedure for a Formal Complaint. If, following consultation regarding the complaint as specified above, the person alleging a violation of the Code of Conduct policy should wish to make a formal complaint, he or she should submit a written description of the offensive behavior and the circumstances surrounding it to the Vice President for Faculty and Student Affairs (or the Vice President for Information Resources in the case of library faculty). Upon receipt of the written statement, the accused party should be provided with a copy of the statement and identity of the party making the complaint.

   a. Investigation. In the case of a formal complaint, the Vice President will request that an ad hoc committee composed of three faculty members be appointed to investigate the allegations and to recommend sanctions, if any.

      i. The three members of the committee will be selected by the Faculty Senate, except that, when the complaint is brought by a student, one of the faculty members will be selected by the Associate Vice President for Student Affairs and Dean of Students.

      ii. Members of the committee should meet to discuss the complaint. Unless the committee concludes that the complaint is without merit, the parties to the dispute should be invited to appear before the committee and to confront any adverse witnesses.
committee may conduct its own informal inquiry, call witnesses, and gather whatever information it deems necessary to assist it in reaching a determination as to the merits of the allegations. Once such a determination has been reached, it should be communicated in writing to both parties, along with a summary of the basis for the determination. The Assistant Vice President for Human Resources shall preserve documentation reflecting the results of any formal investigations.

b. **Sanctions.** If a sanction is recommended, the committee report and the recommendation for a sanction will be sent to the Vice President. As in the procedures of consultation, the seriousness of the offense, the context in which the incident occurred, any mitigating or aggravating circumstances, and any history of past offenses of a related nature must be carefully considered in reaching an equitable recommendation.

Sanctions may be taken up to and including termination of employment in accordance with University policy. Principles governing the imposition and appeal of minor and major sanctions are stipulated in Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement), Article VIII. Principles governing termination of employment are stipulated in Chapter 3A, Article V.
I. TUITION REMISSION POLICY

(Approved by the Board of Trustees May 10, 1985. Effective July 1, 1985)

A. Employee Tuition Remission

All full-time employees at Trinity University may enroll as a scholarship student in one undergraduate or graduate course each semester. Fees associated with courses are to be paid by the employee. Tuition remission for a graduate course is taxable. To secure a scholarship the employee must complete an application form available in the Office of Academic Affairs (faculty and contract staff) and in the Office of Human Resources (classified employees). The request should be made one month in advance of the registration period for the course to be taken. The tuition remission will be made prior to the registration for the course.

If the employee wishes to take a course and have the course appear on an official transcript, the person must go through the regular admission and registration process. This means that the first time the employee takes a course at Trinity University he/she will be charged the regular application fee charged all students for setting up academic records.

Employees are exempt from student activity fees, but must pay any fees associated with a particular course or courses of study, including but not limited to the skeet fee, geology field trip fee, etc.

Full-time employees who retire from Trinity University or their spouses are eligible for 100% tuition remission for one undergraduate course or for one graduate course each semester. Graduate tuition remission is a taxable benefit.

Application and supporting materials must be submitted no later than 30 days prior to registration.

B. Dependent Tuition Remission

1. Undergraduate Tuition Remission
   a. Dependent Children

   Undergraduate tuition remission will be granted to dependent children of full-time employees, while doing satisfactory work toward a baccalaureate
degree, on the following basis: beginning with the third year of employment, dependent children are eligible for 50% tuition remission, and beginning with the fifth year of employment, dependent children are eligible for 100% tuition remission. All benefits cease upon the resignation or termination of the employee.

Tuition remission is available only when the prospective student has gained admission to the University by the regular process and paid the regular application fee charged all students for setting up academic records. To be eligible the child of the employee must be a legal dependent of the employee. If in the process of earning a baccalaureate degree the student ceases to be a dependent of the employee, tuition remission may be continued providing there is not an interruption of more than one semester in the progress toward a degree. The University reserves the right to request the employee to submit proof of the child’s dependency as it is defined by the IRS. To secure a scholarship the faculty and contract staff employees must complete an application form available in the Financial Aid Office. Classified employees must complete an application available in the Office of Human Resources. Employees who have children older than the traditional college age (18-22) are asked to add routinely a copy of their current IRS return (only the page that lists dependents by name) to the tuition remission application form. The form should be filed one month in advance of the anticipated registration period. If the request is approved, the scholarship award will be issued prior to the anticipated registration period.

Employees’ spouses and dependent children who receive a full-time tuition scholarship as part of the employee’s fringe benefits will not be eligible to receive President’s Scholarships or Trustee’s Scholarships.

b. Dependent Children of Retired or Deceased Full-Time Employees

Dependent children of full-time employees who retired or died while actively employed at age 55 or later and had 10 or more years of service or age 65 and had 5 or more years of service, will be granted 100% tuition remission while making satisfactory progress toward a degree. For purposes of this section, and in accordance with the Internal Revenue Code, tuition remission that is granted to dependent children is not taxable. Tuition remission is taxable when granted to dependent children of deceased former employees when either (a) the dependent child’s remaining parent is still alive or (b) the dependent child has attained age 25 or greater.

c. Tuition Remission for Spouses
Spouses of full-time active or retired employees are eligible for full tuition remission for one undergraduate course per semester. The waiting period varies between the full-time, retired, and deceased employees. Non-degree-seeking spouses taking only one undergraduate course per semester will not be charged the Student Activity Fee.

2. Graduate Tuition Remission

a. Dependent Children

Graduate tuition remission will be granted to dependent children of full-time employees, while doing satisfactory work toward their first graduate degree, on the following basis: beginning with the third year of employment, dependent children are eligible for 50% tuition remission scholarship. All benefits cease upon the resignation or termination of the employee. All benefits are taxable.

b. Dependent Children of Retired or Deceased Full-Time Employees

Dependent children of former full-time employees who retired or died while actively employed at age 55 or later and had 10 or more years of service or age 65 and had 5 or more years of service, will be granted 50% tuition remission. All benefits are taxable.

c. Spouses

Spouses of full-time active or retired employees are eligible for 50% tuition remission for one graduate course per semester. All benefits are taxable. The waiting period varies between the full-time, retired, and deceased employees. (See the summary table).

NOTE: Tuition remission for spouses and dependent children of full-time employees and of retired or deceased full-time employees is granted only for work toward an undergraduate or graduate degree. The only exception to this policy is that full-time employees’ spouses or dependent children who have received a baccalaureate or master’s degree but are required to complete certain undergraduate courses for the purpose of achieving teaching certification in the State of Texas may take those undergraduate courses as a special student and receive tuition remission under the conditions stated above.
II. TUITION EXCHANGE

Full-time employees will have to complete the four-year employment requirement before they can receive tuition exchange benefits for their dependent children. Trinity University currently offers tuition exchange benefits through established agreements with Rice University, Austin College, Southwestern University, and the Associated Colleges of the South. Such arrangements are subject to change. Information concerning tuition exchange is available in the Office of Academic Affairs.

The program through the Associated Colleges of the South (ACS) requires a payment by the student of $1,500 per year during the period of time in which the dependent student participates in the program. Trinity University pays an additional $1,500 per year to the Associated Colleges of the South for each Trinity University dependent participating in the program. Participating ACS institutions are: Birmingham-Southern College, Centenary College of Louisiana, Centre College, Furman University, Hendrix College, Millsaps College, Morehouse College, Rhodes College, Rollins College, Trinity University, University of Richmond, and University of the South.

III. TUITION REMISSION AND EXCHANGE POLICY SUMMARY

The following chart gives an outline of the tuition remission and tuition exchange policy.
### IV. CONFERENCE AND SPECIAL PROGRAMS REDUCTION

Within the fee policies established for Conferences and Special Programs, full-time faculty and staff members and their families are entitled to the following benefits.

**A.** Full-time faculty and staff members or their immediate family members may take courses or participate in special programs for a discounted fee on a space-available basis.

**B.** All individuals will pay the full charge on meals or materials of the program for which they register.

Exceptions to this policy will be made only when the instructor or the size of the room limits the number of persons who can be accommodated in the course, or when the number of paid attendees...
is less than that required to cover expenses for the course. If faculty or staff members or their families wish to register for a course that has a limited enrollment, they may pay the full fee as a regular registrant.

To register on a space-available basis (discounted fee), faculty or staff members should notify the Office of Conferences and Special Programs of their intent to register for the course or program and will be enrolled on a first-come, first-served basis. Faculty or staff members and their families will be notified approximately three days before the beginning of the program if space will be available. In instances where a specific academic department is sponsoring the conference or program, special registration forms will be provided for that faculty or student group, and these people will get priority placement in the program.

Information concerning Conferences and Special Programs is available at the William Knox Holt Conference Center.
For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to This Handbook.

I. TRINITY UNIVERSITY FLEXIBLE BENEFITS PLAN (TFBP)

All full-time employees and employees who work at least 30 hours a week are eligible to participate in the Trinity University Flexible Benefit Plan (TFBP).

TFBP includes 6 benefit categories:

1. Health care insurance
2. Dental care insurance
3. Long-term disability insurance
4. Life insurance
5. Dependent care assistance
6. Medical spending account

Trinity University contributes a set amount for each employee toward the cost of these benefits. It is anticipated that this amount will increase by about the same percent as the average salary increases each year. Part-time employees working 30 hours a week or more will receive the same percent of the amount as their work time relates to a 40-hour week. Any unused University contribution is forfeited. Part-time faculty and temporary contract employees are not eligible for benefits.

TFBP allows University employees, who so elect, to pay their portion of the listed fringe benefits with pre-tax dollars.

Employees hired after June 1st will receive a proportionate share of the set amount based upon the number of pay periods remaining in the fiscal year.

Any full-time employee who retires at the age of 55 or later and who has 10 or more years of service, or who retires at the age of 65 or later and who has 5 or more years of service, may be entitled to continue to participate in the group health insurance plan until their 65th birthday. For more specific information regarding coverage for retirees and eligible spouses, please refer to the current plan document.

Further information and election forms are available in the Office of Human Resources.
II. OTHER BENEFITS

A. Retirement/Pension Plan and Social Security

The University’s TIAA-CREF and Fidelity Investments Retirement Plans are a “defined contribution” plan in which the University contributes 10 percent of the faculty or contract staff member’s taxable base salary and the employee contributes at least 3 percent of his or her taxable base salary. The retirement plan is funded through individual TIAA-CREF and/or Fidelity Investments annuity contracts for each participant. Contributions applied to these annuity contracts are fully funded and provide full and immediate vesting of the retirement and survivor benefits, including those purchased by University contributions. The accrued benefit at any time for a participant is the current value of the annuity accumulation, including all contributions, less expense charges, plus investment results. These plans meet the requirements for income tax deferral under section 403(b) of the Internal Revenue Code as well as meet or exceed the minimum requirements established by the Employee Retirement Income Security Act (ERISA) for vesting, funding, and benefit accrual.

