CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Policy regarding
Faculty Consulting and Research with Public or Private Entities
November 21, 2013

WHEREAS, The Board of Regents in accord with the Connecticut state Colleges and Universities recognize that the faculty professional activities such as consulting or engaging in a research project for a public or private entity often is useful in maintaining and enhancing the faculty member’s academic scholarship and competence; and

WHEREAS, the primary responsibility of full-time faculty during the academic year is to their respective college or university; and

WHEREAS, Section 1-84(r)(2) of the General Statutes requires the board to adopt a policy regarding faculty consulting agreements and research projects with public and private entities, requires that procedures be promulgated at the institutions to manage and account for such agreements and projects, and provide information semiannually to an oversight committee established pursuant to the statute;

WHEREAS, The Board of Regents has established a process to create and adopt policy that would supersede policies of the Boards of Trustees of the Connecticut State University System, the Regional Community – Technical Colleges and the Board of Academic Awards; therefore, be it.

RESOLVED, That the Board of Regents rescinds the following policy, “Connecticut State University System Policy Regarding Faculty Consulting and Research with Public or Private Entities adopted pursuant to BR#07-55; and be it

RESOLVED, that the Board of Regents adopts the attached “Policy Regarding Faculty Consulting and Research with Public or Private Entities” effective immediately.

A True Copy:

Erin A. Fitzgerald, Secretary
CT Board of Regents for Higher Education
Policy Regarding Faculty Consulting and Research with Public or Private Entities

Faculty professional activities such as consulting or engaging in a research project for a public or private entity often are useful in maintaining and enhancing the faculty member's academic scholarship and competence. However, the primary responsibility of full-time faculty during the academic year is to the Board of Regents for Higher Education of the Connecticut State Colleges and Universities and their respective institution. The value of these outside activities is recognized through Collective Bargaining Agreements and statute and regulation.

For the purposes of this policy, consulting shall be defined as the provision of services for compensation to a public or private entity by a member of the faculty or member of the faculty bargaining unit: (i) when the request to provide such service is based on such member's expertise in a field or prominence in such field, and (ii) while such member is not acting in the capacity of a state employee.

For the purposes of this policy, research shall be defined as a systematic investigation, including, but not limited to, research development, testing and evaluation, designed to develop or contribute to general knowledge in the applicable field of study.

Faculty is expected to comply with the applicable provisions of the aforementioned Collective Bargaining Agreement, state statute and regulation. As such, no faculty member may engage in consulting agreement or research project that (A) inappropriately uses the institution's proprietary information in connection with such agreement or project; (B) interferes with the proper discharge of his or her employment with the university; and/or (C) inappropriately uses such member's association with the institution in connection with such agreement or project.

Each institution shall establish internal operating procedures that shall ensure, to the extent possible: (i) the disclosure, review, and management of conflicts of interest relating to any such agreement or project; (ii) the approval of the chief academic officer and dean of the institution prior to any such member entering into any such agreement or engaging in any such project; and (iii) the referral of any failure to comply with the provisions of this policy or institution procedure to the applicable disciplinary process outlined in the Collective Bargaining Agreement. Each institution shall provide a report to the Office of the BOR President of any such approved activities on or before May 1 and November 1 of each year. In addition, the Director of Internal Audit for the Connecticut State Colleges and Universities shall audit each institution's compliance with the established internal procedures and this policy annually.
ITEM
The Board of Regents for Higher Education establishes and adopts a policy regarding “Faculty Consulting and Research with Public and Private Entities” that shall be applicable to the full-time faculty at the Connecticut State Colleges and Universities.

BACKGROUND
The Community College audit revealed that the statutorily required policy was not acted upon by the previous Board of the Trustees. Consequently this action is necessary to assure that all of the constituent units under the Board of Regents are brought into compliance.

ANALYSIS
This Policy regarding Faculty Consulting and Research with Public or Private Entities is an updated policy for the CSUs and a new policy for Charter Oak and the Community Colleges. The “new” requirement for the CSU was a recommendation that both the Dean of the institution and Chief Academic Officer approve any such arrangements. Previously either the Dean or the Chief Academic Officer would be able to approve such arrangement. This policy is required for all constituent units of higher education by statute and the lack of such policy was noted in the Auditors of Public Accounts Report – Board of Trustees of Community-Technical Colleges System for the Fiscal Years Ended June 30, 2010 and 2011. The report also noted that this deficiency would be rectified.

RECOMMENDATION
That the Board of Regents for Higher Education in compliance with the provisions of § Section 1-84(r)(2) approve the attached resolution which to adopt and implement a policy regarding “Faculty Consulting and Research with Public and Private Entities.”

11/15/13 – Administration Committee
11/21/13 – Board of Regents