Full-time faculty members, administrative officers, and contract staff are required to participate after two years of employment and attaining age 21. Eligibility for new employees is based on their having served two full years in any higher education institution without a break in service immediately prior to being employed at Trinity University.

1. Year of Service

For purposes of participation requirements, the term “year of service” shall mean a twelve-month period starting with the eligible employee’s date of employment (or anniversary date of such employment) during which the eligible employee has completed 1,000 or more hours of service.

2. Hours of Service

   a. Each hour for which an employee is paid, or entitled to payment, for the performance of duties for the employer during the applicable computation period;

   b. Each hour for which an employee is paid, or entitled to payment, by the employer on account of a period of time during which no duties are performed because of vacation, holiday, illness, incapacity (including disability), layoff, jury duty, military duty, or leave of absence; and

   c. Each hour for which back pay is awarded or agreed to by the employer, provided that such hour has not previously been credited under 2a or 2b above.
The University participates in the Social Security system as authorized by federal law.

**B. Voluntary Retirement Contributions**

The faculty or contract staff member may arrange with the University to divert a portion of before-tax salary over and above amounts being accumulated under Trinity University’s basic retirement plan, to purchase retirement annuity benefits in accordance with tax-deferral provisions in section 403(b) and 415 of the Internal Revenue Code and related Treasury Department regulations. To invest in a tax-deferred (or tax-sheltered) annuity voluntarily with either TIAA-CREF (SRA) or Fidelity, the employee and the University enter into a written agreement under which the faculty or contract staff member authorizes a reduction in salary in order to release funds for the University to pay premiums on an annuity contract that is fully vested in the employee. Within the limits prescribed by law, such premiums are not taxed currently; rather, they and their earnings will be taxed when received as benefits. Descriptions of the two accounts are available in the Office of Human Resources.

**C. Unemployment Compensation**

Trinity University, as required by federal law, contributes to a program of unemployment compensation. This assures that employees terminated without cause have financial protection according to federal standards. No deduction or contribution from employees’ salaries is involved.

**D. Worker’s Compensation Insurance**

Refer to the section on Worker’s Compensation under “Employee Injuries and Accidents” in the handbook Fiscal Affairs Policies and Procedures.

**E. University Risk Insurance**

The University maintains insurance policies that cover certain employees for liability in the performance of their duties. Some of these policies include general liability insurance, excess liability insurance, educator’s legal liability insurance, automobile liability insurance, special event accidental insurance, and exhibition insurance. For further information, refer to the Risk Management chapter of the handbook Fiscal Affairs Policies and Procedures.
III. FINANCIAL SERVICES

A. Automobile Insurance

Trinity University participates in an automobile insurance plan that may provide reduced rates for most faculty and contract staff. The plan is placed on an individual basis and is paid for by the employee through payroll deduction. Information about this coverage may be obtained from the Office of Human Resources.

B. Homeowners and Tenants Insurance

Trinity University participates in a Homeowners and Tenants Insurance Plan that may provide reduced rates for most faculty and contract staff. The plan is placed on an individual basis and is paid for by the employee through payroll deduction. Information about this coverage may be obtained by contacting the Office of Human Resources.

C. Check Cashing

- Checks may be cashed in the Business Office between 9:00 a.m. and 5:00 p.m., Monday through Friday (except during semester registrations).
- Personal checks cannot exceed $50.00 and are limited to one per day. Payroll checks cannot exceed $175.00.
- Valid, current identification card is required.
- Two-party checks require the approval of the Director of Student Accounts.
- A $25.00 charge will be assessed for any returned check.
- Check cashing privileges will be denied permanently after three insufficient fund checks.
- Upon employee termination, check cashing privileges will be denied.

D. Credit Union

All faculty and contract staff are eligible for membership services including loans, savings, and share draft accounts through payroll deduction with Firstmark Credit Union. Information is available from the Payroll Office or the San Antonio Teachers Credit Union.
E. Payroll Check Procedure

Direct deposit of payroll checks is available upon request to the Payroll Office.

Faculty and contract staff salary checks are distributed by the Office of Human Resources on the 25th day of each month.

Faculty members and contract staff who are employed on a 12-month contract will receive 12 equal monthly installments. Faculty on 9-month contracts receive 9 equal monthly installments beginning September 25 and continuing through May 25. An option available to faculty on 9-month contracts permits the faculty member to receive the 9-months salary in 12 equal monthly installments beginning September 25 and continuing through August 25.

Faculty teaching during the Summer Session are paid on June 30.

Faculty receiving faculty development funds in the summer are paid on June 30 and July 31.

Whenever a designated pay day (the 25th day of the month, or another pay day as specified above) falls on a Saturday, Sunday, or holiday, pay checks will be available on the preceding working day.

IV. CULTURAL AND ATHLETIC BENEFITS

A. Theater and Cultural Events

Faculty and staff and their families may purchase season tickets for various cultural events on campus. Season tickets provide a savings for such events. Faculty and staff may also purchase single tickets to these events at a reduced price (typically $1.00 off the regular price).

B. Elizabeth Huth Coates Library

Faculty and staff may check out books by presenting their Trinity University identification cards. Members of the immediate families of full-time faculty and staff may check out books after securing a library card. Inquiries should be directed to the administrative office of Coates Library.

C. Use of Recreational Facilities

Recreational facilities are available for use by Trinity University Trustees, faculty, staff, and their families, and students by presentation of a Trinity University identification card. Information con-
cerning regulations governing use of facilities may be obtained from the Office of Athletics in the William H. Bell Athletic Center at (210) 999-8222.

D. Bookstore Benefits

Faculty and staff members receive a 10% discount except for textbooks, computer software, sale merchandise, and some special orders. Please see Chapter 7E: Bookstore Policies and Procedures for additional information.

V. SPECIAL BENEFITS FOR RETIRED FACULTY AND STAFF

Full-time faculty and staff who retire from Trinity University are eligible for the following benefits:

- Continuation of library privileges, to include online access to Library databases, Interlibrary Loan, and electronic books and media.
- Retention of faculty listing and web pages on the Trinity University website for both the department and any interdisciplinary programs with which involved.
- Retention of Trinity email address.
- Continued online access to TigerPaws, to include access to past records for advisees and classes.
- Continued access via computer to the University’s U-drive and V-drive.
- Continued access to TLEARN and continued storage of TLEARN files.
- Continued access to T-space and available facilities.
- Free parking on campus, provided annual registration procedure is completed.
- Discount for bookstore purchases on the same level as active faculty.
- Discount for tickets to athletic playoffs and theater and cultural events on the same level as active faculty.
- Check cashing privileges.
- Use of University recreational facilities.
- Dining privileges.
- University Club membership privileges as determined by the University Club Committee.
• Invitations to University social functions such as faculty parties.

• **Tuition remission** of 100% for one undergraduate or graduate course each semester. Graduate tuition remission is a taxable benefit.

• **Tuition remission scholarships for dependent children** pursuing undergraduate degrees. (This benefit is subject to the University’s Tuition Remission Policy and all applicable regulations mandated by the Internal Revenue Code.)

• Access to the **Tuition Exchange Program** for dependent children. (This benefit is subject to the University’s Tuition Exchange Policy and all applicable regulations mandated by the Internal Revenue Code.)

• Participation in the University’s group health insurance plan until age 65, provided eligibility requirements are met.

• Use of mailing address at Trinity University.

• Administration of grants by the University.

• Laboratory privileges if engaged in sponsored research under University administration.

• Departmental secretarial assistance for professional purposes as approved by the Department Chair.

• Use of departmental stationary and postage for professional purposes as approved by the Department Chair.

• Participation in convocations and academic processions.

• Receipt of University publications and announcements.

• All retired faculty will be added to the Trinity University retiree listserv, with the option to unsubscribe if so desired.
(8G) LEAVES AND SCHEDULED ABSENCES

For a summary of recent changes to this chapter, see Chapter 9A: Summary of Recent Revisions to This Handbook.

For additional information concerning leaves and scheduled absences for contract and classified staff, consult the Human Resources chapter of the handbook Fiscal Affairs Policies and Procedures or The Classified Personnel Policy Manual.

I. ACADEMIC LEAVES

Academic Leaves for faculty are discussed in Chapter 4A: Statement on Faculty Development, Section III.A: Academic Leave Policy.

II. COURT DUTY

Faculty and contract staff subpoenaed to serve on a jury or as a witness will be granted the necessary time off with pay.

III. DISABILITY LEAVE

A. Faculty

Trinity University will provide protection of remuneration (salary and other benefits) to any full-time employee who through protracted physical or psychological disability is unable to perform the tasks and/or meet the responsibilities normally associated with the duties of his/her position. This protection of remuneration will be for a period of no more than six months from the commencement of the disability. The protection is only for the actual remuneration due under the applicable contract or pay grade classification. Due to the nature of the protection plan, the University will not continue payments for periods beyond the completion of a terminal contract or provide remuneration protection for periods not otherwise covered by the contract (e.g., summer recess for nine-month faculty) even though these periods will be counted toward the six-month limit. An employee who becomes disabled as a result of a work-related injury will have his/her short-term disability payments reduced by any compensation received from the University’s Worker Compensation Insurance Company. During short-term disability leave, all accruals of vacation and
sick leave will be suspended. Eligibility for remuneration protection will be based upon clear and convincing medical evidence, and a change to disability status shall be made

1. at the request of an affected employee by presentation of a request to commence disability status and presentation of such medical evidence as may be necessary to demonstrate the existence of a physical or psychological disability which precludes that individual from performing the tasks or meeting the responsibilities normally associated with the discharge of his/her duties, and that such is expected to be protracted; or,

2. at the request of the University by presentation to the affected employee of a determination of long-term disability. For faculty members action is to be initiated by the University pursuant to Chapter 3A, Article V: Termination of Tenured or Unexpired Appointments. All of the various due process provisions contained in this Handbook shall apply.

Every effort will be made to assure that disability coverage provided by the Teachers Insurance and Annuity program or other such disability program will become applicable upon the conclusion of the period of remuneration protection; however, in no event will the University’s obligation to provide remuneration protection continue past six calendar months from the commencement of the disability period.

The University’s obligation for remuneration protection will cease effective upon the affected individual’s having obtained another position of employment. Further, the University reserves the right to deduct from any remuneration provided hereunder the amount of earnings received by the affected individual from such employment during the period of disability.

In the event of a request by either the affected faculty member or the University for long-term disability status, the commencement of such disability will be presumed to be the date of a recognizable event that resulted in the disability. In the event of a request by the faculty member, if the University disputes the existence and/or extent of disability, the University may require the affected faculty member to be examined by a physician or other professional of its choosing at the University’s expense.

Where necessary, each faculty member’s contract will be modified to reflect agreement to the foregoing. Additionally, the relevant provisions of this Handbook above will be restated to reflect the foregoing.

The University will require a medical release before the employee returns to work. This action will be taken to certify that the employee is capable of returning to work and performing normal duties. Should the University require a second opinion, this will be at the University’s expense.

Once the six-month disability benefit has been used and if the employee later returns to work, he/she must work for two years before a similar benefit can again be used.
If the faculty member is eligible for leave under the Family and Medical Leave Act, such leave will be taken concurrently with any disability leave.

Failure to apply for disability leave in a timely manner will not extend the six-month period.

B. Contract Staff

All full-time contract staff will accrue disability leave on the basis of two months (44 working days) for each full year of full-time employment up to a maximum of six months (130 working days). All permanent part-time contract staff will accrue disability leave in the same proportion that their percent of time worked relates to that of a full-time employee. Disability leave will only be paid when the duration of the illness is expected to extend beyond six months.

The accrued disability leave will be paid at the rate of 100 percent of the employee’s base salary.

The University will require a medical release before the employee returns to work. This action will be taken to certify that the employee is capable of returning to work and performing normal duties. Should the University require a second opinion, this will be at the University’s expense.

An employee who becomes disabled as a result of a work-related injury will have disability leave payments reduced by any compensation received from the University’s Worker Compensation Insurance Company.

Once the six-month disability benefit has been used and if the employee later returns to work, he/she must work for two years before a similar benefit can again be used.

If the employee is eligible for leave under the Family and Medical Leave Act, such leave will be taken concurrently with any sick leave and/or disability leave.

Disability leave will extend no longer than six months after the employee ceases to be in an active work status. Sick leave will be charged concurrently until exhausted. Failure to apply for disability leave in a timely manner will not extend the six-month period.

IV. FAMILY AND MEDICAL LEAVE

The Family and Medical Leave Act of 1993 requires covered employers to afford eligible employees up to twelve weeks of unpaid family and/or medical leave annually.

Employees who have completed twelve months of benefits-eligible employment and work at least twenty hours a week may request a maximum of twelve weeks unpaid family leave during any twelve-month period. Family leave may be granted for
1. the birth or care of a child;
2. the adoption of a child or the placement of a child in the employee’s home for foster care;
3. the care of an immediate family member (spouse, child, or parent) with a serious health condition; or
4. the employee’s own serious health condition.
5. Military Exigency Leave to deal with a qualifying exigency related to or affected by the active military duty or call to active military duty in the Armed Forces, National Guard, or military reserves of the employee’s spouse, child, or parent.
6. Military Caregiver Leave to care for a spouse, child, parent, or next of kin who is a member or former member of the Armed Forces and who is undergoing medical treatment, recuperation, or therapy, is on outpatient status, or is on the temporary disability retired list, for a serious illness or injury that was incurred in the line of duty while on active duty and incurred within five years prior to the treatment, recuperation, or therapy.

**Requesting FMLA Leave**

Employees must submit a written request to the appropriate administrative supervisor at least thirty days prior to the commencement of leave in cases where the leave is foreseeable and make reasonable efforts in scheduling leaves to avoid disrupting the work unit. Family and medical leave requests must be documented by a physician or, in the case of adoption, a copy of the adoption papers. Medical certification forms are available from the Office of Human Resources.

**Salary and Benefits During Leave**

Employees will be required to use Vacation and Sick Leave for any part of the twelve-week Family and Medical or FMLA Military Leave. During an approved leave, the employee remains eligible to continue medical, dental, life, and disability premiums. The University will continue to contribute its portion of the total premium, and the employee will pay the remaining balance on a schedule agreed upon by the University and the employee. Using paid leave will not extend the maximum amount of leave available. When paid leave is exhausted, the remaining leave is unpaid. Sick leave and vacation benefits will continue to accrue only during the portion of leave during which an employee is receiving sick leave or vacation pay.

**Return To Work**

Employees returning from Family, Medical, or FMLA Military Leave will be reinstated to the same or an equivalent position with no loss in pay or benefits accrued prior to the leave. However, an employee is considered to have resigned voluntarily if:

1. The employee does not return to work after the end of the approved leave period.
2. The employee has accepted other non-military employment during the leave period.
For details on Family, Medical, and FMLA Military Leave, please contact the Office of Human Resources.

V. FUNERAL LEAVE

The University grants eligible employees a paid funeral leave for death in the immediate family (spouse, child, parent, sister or brother, grandparent, grandchild, or corresponding in-law relationships; exceptions must be approved by the Office of Human Resources). A maximum period of three days will be granted to those employees who experience a death in their immediate families. A temporary employee is not entitled to funeral leave. Funeral leave will be allowed proportionately for an employee on part-time status provided he/she is employed at least twenty hours per week. Full-time employees serving a probationary period are entitled to funeral leave privileges.

VI. PARENTAL LEAVE POLICY FOR ACADEMIC DEPARTMENTAL FACULTY

1. This policy applies to full-time tenure track and tenured academic faculty on nine-month appointments who do not accrue vacation or sick leave.

2. The purpose of this policy is to minimize disruption to students and to give parents time to bond with and adjust to life with their new child. In accordance with these purposes, eligible faculty members who will be the primary caregiver for a newborn or adoptive child under the age of five are eligible for up to eight consecutive weeks of paid leave on or near the date that the child is born or adopted.

3. Simultaneous adoptions or multiple births—such as twins or triplets—count as one leave event.

4. When, according to the needs of the parent on or near the date that the child is born or adopted, six or more of these eight weeks fall within one semester, the eligible faculty member, at the discretion of the University, may be relieved of teaching responsibilities during the entire semester in which the child is born or adopted.

5. If the faculty member is granted relief of teaching responsibilities during the entire semester in which the child is born or adopted, the faculty member will resume non-teaching responsibilities such as advising and committee assignments during the portion of the semester not covered by the leave.

6. As in the case with other types of leave, the faculty member should make a request for the leave in writing to his or her departmental Chair, who will forward it to the Vice President for
Faculty and Student Affairs for review. To the extent appropriate, the Vice President for Faculty
and Student Affairs will consult with Human Resources to make a final determination. As part of
the leave request, the faculty member will be required to attest in writing that he or she will be the
primary caregiver for the newborn or adoptive child during the leave period. When both parents
are faculty members at Trinity University, only one parent can qualify as the primary caregiver, for
the purposes of receiving paid benefits under this policy.

7. It is the responsibility of the faculty member to notify his or her departmental Chair regarding the
anticipated birth or adoption. In the case of birth, the faculty member shall notify the departmental
Chair no fewer than four months prior to the anticipated due date. In the case of adoption, the
faculty member shall notify the departmental Chair upon receipt of an anticipated date of adoption
or upon the date adoption proceedings begin, whichever is earlier. It is the responsibility of the
departmental Chair to work with the Vice President for Faculty and Student Affairs, in consultation
with the faculty member, to make the necessary staffing arrangements that will take place in the
absence of the faculty member requesting parental leave.

8. When the leave allows for advance planning, the curricular obligations of the faculty member
on leave should be accommodated by creative scheduling such as team teaching, rescheduling
classes, course load adjustment, or cancellation of classes. When curricular responsibilities remain
after all of the options listed above are utilized, part-time faculty may be hired to cover those
responsibilities. Future course reductions for departmental colleagues who take on a significant
portion of the teaching duties of the faculty member should also be considered.

9. An eligible faculty member who becomes a new parent but is not the primary caregiver may
be eligible for two weeks of paid leave, providing that the faculty member is able to make the
necessary staffing arrangements. Requests for such leaves should follow the procedures outlined
in paragraphs 6 and 7 above.

10. The departmental Chair and the Vice President for Faculty and Student Affairs will address any
conditions not covered herein, such as an adoption whose date is not anticipated, in consultation
with the faculty member.

11. All parental leaves will run concurrently with leaves taken under the Family and Medical Leave
Act.

12. For probationary faculty members who are the primary care-giver, the timetable toward tenure
review will be extended by one year, unless a written request is received to waive the extension.
(See also Chapter 3A, Article IV.D).

Also refer to “Sick Leave and Vacation Leave” in the handbook Fiscal Affairs Policies and Proce-
dures.
VII. PARENTAL LEAVE POLICY FOR FACULTY WHO ACCRUE SICK OR VACATION TIME

1. This policy applies to full-time faculty who accrue vacation or sick leave. Examples are library faculty and faculty members of the Administration above the position of academic departmental Chair.

2. Faculty members who accrue sick or vacation time and will be the primary caregiver for a newborn or adoptive child under the age of five are eligible for up to eight consecutive weeks of leave on or near the date that the child is born or adopted. The first four weeks will be paid parental leave. The remaining parental leave, up to a maximum of four additional weeks, may be taken utilizing accrued sick or vacation time.

3. Simultaneous adoptions or multiple births—such as twins or triplets—count as one leave event.

4. As in the case with other types of leave, the faculty member should make a request for the leave in writing to his or her supervisor, who will forward it to the VPIR or the VPFSA for review. To the extent appropriate, the VPIR or the VPFSA will consult with Human Resources to make a final determination. As part of the leave request, the faculty member will be required to attest in writing that he or she will be the primary caregiver for the newborn or adoptive child. When both parents are faculty members at Trinity University, only one parent can qualify as the primary caregiver, for the purposes of receiving paid benefits under this policy.

5. It is the responsibility of the faculty member to notify his or her supervisor regarding the anticipated birth or adoption. In the case of birth, the faculty member shall notify the supervisor no fewer than four months prior to the anticipated due date. In the case of adoption, the faculty member shall notify the supervisor upon receipt of an anticipated date of adoption or upon the date adoption proceedings begin, whichever is earlier. It is the responsibility of the supervisor to work with the appropriate Vice President (VPIR or VPFSA), in consultation with the faculty member, to make the necessary staffing arrangements that will take place in the absence of the faculty member requesting parental leave.

6. An eligible faculty member who becomes a new parent but is not the primary caregiver may be eligible for two weeks of paid leave. Requests for such leaves should follow the procedures outlined in paragraphs 4 and 5 above.

7. The supervisor and the appropriate Vice President (VPIR OR VPFSA) will address any conditions not covered herein, such as an adoption whose date is not anticipated, in consultation with the faculty member.

8. All parental leaves will run concurrently with leaves taken under the Family and Medical Leave Act.

9. For probationary faculty members who are the primary care-giver, the timetable toward tenure
review will be extended by one year, unless a written request is received to waive the extension. (See also Chapter 3A, Article IV.D).

Also refer to “Sick Leave and Vacation Leave” in the handbook Fiscal Affairs Policies and Procedures.

VIII. MILITARY LEAVE

Members of the National Guard or of the official militia of the State of Texas or members of the armed forces reserves are subject to annual call for temporary active duty. These employees may be granted a leave of absence without pay. A copy of the military orders must be presented when requesting leave. Employees who are absent from work for duty in the uniformed services will be granted an unpaid military leave and reinstatement rights in accordance with the Uniformed Services Employment and Reemployment Rights Act (USERRA) and state law.

Please contact the Office of Human Resources for additional details regarding military leave.

IX. PROBATIONARY PERIOD AND LEAVE

Refer to “Sick Leave and Vacation Leave” in the handbook Fiscal Affairs Policies and Procedures.

X. SHORT-TERM MEDICAL LEAVES FOR FACULTY

There is no established University policy for medical leaves for most faculty. In the event that a faculty member must take a short-term medical leave of absence, it is understood that the following guidelines will govern the arrangements for the leave.

When the leave allows for advance planning, the curricular obligations of the faculty member on leave should be accommodated by creative scheduling such as team teaching, cancellation of classes, rescheduling classes, or course load adjustment. When curricular responsibilities remain after all of the options listed above are utilized, part-time faculty may be hired to cover those responsibilities. Since advance planning is essential to minimize curricular disruption, it is essential that there be consideration of the appropriate duration of the leave, where possible.

The leave will be negotiated by the faculty in consultation with his or her Chair and department and approved by the Vice President for Faculty and Student Affairs. If a satisfactory arrangement
cannot be designed, the faculty member may involve the Vice President for Faculty and Student Affairs in the negotiations. Information on the curricular arrangements for previous medical leaves will be on file in the Office of Academic Affairs.

XI. SICK LEAVE

Refer to “Sick Leave and Vacation Leave” in the handbook Fiscal Affairs Policies and Procedures.

XII. VACATION LEAVE

Refer to “Sick Leave and Vacation Leave” in the handbook Fiscal Affairs Policies and Procedures.
Chapter 9

Appendix

Contents

(9A) Summary of Recent Revisions to this Handbook ........................................... 422
(9B) Other Handbooks, Bulletins, and Publications ............................................. 431
    I. Handbooks and Policy Manuals ................................................................. 431
    II. Bulletins of Trinity University ................................................................. 434
    III. Other Publications ..................................................................................... 435
(9C) P&T Policies and Procedures ................................................................. 438
    I. The Academic Faculty .............................................................................. 438
    II. Mission Statement .................................................................................... 438
    III. Probationary Appointments .................................................................... 439
    IV. Pre-Tenure Evaluation ............................................................................. 439
    V. Evaluation for Tenure .............................................................................. 441
    VI. Evaluation - Promotion to Professor ......................................................... 443
    VII. Appeal of Negative Decisions ................................................................. 444
    VIII. Standards for Ranks and Promotion ....................................................... 444
    IX. Criteria for Reappointment .................................................................. 445
    X. P&T Documentation ................................................................................... 448
    XI. Amendment Procedure .......................................................................... 452
(9A) SUMMARY OF RECENT REVISIONS TO THIS HANDBOOK

Each substantive change to the text of the Faculty and Contract Staff Handbook is summarized in the following table. Such changes as capitalization, punctuation (except when the meaning is affected), addition or removal of boldface and italics, and insertion of a hyperlink will not require notice. Unless otherwise noted, revisions to the Handbook go into effect at the beginning of each academic year.

<table>
<thead>
<tr>
<th>Date</th>
<th>Chapter</th>
<th>Summary of revision to the text of this Handbook</th>
</tr>
</thead>
<tbody>
<tr>
<td>7/17/2013</td>
<td>6K</td>
<td>Revision of the Academic Honor Code, as approved by the Academic Faculty Assembly on December 6, 2012.</td>
</tr>
<tr>
<td>7/17/2013</td>
<td>8F, V</td>
<td>Revision of Special Benefits for Retired Faculty.</td>
</tr>
<tr>
<td>7/17/2013</td>
<td>8E, I, B, 1, b and 8E, I, B, 2, b</td>
<td>Revision of tuition remission policy for Dependent Children of Retired or Deceased Full-Time Employees.</td>
</tr>
<tr>
<td>7/8/2013</td>
<td>2B, II, B, 1</td>
<td>Revision of the Composition of the University Curriculum Council, as approved by the Academic Faculty Assembly on May 3, 2013.</td>
</tr>
<tr>
<td>7/8/2013</td>
<td>2D</td>
<td>Revision of Faculty Senate Bylaws, as approved by the Academic Faculty Assembly on March 22, 2013.</td>
</tr>
<tr>
<td>7/8/2013</td>
<td>2E</td>
<td>Revision of Standing Committees of the University, as approved by the Academic Faculty Assembly on March 22, 2013.</td>
</tr>
<tr>
<td>8/24/2012</td>
<td>5A and 7F</td>
<td>Revision of the Sponsored Projects policy and the Conflict of Interest Policy to comply with guidelines from the U.S. Public Health Service.</td>
</tr>
<tr>
<td>8/14/2012</td>
<td>8A, II, A</td>
<td>Revision of guidelines for Filling a Vacant or New Position for contract staff members.</td>
</tr>
<tr>
<td>6/12/2012</td>
<td>8E, III</td>
<td>Revision of the Tuition Remission and Exchange Policy Summary to reflect the addition of same-sex domestic partners.</td>
</tr>
<tr>
<td>6/7/2012</td>
<td>2E, II, F</td>
<td>Revision of the description of the Conduct Review Board, as approved by the Faculty Senate, the Association of Student Representatives, and the President.</td>
</tr>
<tr>
<td>6/7/2012</td>
<td>3C, I, C</td>
<td>Revision of language governing the evaluation of academic administrators, as approved by the Academic Faculty Assembly on December 8, 2011.</td>
</tr>
<tr>
<td>6/7/2012</td>
<td>3C, I, B, 7, and 3C, I, B, 12</td>
<td>Revision of language governing the appointment of department chairs and program directors, as approved by the Academic Faculty Assembly on October 21, 2011.</td>
</tr>
</tbody>
</table>
6/7/2012 2E  Revision of the procedures for appointments to Standing Committees of the University, as approved by the Faculty Senate, the Association of Student Representatives, and the President.

6/7/2012 2D, III, F  Addition of the Committee on Course and Faculty Evaluation to the Faculty Senate Bylaws, as approved by the Faculty Senate.

6/7/2012 2A, IV  Revision of the Constitution of the Faculty Organization to provide a succession model for the office of Chair of the Faculty Senate, as approved by the Academic Faculty Assembly on October 21, 2011, and by the Board of Trustees on February 17, 2012.

6/7/2012 IC, VII  Revision of job descriptions for the Office of University Communications.

6/7/2012 IC, III  Revision of job descriptions for the Office for Finance and Administration.

6/7/2012 1C, V  Revision of job descriptions for the Office of Student Affairs.

5/24/2012 8G  Revision of policies governing Family and Medical Leave, Parental Leave for Academic Departmental Faculty, Parental Leave for Faculty Who Accrue Sick or Vacation Time, and Military Leave, as approved by the Faculty Senate.

5/24/2012 1C, VI, A  Revision of the job description for the Vice President for Information Resources.

5/24/2012 1C, II  Revision of the job descriptions for the Vice President for Faculty and Student Affairs, the Associate Vice Presidents for Academic Affairs, and the Associate Vice President for Enrollment and Student Retention.

3/15/2012 8B  Revision of the Non-Discrimination and Diversity Policy to reflect the addition of gender identity and gender expression, as approved by the Faculty Senate and the President.

3/14/2012 2E, II, H  Revision of the description of the Employee Benefits Committee, as approved by the President on March 14, 2012.

3/14/2012 8A, II, A, 2  Revision of Search Plan guidelines for contract staff positions.

3/14/2012 2E, 3, D  Addition of the Administrator Review Oversight Committee as approved by the Faculty Senate.
Addition of the Advisory Committee for the Collaborative for Learning and Teaching, as approved by the Faculty Senate.

Deletion of the Teaching and Learning Committee, as approved by the Faculty Senate.

Addition of the Faculty Committee on Information Technology as approved by the Faculty Senate on April 15, 2011.

Deletion of the Information Technology Committee as approved by the Faculty Senate on April 15, 2011.

Revision of the Duties of the Academic Faculty Assembly to create a deadline of fourteen days for submission of proposals to the Academic Faculty Assembly, as approved by the Academic Faculty Assembly on October 29, 2010.

Revision of the section governing Terms of Office for members of the Faculty Senate, as approved by the Academic Faculty Assembly on October 29, 2010.

Revision of election procedures for members of the Investigating and Hearing committees, as approved by the Academic Faculty Assembly on October 29, 2010.

Revision of the policy governing Selection of Academic Administrators Other than the President, as approved by the Academic Faculty Assembly on October 29, 2010.

Revision of the policy governing Evaluation of the Vice President for Faculty and Student Affairs, Associate Vice Presidents for Academic Affairs, the Vice President for Information Resources, and the University Librarian, as approved by the Academic Faculty Assembly on October 29, 2010.

Addition of a section governing Spouse/Partner Hiring Procedures, as approved by the Academic Faculty Assembly on December 9, 2010.

Revision of the policy governing termination of contract staff members.

Revision of the policy governing Reading Days to reflect a new final exam schedule.

Revision of Undergraduate Tuition Remission policy for dependent children of retired or deceased full-time employees and Graduate Tuition Remission policy for dependent children of retired or deceased full-time employees.
(9A). SUMMARY OF RECENT REVISIONS TO THIS HANDBOOK

7/27/2010 6A Addition of “Statement on Student Rights and Responsibilities” as approved by the Academic Faculty Assembly on March 26, 2010.

7/27/2010 6A Deletion of “Joint Statement on Rights and Freedoms of Students” as approved by the Academic Faculty Assembly on March 26, 2010.

7/13/2010 3C, I, B, 4, a Revision of language relating to representation on the search committee for the Vice President for Faculty and Student Affairs, Associate and Assistant Vice Presidents for Academic Affairs, and the University Librarian, to reflect changes approved by the Academic Faculty Assembly on March 26, 2010.

7/13/2010 3A, VIII, A Revision of “Severe Sanctions” as approved by the Academic Faculty Assembly on October 23, 2009.

7/13/2010 3A, VI, C Addition of “Dismissal Procedures for Gross Misconduct” as approved by the Academic Faculty Assembly on October 23, 2009.

7/13/2010 3A, VI Revision of “Due Process” to reflect changes approved by the Academic Faculty Assembly on October 23, 2009.

7/13/2010 3A, V Revision of “Termination of Tenured or Unexpired Appointments” to reflect changes approved by the Academic Faculty Assembly on October 23, 2009.

7/13/2010 8D Addition of “Code of Conduct” as approved by the Academic Faculty Assembly on October 23, 2009.

7/13/2010 6H, III Revision of “Guidelines for the Course Evaluation Instrument” to reflect changes approved by the Academic Faculty Assembly on October 23, 2009.

7/13/2010 3A, IV, D; 8F, VI; & 8F, VII Revision of policies governing family leave as approved by the Academic Faculty Assembly on October 23, 2009.

7/12/2010 2E, II Revision of the Admissions, Scholarship, and Financial Aid Committee; the Bookstore Operations Committee; the Information Technology Committee; the Library Activities Committee; the Safety, Security, and Health Committee; and the University Standards Committee; as approved by the Faculty Senate, the Association of Student Representatives, and the President of the University.

7/12/2010 2E, III, E Addition of the Open Access Committee as approved by the Faculty Senate.
Addition of the Sustainability Committee as approved by the Faculty Senate, the Association of Student Representatives, and the President of the University.

Revision of Anti-Harassment Policy as approved by the Academic Faculty Assembly on March 26, 2010.

Revision of the rule that defines which retirees will be allowed to continue participating in the University’s group health insurance plan.

Revision of “Use of Human Subjects in Research” to reflect changes approved by the Institutional Review Board.

Revision of the Faculty Development Committee Standard Operating Procedures to reflect changes approved by the FDC on September 26, 2008.

Revision of the Bylaws of the Board of Trustees to reflect changes approved by the Board on May 16, 2008, and January 23, 2009.

Revision of “Special Benefits for Retired Faculty and Staff.”

Revision of “Voluntary Retirement Contributions.”

Revision of “Standing Committees of the University” to reflect the elimination of the following committees: Academic Integrity, University Court, University Honorary Degrees, Voluntary Employment Benefits Association, and Mitchell Visiting Professor Committee.

Revision of the “Constitution of the Faculty Organization” to reflect changes approved by the Academic Faculty Assembly on March 20, 2009.

Revision of “Policy Regarding Disruption of Class” to reflect changes approved by the Academic Faculty Assembly on March 20, 2009.

Revision of “Academic Integrity Policy” to reflect changes approved by the Academic Faculty Assembly on March 20, 2009.

Revision of “The Academic Honor Code” to reflect changes approved by the Academic Faculty Assembly on May 2, 2008.

Addition of Information Technology Policies, approved by the President July 2008.
### SUMMARY OF RECENT REVISIONS TO THIS HANDBOOK

<table>
<thead>
<tr>
<th>Date</th>
<th>Section(s)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>7/7/2008</td>
<td>8D, I, B, 1, c</td>
<td>Addition of sentence waiving the Student Activity Fee for non-degree-seeking spouses taking only one undergraduate course per semester.</td>
</tr>
<tr>
<td>6/20/2008</td>
<td>2E, V, H</td>
<td>Addition of the Faculty Gold Room Oversight Committee to the listing of Administrative Committees.</td>
</tr>
<tr>
<td>6/5/2008</td>
<td>2E, III, D</td>
<td>Revision of the title and description of the Committee for Student Evaluation of Courses and Faculty to reflect changes approved by the Academic Faculty Assembly on October 19, 2007.</td>
</tr>
<tr>
<td>6/5/2008</td>
<td>6H</td>
<td>Revision of “Student Evaluation of Courses and Faculty” to reflect changes approved by the Academic Faculty Assembly on October 19, 2007.</td>
</tr>
<tr>
<td>6/5/2008</td>
<td>6J, VII</td>
<td>Revision of the rationale for “Understanding the Arts and Literature” to reflect changes approved by the Academic Faculty Assembly on December 6, 2007.</td>
</tr>
<tr>
<td>6/5/2008</td>
<td>8F, VI</td>
<td>Deletion of the section on “Leave without Pay.”</td>
</tr>
<tr>
<td>2/23/2008</td>
<td>6B, VII</td>
<td>Revision of the section on “Excused Absences from Class” to reflect the addition of University-sponsored theatrical productions (approved by the Academic Faculty Assembly on October 19, 2007).</td>
</tr>
<tr>
<td>2/12/2008</td>
<td>7C</td>
<td>Revision of the section on “Use of Trinity University Facilities.”</td>
</tr>
<tr>
<td>8/28/2007</td>
<td>1C, VII</td>
<td>Revision of the section on “The Office of University Communications” in order to reflect the reorganization of that office.</td>
</tr>
<tr>
<td>8/27/2007</td>
<td>2B, VI, D</td>
<td>Addition of the Interdisciplinary Second Major Committee to the standing committees of the University Curriculum Council (approved by the University Curriculum Council on February 2, 2007).</td>
</tr>
<tr>
<td>8/27/2007</td>
<td>2B, VI, A, 3</td>
<td>Revision of the section on the Commission on Graduate Studies to include “the Registrar or his/her representative” as a member of the Commission (approved by the University Curriculum Council on October 27, 2006).</td>
</tr>
<tr>
<td>7/23/2007</td>
<td>1C, VI</td>
<td>Revision of the section on “The Office of Information Resources” to reflect the reorganization of this office.</td>
</tr>
<tr>
<td>7/6/2007</td>
<td>8E, II, A</td>
<td>Revision of the section on “Retirement/Pension Plan and Social Security” to reflect the addition of Fidelity Investments.</td>
</tr>
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</table>
Revision of the description of Employee Benefits committee to reflect changes approved by the Faculty Senate and the administration in Fall 2005.

Addition of the Director of Internal Audit to the section listing “Other Fiscal Affairs Administrators.”

Revision of the section governing “Protection against Improper Academic Evaluation” to reflect changes approved by the Association of Student Representatives, the Academic Faculty Assembly, and the administration.

Deletion of public relations from the duties of the Vice President for External Affairs.

Deletion of Internal Auditor from the list of persons reporting directly to the President.

Addition of the Assistant Vice President for University Communications and the change of title for the Executive Assistant to the President.

Revision of the rationale for “Understanding Cultural Heritage” to reflect changes approved by the Faculty on December 7, 2006.

Addition of The Office of University Communications.

Deletion of academic divisions from the description of search committees for academic administrators other than the President.

Deletion of academic divisions and divisional councils from the discussion of “Curriculum and Academic Policies.”

Deletion of divisional councils from the description of the responsibilities of chairs.

Deletion of section describing divisional councils.

Deletion of academic divisions from the description of the responsibilities of the Vice President for Faculty & Student Affairs.

Deletion of academic divisions from the description of the budgetary process.

Revision of “Procedural Standards in Disciplinary Proceedings.”

Deletion of The Comptroller. Change of the title “The Director of Human Resources” to “The Assistant Vice President for Human Resources” and of the title “The Director of Campus Safety” to “The Director of Campus Security.”
<table>
<thead>
<tr>
<th>Date</th>
<th>Section(s)</th>
<th>Revision Details</th>
</tr>
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<tr>
<td>7/24/2006</td>
<td>2E, VI, C</td>
<td>Deletion of academic divisions from the description of the Council on Teacher Education.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>1C, II, C</td>
<td>Deletion of section describing The Academic Divisions.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>2E, II, I</td>
<td>Deletion of academic divisions from the description of the Information Technology Committee.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>2E, II, N</td>
<td>Deletion of academic divisions from the description of the Teaching and Learning Committee.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>2E, III, E</td>
<td>Deletion of academic divisions from the description of the Piper Professor Committee.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>2E, III, F</td>
<td>Deletion of academic divisions from the description of the Mitchell Visiting Professor Committee.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>2E, VI, E</td>
<td>Addition of Film Studies and revision of the term “Women’s and Gender Studies” in the list of Interdisciplinary Study Committees.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>3C, VI</td>
<td>Deletion of divisional councils from the list of Bodies of Advice and Consent.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>4A, I, B</td>
<td>Deletion of the term “Divisional” from “Divisional Faculty Development discretionary funds.”</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>4A, II</td>
<td>Deletion of the term “Divisional” from “Divisional Faculty Development discretionary funds.”</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>4A, III, A, 1</td>
<td>Deletion of academic divisions.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>4B</td>
<td>Revision of the Standard Operating Procedures for the Faculty Development Committee.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>4C</td>
<td>Revision of the description of Discretionary Faculty Development Funds to replace Associate Vice President for Faculty &amp; Student Affairs: Curriculum and Faculty Development (AVPAA:CFD) with Associate Vice President for Academic Affairs: Budget and Research (AVPAA:BR).</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>6B, IX, H</td>
<td>Deletion of academic divisions from the description of Trinity University Study Tours.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>7B, IV, C</td>
<td>Deletion of academic divisions from the policies governing Official University Web Pages.</td>
</tr>
<tr>
<td>7/20/2006</td>
<td>8A, II, D</td>
<td>Revision of the grievance procedure for contract employees to provide for a committee of final appeal.</td>
</tr>
<tr>
<td>3/24/2006</td>
<td>2E, II G</td>
<td>Addition of Diversity Committee to University Committees</td>
</tr>
<tr>
<td>3/24/2006</td>
<td>2E, V G</td>
<td>Deletion of Advisory Committee on Diversity from Administrative Committees</td>
</tr>
<tr>
<td>Date</td>
<td>Revision Number</td>
<td>Revision Details</td>
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<tr>
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<td>-----------------</td>
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<td>1/27/2006</td>
<td>1B,I</td>
<td>Revision of the Mission Statement by the Board of Trustees at their 1/20/2006 meeting</td>
</tr>
<tr>
<td>11/23/2005</td>
<td>1A</td>
<td>Revision to the Selection of the President section to change <em>Policy Statements of the Board of Trustees of Trinity University</em> to Charter and Bylaws of the University.</td>
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<tr>
<td>6/10/2005</td>
<td>2E, III, D</td>
<td>Revision of the description of the Committee for Student Evaluation of Courses and Faculty (circulated to the faculty on 10/2/2004 and approved by the faculty on 11/5/2004)</td>
</tr>
<tr>
<td>6/10/2005</td>
<td>2E, II, B</td>
<td>Insertion of revised description for the Admissions, Scholarships, and Financial Aid Committee (circulated to the faculty by the Faculty Senate on 2/27/05 and approved by the Faculty on 4/29/2005)</td>
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<tr>
<td>6/6/2005</td>
<td>1A</td>
<td>Add XVI, a Compensation Committee, to the list of committees of the Board of Trustees and adjust the numbering of the sections following.</td>
</tr>
<tr>
<td>6/3/2005</td>
<td>4A</td>
<td>Revision of the Statement on Faculty Development to form two separate panels: one to consider academic leaves and the other to consider summer stipends and course development grants.</td>
</tr>
<tr>
<td>6/1/2005</td>
<td>3C/D</td>
<td>Revision of section on Evaluation of Chairs of Departments and Programs to specify that the VPFSA is to meet individually with departmental or program faculty.</td>
</tr>
<tr>
<td>5/31/2005</td>
<td>2B</td>
<td>Revision &amp; Reorganization of the UCC By-Laws in order to delete references to “divisions” and including creation of a separate category, section VI, named “Standing Committees of the UCC.”</td>
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<tr>
<td>8/9/2004</td>
<td>1A c&amp;d</td>
<td>Corrections to Presidents and Board lists</td>
</tr>
<tr>
<td>7/26/2004</td>
<td>8D &amp; 8E</td>
<td>Revision of conditions for undergraduate and graduate tuition remission for dependent children of retired or deceased full-time employees and for group health insurance for retired faculty and staff.</td>
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<tr>
<td>6/5/2004</td>
<td>2A:VD</td>
<td>Changes to Terms of Office for P&amp;T Members section</td>
</tr>
<tr>
<td>6/5/2004</td>
<td>2A: VH</td>
<td>Changes to the Rules for Senate Appointment of Alternate Members to the P&amp;T Commission</td>
</tr>
<tr>
<td>6/5/2004</td>
<td>6B:VII</td>
<td>Insertion of religious holidays under Excused Absences from Class</td>
</tr>
</tbody>
</table>
For a summary of recent changes to this chapter, see *Chapter 9A: Summary of Recent Revisions to This Handbook.*

I. HANDBOOKS AND POLICY MANUALS

A. Faculty and Contract Staff Handbook (on-line)
   - Institutional History, Purpose, and Structure
   - Faculty Governance Structure
   - Faculty Governance Policy
   - Faculty Development
   - Researcher Responsibilities
   - Instructional Policies, Responsibilities, and Guidelines
   - Administrative Policies
   - Employment Policies and Benefits
   - Appendix

B. Fiscal Affairs Policies and Procedures (on-line)
   - General Information
   - Business Office
     - Accounting and Reporting
     - Accounts Payable and Expense Reimbursement
     - Cashier’s Operations
     - Payroll
     - Sponsored Projects (Grants)
     - Student Accounts and Student Loans
C. Personnel Policy Manual for Classified Employees

(Also known as the Classified Staff Handbook; issued from the Office of Human Resources to each administrative unit of the University.)

- General Information
- Definitions of Personnel Terms
- Employee Assignments and Titles
- Employment, Promotion, Demotion, and Transfer
- Position Classification and Reclassification
- Compensation
- Hours of Work
- Overtime
- Employee Relations
- Classified Staff Employee Conduct and Job Performance Guidelines
- Termination
- Grievance Procedure
- Funeral Leave
- Vacation Leave
- Sick Leave
- Court Leave
- Leave of Absence
- Holidays
• Education and Training
• Other Employee Benefits
• Personnel Records
• University Policy on Political Activity
• Harassment Policies
• Extended Disability Leave
• Health Risks of Alcohol, Drugs and Chemicals
• Legal Implication of Alcohol and Drug Use
• Extreme Weather Conditions
• Hazardous Materials
• Light Duty Work Policy

D. Student Handbook (on-line)

• Emergency Procedures
• Academic Calendar
• Policies and Regulations (excerpted from the Faculty and Contract Staff Handbook)
• Standards of Student Conduct
• Campus Sales and Solicitation
• Posters and Banners
• Miscellaneous Regulations concerning Students
• Residential Life Information, Policies, and Regulations
• Student Organizations
• Compliance Policy
II. BULLETINS OF TRINITY UNIVERSITY

A. Advising Handbook (on-line)

- General Information
- The Registration Process
- The Common Curriculum
- The Major and Minor
- Entrance Requirements and Placement Examinations
- Preprofessional Study at Trinity
- The Honors Program
- Study Abroad
- Scholarships and Fellowships
- Academic Policies and Regulations

B. Courses of Study Bulletin (on-line)

- Academic Calendar
- General Information
- Enrollment Information
- Financial Aid
- Degree Requirements
- Academic Regulations
- Graduate Studies
- Student Expenses
- Courses of Study
- Board of Trustees, Presidents, Officers
- Faculty
- Endowed Distinguished Professorships and Endowed Faculty Fellowships
III. OTHER PUBLICATIONS

A. Publications Issued by the Office of Human Resources

The Office of Human Resources periodically issues publications regarding procedures and benefits. Some of the publications include:

1. **Classified Hiring Guide for Supervisors**
   - Introduction
   - Laws Affecting Employee Selection
   - Starting the Hiring Process
   - The Selection Interview
   - Post-Interview Procedures
   - Conclusion
   - Employment Forms and Additional References

   - Introduction
   - Performance Review
   - The Five Phases of Performance Review
   - The Appraisal Forms and How to Use Them
   - Forms
   - Other Helpful Hints for the Appraisal Interview

3. **Student Employment Procedures: A Guide for Administrators and Supervisors**
   - Introduction
   - Initiating the Employment Process
   - Recruitment Methods
   - Selection Process
   - Recording Time Worked/Student Worksheet
CHAPTER 9. APPENDIX

- Personnel Policies
- Compliance with I.N.S. Regulations
- Requesting Wage Increases
- Disciplinary Action
- Terminations/Resignations

   - Introduction
   - Highlights of Texas Workers’ Compensation Reform Act, S.B. 1
   - First Report of Injury
   - Supplemental Report of Injury
   - Weekly Compensation Benefits
   - Payroll
   - Medical Benefits
   - Other Employee Benefits
   - Contact with Disabled Employee
   - Attorneys
   - Safety and Accident Prevention
   - Light Duty
   - Summary
   - Flowchart of Workers’ Compensation Insurance Claim Process

B. Study Abroad and Off-Campus Study

Available from the Study Abroad Office and also from the Office of International Programs.

- Initial Inquiry: A Guide to the International Programs Office
- Application Information
- Forms and Approvals Required by Trinity University
- Financial Aid
● Passport and Visas
● Academic Policies, Requirements, and Regulations
● General Information

C. International Student Handbook

Available from the Office of International Programs.

● About the Program
● Program Advisors
● International Matters: INS Regulations and Information
● Academic Matters
● Practical Matters: Campus Life
● American Culture: Adjustments
● Helpful Local and World Wide Web Sites, Acknowledgements, and Campus Map
I. THE ACADEMIC FACULTY

The Academic Faculty is defined as consisting of (1) those full-time members of the Faculty whose primary responsibility consists of teaching, research, and/or professional librarianship and (2) administrative personnel who hold Faculty rank and tenure in a Department or have primary responsibility in academic affairs (including the President of the University, and the University Librarian) but who are excluded from tenure in their administrative positions.

(Note: In all cases involving library Faculty, teacher shall be construed to mean "librarian”; teaching to mean "librarianship”; departmental or appropriate department to mean "library”; Chair to mean "University Librarian”; and Vice President for Faculty and Student Affairs to mean "Vice President for Information Resources.”)

II. MISSION STATEMENT

The promotion and tenure process at Trinity University serves to maintain the quality of the University through continuing enhancement of the Faculty’s teaching, librarianship, scholarship, artistic scholarship, and service. Standards for promotion and tenure must reflect the ideals of fairness, objectivity, and consistency both across all departments of the University and through time. The standards must also acknowledge and help to promote diversity of activities, perspectives, and responsibilities among the various departments, including the library, throughout the University, as well as among individuals. Consequently, there must be university-wide general standards that are both rigorous enough to ensure academic excellence throughout the University through successive years, and flexible enough to accommodate diversity among individual faculty members in the various departments and the library. In addition, there must be departmental and library criteria and guidelines that meet the general university-wide standards and that also reflect the particular responsibilities of the individual programs and clarify their special needs and emphases.
III. PROBATIONARY APPOINTMENTS

Probationary appointments may be for one, two, or three years and are subject to renewal. The total period of full-time service prior to the acquisition of tenure, including previous full-time service in other institutions of higher learning, will not exceed seven years, except that the probationary period may extend to as much as four years, even if the total full-time service in the profession thereby exceeds seven years. The terms of extension will be stated in writing on appointment. Credit for prior service is optional if, by mutual agreement at the time of the initial appointment, the appointee and the University stipulate in writing the years of prior service to be excluded. The precise terms of appointment, including the years of prior service to be credited, shall be stated in writing within the initial contract.

IV. EVALUATION OF PROBATIONARY FACULTY LEADING UP TO THE TENURE DECISION

A probationary appointee will be evaluated or reviewed annually, prior to the appropriate date of notification of non-reappointment stated below. At least biennially (for example during the second, fourth, and sixth years of an initial probationary appointment) the evaluation must involve the following procedure.

The departmental Chair will notify the probationary appointee of the forthcoming evaluation and confer with the Faculty member concerning details of the procedures to be followed. After notification the probationary appointee will submit in writing a self-evaluation of progress to date and any supporting materials deemed useful to the Department.

Then each tenured member of the Department, after examining the Faculty member’s self-evaluation, will submit a written evaluation comprising a recommendation for or against reappointment, the reasoning that supports the recommendation, and an assessment of the candidate’s progress towards tenure. Persons other than the tenured members of the Department may also participate in the process of evaluating a Faculty member: the Faculty member or the Department may request that advice relevant to the evaluation be sought from non-tenured members of the Department, current and former students, Faculty members in other departments, or other qualified scholars.

Following receipt of the evaluations and tabulation of the recommendations, the Chair will discuss the general results of the evaluation with the tenured members of the Department and then separately with the Faculty member. The Chair will give the Faculty member a copy of the written statement of the departmental recommendation, including a summary of the reasons for this recommendation; a copy of this statement will become part of the Faculty member’s evaluation file. At this time the Faculty member may respond to the recommendation, for example, pointing out any matter he or she considers factually inaccurate or inappropriate in a letter which becomes part
of the Faculty member’s evaluation file. The tenured members of the Department may make written reply to the Faculty member’s response to the departmental recommendation, and such reply also becomes part of the Faculty member’s evaluation file.

The unrecorded oral discussion in departmental meetings pertaining to the evaluation of candidates for tenure, promotion, and/or reappointment will remain confidential.

In years when the formal procedures of evaluation above are not followed, the Chair must convene the tenured members of the Department. The status of the probationary appointee will be reviewed in order to make a recommendation regarding the next appointment as required by the appropriate date of notification of non-reappointment. Since a decision not to reappoint should not be concluded apart from the opportunity for formal evaluation, the meeting of tenured Faculty shall be conducted early enough that, should the tenured Faculty find that they have any serious question regarding reappointment, including concerns over the candidate’s progress towards tenure, there would be time to invoke the formal procedures of evaluation before deciding on an official recommendation. Further, if at any level of administrative review a serious question regarding reappointment arises, the administrative recommendation or decision regarding reappointment shall be delayed in order for formal evaluation procedures to be conducted.

With respect to each probationary appointee who receives a continuing (non-terminal) contract, the Vice President for Faculty and Student Affairs (the Vice President for Information Resources in the case of librarians) will provide a written report to the Chair regarding the Administration’s review of the departmental evaluation. The report should include any differences in evaluation that might bear on progress towards tenure, whether these are areas of concern that were not addressed in the departmental evaluation, areas of departmental concern not shared by the Administration, or areas of mutual concern that are viewed with significantly different weight on the part of the Administration. The Chair will share the Vice President’s report with the tenured Faculty and forward a copy of the report to the Faculty member.

Where the decision is not to reappoint, the Faculty member shall be notified in writing by the President of the University. The Faculty member may request from the President that she or he be given the reasons contributing to the decision either orally or in writing, and she or he may request reconsideration. If a written statement of reasons is requested, the statement will become part of the Faculty member’s evaluation file.

If the probationary Faculty member being evaluated is a Chair, the functions relative to that particular evaluation that are normally performed by the departmental Chair shall be performed by a tenured member of the Department selected by the tenured members, or if there are no tenured members, by another departmental Chair designated by the Vice President for Faculty and Student Affairs.
V. EVALUATION OF PROBATIONARY FACULTY FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

A decision concerning tenure and promotion to Associate Professor will be made in the next to last year of a faculty member’s probationary period, in the sixth year of service of a probationary appointee with no prior service, or the year prior to that stipulated at which tenure must be granted to or withheld from an appointee with prior service. Nothing in this provision, however, shall prevent the Department and Administration from making a decision earlier than the generally stipulated time. The process and criteria of evaluation are the same as those for reappointment or non-reappointment, except that the recommendation is for granting or withholding tenure.

The departmental Chair will notify the probationary appointee of the forthcoming tenure evaluation and confer with the Faculty member concerning details of the procedures to be followed. After notification, the probationary appointee will submit in writing a self-evaluation and supporting materials that address the question of his or her merits for tenure and promotion.

Then each tenured member of the Department, after examining the Faculty member’s self-evaluation, will submit a written evaluation comprising a recommendation for or against tenure and promotion and the reasoning that supports the recommendation. Persons other than the tenured members of the Department may also participate in the process of evaluating a Faculty member: the Faculty member or the Department may request that advice relevant to the evaluation be sought from non-tenured members of the Department, current and former students, Faculty members in other departments, or other qualified scholars. In the evaluation of scholarship, professional achievement, and artistic achievement, evaluations by peer reviewers external to the University are required.

Following receipt of the evaluations and tabulation of the recommendations, the Chair will discuss the general results of the evaluation with the tenured members of the Department and then separately with the Faculty member. The Chair will give the Faculty member a copy of the written statement of the departmental recommendation regarding tenure, including a summary of the reasons for this recommendation; a copy of this statement will become part of the Faculty member’s evaluation file. At this time the Faculty member may respond to the recommendation, for example, pointing out any matter he or she considers factually inaccurate or inappropriate in a letter which becomes part of the Faculty member’s evaluation file. The tenured members of the Department may make written reply to the Faculty member’s response to the departmental recommendation, and such reply also becomes part of the Faculty member’s evaluation file.

The unrecorded oral discussion in departmental meetings pertaining to the evaluation of candidates for tenure and promotion will remain confidential.

The Chair shall transmit the departmental file on the case, including the Chair’s personal recommendation, along with peer evaluations by each tenured member of the Department, to the University Commission on Promotion and Tenure, for it is understood that the primary centers of review of a Faculty member’s merits for tenure and/or promotion will be the Department and the
The Commission on Promotion and Tenure.

The Commission shall review all the materials involved. If any members of the Commission have major questions that cannot be resolved from the candidate’s dossier alone, the Commission shall solicit additional information from any source it may deem appropriate. The Commission will develop its own recommendation on the case. If the Commission’s recommendation differs from the departmental recommendation, the Commission shall provide a detailed letter that sets forth the recommendation and the reasoning that supports it. The Commission shall send this letter to the Department and to the candidate, offering the Department the opportunity to supply arguments for reconsideration. In cases when the Department decides to supply arguments for reconsideration, the Department will give the Faculty member a summary of the departmental appeal; this summary statement and any response by the Faculty member to it will become a part of the Faculty member’s evaluation file. Before sending its recommendation to the President, the Commission shall give consideration to any new arguments supplied by the Department, including any response by the Faculty member. The Commission will then add its recommendation regarding tenure and promotion to that of the Department and will forward the complete file, including the recommendation of the Department and any subsequent arguments and counterarguments, to the President of the University, with a copy of the letter of recommendation to the Vice President for Faculty and Student Affairs (or the Vice President for Information Resources in the case of librarians).

The Vice President for Faculty and Student Affairs (or the Vice President for Information Resources in the case of librarians) shall develop his or her own recommendation on the case. If the Vice President’s recommendation differs from the Commission’s or the Department’s, the Vice President shall provide a detailed letter that sets forth his or her recommendation and the reasoning that supports the recommendation. The Vice President shall send this letter to the Department, and to the candidate, offering the Department the opportunity to supply arguments for reconsideration. The Vice President shall also send this letter to the Commission as a courtesy. Before sending his or her recommendation to the President, the Vice President shall give consideration to any new arguments supplied by the Department. The Vice President will then send his or her letter, including any subsequent arguments, to the President.

The President shall make the decision regarding tenure and promotion. If the President’s decision differs from that of the Department and/or the Commission or denies the candidate tenure and promotion, the President shall so notify in writing the Commission, the Department, and the candidate, giving the reasons for his or her decision. The Department, the Commission, and/or the candidate may then request reconsideration by the President, supplying whatever arguments are deemed appropriate.

When an initial appointment to the Faculty of Trinity University involves tenure or promotion to a rank higher than that held by the candidate at another institution (except when the promotion is to Assistant Professor), the procedures for recommendation and approval are the same as those for
the promotion and tenure of probationary appointees described above except that a self-evaluation by the candidate is not required. The evaluation file prepared by the recommending Department for the Commission on Promotion and Tenure must include evaluations and recommendations from each tenured member of the Department and a summary recommendation from the departmental Chair. The evaluation file will be reviewed at a convened meeting of the Commission on Promotion and Tenure.

Upon receipt of notification of the decision to grant tenure and promotion, the Faculty member acquires full rights and responsibilities of other tenured members in respect to termination for cause or financial exigency. A decision to withhold tenure and promotion means that the final probationary contract will be terminal.

Note: Candidates for tenure should also refer to the section below on "Documentation for Candidates for Promotion and Tenure."

VI. EVALUATION OF TENURED FACULTY FOR PROMOTION TO PROFESSOR

A. Merit. Promotion is based on merit and is not automatic.

B. Criteria. Promotion shall be based on the same University criteria used in considerations of reappointment and tenure.

C. Procedures

Recommendations for promotions will normally originate in the Department and will involve all tenured members. Consideration of Faculty members whose promotion would involve an exception to the formal standards for ranks may be initiated by the Faculty member, the Department, or the Administration. The process of evaluation and reporting is the same as that for tenure (see section V, Evaluation of Probationary Faculty for Tenure and Promotion, above) except that the recommendation is for or against promotion.

The President or the VPFSA/VPIR may initiate the evaluation process for promotion, but the Chair and all tenured members of the appropriate Department must be involved in the process.

These procedures also shall be followed in cases involving both initial appointment to the Faculty of Trinity University and promotion to a higher rank than currently held by the candidate at another institution.

Final approval or disapproval will be made by the President of the University.
VII. APPEAL OF NEGATIVE DECISIONS FOR TENURE AND PROMOTION

A decision not to promote or grant tenure does not necessarily imply unfitness. The decision, however, must result from adequate consideration, as specified by the evaluative procedures and stated criteria above. The decision also must not violate the Faculty member’s academic freedom, or be based on ethnic, religious, age, or sex discrimination.

If the Faculty member alleges that the decision was based on considerations in violation of her or his academic freedom; or on religious, sex, age, or ethnic discrimination; or on inadequate consideration, the Faculty member may appeal in accordance with procedures of Due Process (Chapter 3A, Article VI).

The faculty member should exhaust all University methods of appeal before taking a complaint to civil or governmental agencies.

VIII. STANDARDS FOR RANKS AND PROMOTION

The following standards for ranks and promotion are normal qualifications and are intended to be flexible. Meeting the requirements of a particular rank does not automatically insure appointment or promotion to that rank. Moreover, exceptions to some requirements may be made for individuals who are judged to be qualified for a certain rank by reason of recognized competence in their fields.

Faculty Ranks

1. Instructor. A person appointed to this rank shall have earned at least the Master’s degree in the area to which he or she is appointed or shall have achieved the equivalent in graduate education, such as persons who have completed all doctoral work except the dissertation.

2. Assistant Professor. A person appointed or promoted to this rank shall have earned the highest degree appropriate to his or her discipline.

3. Associate Professor
   a. A person appointed or promoted to this rank shall have earned the highest degree appropriate to his or her discipline.
   b. The candidate for promotion to the rank of Associate Professor shall, at the time of consideration, have had no fewer than five years of experience in teaching or librarianship at the rank of Assistant Professor.
c. The candidate shall have demonstrated ability to contribute to his or her field as evidenced by such scholarly activities as research projects, grants, awards, leadership in learned societies, and publications or artistic production.

4. Professor

   a. A person appointed or promoted to this rank shall have earned the highest degree appropriate to his or her discipline.

   b. She or he shall have established a record of effectiveness as a teacher or librarian, a record of scholarly or artistic productivity, and a record of leadership in the University and/or the larger community, which is, on the whole, outstanding. Neither possession of the relevant degree, seniority in the Department, or a combination of both shall alone be sufficient cause for promotion to this rank.

   c. The candidate for promotion to the rank of Professor shall, at the time of consideration, have had no fewer than five years of experience at the rank of Associate Professor.

IX. CRITERIA FOR REAPPOINTMENT, TENURE, AND PROMOTION

A. University Criteria

A decision to recommend reappointment and/or the awarding of tenure shall be based on the following criteria:

1. quality of teaching or librarianship;

2. quality of scholarship, research, or professional or artistic achievements; and

3. service to the Department, the University, the profession, and the community.

As a primarily undergraduate, liberal arts institution with a few select professional and pre-professional programs, Trinity University strives for excellence in teaching. In recognition of the close relationship between quality instruction and an active scholarly, professional, or artistic life, achievements in these areas must also be given significant weight. Accordingly, all promotions must be based on high priority being given to a combination of teaching and scholarship/artistic achievement.

Service to the Department, the University, the profession, and the community is an important responsibility for all members of the Trinity Academic Faculty. Thus, service should not be neglected in any weighting of the criteria, but also should not take precedence over either teaching or...
librarianship, on the one hand, or scholarship/artistic performance on the other hand.

Given Trinity’s character as a primarily undergraduate, liberal arts institution that values scholarship and artistic performance, departmental and library criteria should reflect an emphasis on quality rather than quantity. At the same time, quantity is not unimportant.

The accomplishments and potential of the individual shall be the major basis for the decision. However, the present and future needs of the University shall also be carefully weighed. A decision to reappoint indicates progress toward tenure.

**B. Departmental and Library Criteria.**

1. Critical to the issues of fairness, objectivity, and consistency in promotion and tenure is clear communication among the university-wide bodies responsible for over-seeing the promotion and tenure process, the various departments or the library, and individual Faculty members. Accordingly, each Department and the library must have clear, written expectations and criteria used in assessing a candidate’s progress towards tenure and/or promotion. Differences in expectations and criteria for tenure and promotion to Associate Professor and for promotion to Professor must also be clarified. These expectations and criteria are to be submitted initially to the VPFSA/VPIR and the Promotion and Tenure Criteria Approval Committee for pre-approval. (Subsequent, periodic reviews will be done by the VPFSA/VPIR and the commission on Promotion and Tenure.) This will help ensure that individual programs, the Commission, and the Administration apply the same standards and criteria to any given applicant for tenure and promotion. It is the responsibility of the Commission and the VPFSA/VPIR, as well as of individual Department chairs and the University Librarian, to ensure that the criteria and guidelines of each program meet the general standards of the University.

2. In developing their expectations and criteria, departments and the library must conform to the general university-wide criteria specified above under ”Criteria for Reappointment, Tenure, and Promotion.” At the same time, departments and the library are to develop their own criteria that reflect the particular responsibilities of the individual programs and that clarify their special needs and emphases. This may be done, for instance, by utilizing general illustrative examples of satisfactory progress; or by specifying what criteria are to be used in assessing satisfactory progress especially at the formal fourth year review; or by specifying what sort of lacunae in a candidate’s record would be problematic especially in the fourth and fifth years; or by some other appropriate but reasonably specific means. In developing specific criteria, departments may wish to refer to paragraphs V-VIII in the section on ”Documentation for Candidates for Promotion and Tenure” below.

3. Implementation. It is intended that all departments and the library will develop
their written criteria (if they do not already have some such document) within one year from the adoption of the new policy. It is expected that the initial pre-approval of all departmental and library criteria will occur within two years from the adoption of the new policy.

The initial round of pre-approval of departmental and library criteria will be accomplished by the VPFSA/VPIR and the Promotion and Tenure Criteria Approval Committee. This temporary committee will consist of seven former members of the University Commission on Promotion and Tenure, with at least one, but not more than two, elected from each disciplinary group. The nomination, election, and replacement procedures for members of this committee will be the same as that specified for the Commission on Promotion and Tenure (Chapter 2A, Article V). It is anticipated that the initial round of pre-approval of criteria will begin during the spring semester of 2003 and will be completed by the end of the spring semester, 2004. Once the initial round of pre-approval is complete for all departments and the library, the Promotion and Tenure Criteria Approval Committee will be disbanded.

4. Periodic Reviews

   a) Review procedures

After initial pre-approval of departmental and library criteria, the VPFSA/VPIR and the Commission on Promotion and Tenure will review departmental criteria on a five-year cycle. For determining the departmental or library sequence for the first cycle of reviews, departments and the library will be selected randomly, in groups of about five, to begin the review process in the fifth year after the initial pre-approvals are completed.

The office of the VPFSA/VPIR will notify Department chairs and the University Librarian on or before September 1 of reviews that are scheduled for that academic year, and will provide the departments and the library with a timetable for the review. If a Department or the library feels that its current criteria are still acceptable and in no need of revision, the VPFSA/VPIR and Commission will review the existing criteria to ensure that they continue to meet the University standards for excellence. If a Department or the library believes that its criteria need alterations before the end of its five-year cycle, it may petition the VPFSA/VPIR prior to September 1 for such a review with an explanation of the need for an interim review. In consultation with the Commission, the VPFSA/VPIR will determine whether or not to grant the Department or the library an opportunity to submit its revised criteria. In the event that a petition is granted, departments or the library are to follow the timetables established for departmental reviews.
b) Timetable for Phasing in Revised Criteria

Revised criteria should be implemented immediately, except in cases regarding faculty members who are within four years of tenure and promotion to associate professor or within four years of eligibility for promotion to professor. In such cases, faculty members shall be given the option of sending forward their applications for tenure and promotion or promotion with either the existing or revised criteria. Faculty members who are more than four years from applying for tenure and/or promotion must abide by the revised criteria.

X. DOCUMENTATION FOR CANDIDATES FOR PROMOTION AND TENURE

The Constitution of the Faculty Organization at Trinity University (Chapter 2A) Article V.A.1 instructs members of the Commission on Promotion and Tenure to "review every departmental recommendation to grant or deny tenure, or to grant or deny promotion, to a member of the faculty. In making its review and formulating its recommendations, the Commission shall have as its primary concern the maintenance of fair and objective standards for peer-review decisions across the University." Evaluations of each candidate are to be based on the criteria stated in Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement) Article IV.G:

1. quality of teaching or librarianship,
2. quality of scholarship, research, or professional or artistic achievements, and
3. service to the Department, the University, the profession, and the community.

In preparing documentation addressing the above general criteria, candidates and departments should follow guidelines below to provide the most complete and informative presentations to the Commission.

In particular, candidates and departments are encouraged to submit materials in a common format, not only in the documentation but in addressing each of the criteria. The experience of the Commission indicates that the inclusion of certain critical items in a uniform way facilitates fairness and more informed decisions. Of particular importance to the Commission is the review by each tenured member of the Department, including the Chair, and the Chair's written statement of the departmental recommendation including a summary of the reasons for this recommendation (see Chapter 3A Article IV.E: Evaluation of Probationary Faculty). Because the documentation will, under normal circumstances, include outside evaluations of the candidate’s scholarship, research, and professional or artistic achievements, each Department shall devise a clearly stated policy
for selecting outside evaluators and shall clearly describe the task that outside evaluators should perform.

To assist the candidate and the Department, the Commission on Promotion and Tenure recommends the following format:

I. a brief guide to the submitted material (i.e., a Table of Contents).

II. a statement from the Department that lists
   a. the procedures of the Department.
   b. the pre-approved departmental criteria, including the relative weight of the three general criteria stated in Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement) Article IV.G.

III. a description of any agreement between the University and the applicant concerning specific duties during the evaluation period, and an explanation of how this agreement should affect the relative weight of the three general criteria.

IV. a current expanded curriculum vitae.
   a. Include standard entries pertaining to
      i. Education;
      ii. Current and previous professional experience;
      iii. Teaching responsibilities or librarianship;
      iv. Biographical data;
      v. Service to Department, University, profession and community;
      vi. Honors and awards; and
      vii. Other scholarly activities.
   b. Identify bibliographical items carefully, using standardized citations and complete information on each entry. Indicate refereed articles or presentations, primary author and approximate percentage of contribution in multi-authored works, specific information about grants or fellowships, and status of works-in-progress or works submitted for publication.

V. A self-evaluation based on the three general criteria identified in Chapter 3A: Academic Freedom, Responsibility, and Employment of Faculty (Policy Statement), Article IV.G. The Commission emphasizes the importance of this document and urges the candidate to take great care in its preparation and to address each of the criteria: teaching, research/artistic achievement, and service.
a. Teaching or librarianship.

i. For teaching: Describe goals, philosophy, expectations. List courses taught and discuss development, improvements, and future directions. Provide an analysis of student evaluations of your teaching, using tables, charts, and other data if appropriate. Indicate how you have contributed to the Department’s and University’s expectations on teaching.

ii. For librarianship: Describe your area(s) of responsibility and interest. Describe your goals, philosophy, and expectations. List accomplishments in your area(s) of responsibility and indicate how they have contributed to the library and to the university.

b. Scholarship, research, and/or professional or artistic achievement. Describe goals, philosophy, and expectations. Indicate your areas of interest and achievements in terms of publications, presentations, performances, exhibitions, and inclusion in the classroom. Discuss the quality of the journals and/or the refereed nature of your publications or presentations. Provide information on future research goals.

c. Service. Describe your University, professional, and community activities. Discuss their impact on your self-development and on the other criteria. (Within this self-evaluation, please address advising by describing your participation, your approach and procedures, your results.)

VI. Information concerning Teaching and Librarianship. Under normal circumstances this will include

A. For teaching:

1. Student evaluations (it is suggested that persons submitting materials for promotion to Professor should include evaluations since their promotion to Associate Professor).

2. Course syllabi, sample assignments, tests.

3. Descriptions of participation on graduate thesis and/or project committees, if applicable.

4. Development of new courses and programs.

5. Grade distributions (it is helpful if the candidate submits summaries or trend analyses of the results of the evaluations submitted).
B. For librarianship:

1. Development of programs that support and encourage information fluency in the Trinity community.

2. Development of other new and innovative programs in the library or on campus.

3. Evidence of effective use of organizational methods or of tools for access to information resources.

4. Evidence of ongoing or new methods that enhance efficiency or effectiveness of library operations.

5. Evidence of effective collection management in response to curricular or research needs of the University.

6. Evidence of productive liaison activity with library users.

VII. Evidence of scholarship, professional achievement, and artistic achievement. Under normal circumstances this will include

a. Lists of publications, including journal articles, proceedings, presentations, exhibits, bibliographies, indexes, and performances (audio or video tapes may be included).

b. Copies of publications. If publication is a portion of a collective work or a reference work, a photocopy of the candidate’s contribution is sufficient.

c. Reviews of books, plays, performances, exhibitions, findings.

d. Evaluations by peers internal and external to the University. Inclusion of the following is required:

   i. Procedures of the Department in selecting external reviewers,

   ii. Information solicited and materials provided to the reviewer, and

   iii. Biographical information on the external reviewer.

e. Descriptions and examples of written research proposals.

f. Descriptions of grants received.

g. Descriptions of honors and awards.

VIII. Evidence of service to the Department, the University, the profession, and community. Under normal circumstances this will include
a. Lists and descriptions of activities.

b. Copies of reports completed.

c. Descriptions of results achieved.

IX. Peer evaluations by each tenured member of the applicant’s Department.

   a. An evaluation from each member, including the Chair’s individual eval-
   uation. University policy requires that each tenured member evaluate the
   candidate in respect to all three criteria: teaching or librarianship, research/artistic
   achievement, and service. b. Even if a tenured member is on academic or
   administrative leave, his or her contribution is highly desirable.

X. The Chair’s summary of the tenured members’ evaluations and the departmental
   recommendation pertaining to the granting of tenure and/or promotion.

XI. AMENDMENT PROCEDURE

The contents of this Appendix (Policies and Procedures for Promotion and Tenure of Academic
Faculty) may be amended by

1. a majority of the membership of the Faculty Senate; 2. a majority of the Trinity University
   Academic Faculty; and 3. the Trinity University Board of Trustees.

Amendments may be initiated by the Faculty Senate, the Academic Faculty, or the Board of
   Trustees. Before voting upon a prepared amendment, at least fourteen days notice shall be given
   in writing to the membership of the Senate, the Academic Faculty, and the Board of Trustees.