

CSCU BOARD OF REGENTS FOR HIGHER EDUCATION
Central Connecticut State University
Procedure for Reporting of Research or Consulting
With Outside Public or Private Entity

Introduction/Purpose:

On October 20, 2016, the Board of Regents for Higher Education adopted a Policy on Faculty Consulting and Research with Public or Private Entities (“Consulting Policy”) for the Connecticut State Colleges and Universities (“CSCU”). The Consulting Policy applies to Central Connecticut State University’s (“CCSU’s”) full and part-time faculty. On November 18, 2016, the CSCU System Office developed an Administrative Protocol that provides that although both full and part time faculty must comply with the Consulting Policy, part time faculty do not need the Provost’s permission to engage in consulting or research. Part time faculty may, however, seek permission should they wish to do so. The Consulting Policy requires that CCSU develop procedures to manage and account for consulting and research by full time faculty, and provide information semiannually to an oversight committee at CSCU. The information provided will be reviewed to assure that statutory ethical requirements are met and that no full time faculty member may engage in a consulting agreement or research project that:

1. Inappropriately uses CSCU and/or CCSU proprietary information.
2. Consults or performs consulting or research in a manner that interferes with the proper discharge of their duties.
3. Inappropriately uses their association with CCSU and/or CSCU in connection with any consulting agreements and research projects outside of the faculty member’s primary responsibility as an employee of CSCU.

Scope:

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. The value of these outside activities is recognized through Collective Bargaining Agreements and statute and regulation. 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.

There is a set of purely academic activities that all faculty members are normally expected and encouraged to undertake. Such activities would include, but are not limited to, reviewing books, articles and research proposals (i.e. federal grant study sections), presenting occasional lectures and speeches, creation of works of art. The nature of such activities will vary from one discipline to another – but the underlying principle is that they are part of faculty members’ expected academic professional development.

Research is defined as a systematic investigation, including, but not limited to, research development, testing and evaluation, designed to develop or contribute general knowledge in the applicable field of study.

Consulting is 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” while such member is not acting in the capacity of a state employee.

All consulting done by all faculty members must conform to the following conditions:

1. Consulting activities must not interfere or conflict with the execution of the faculty member's normal duties.
2. Consulting activities must not create any conflict of interest with CSCU and/or CCSU or violate State statutes related to conflicts of interest.

Procedure:

Per the "Board of Regents Policy on Faculty Consulting and Research with Public or Private Entities," Central Connecticut State University shall establish internal operating procedures that shall ensure, to the extent possible the:

1. Disclosure, review and management of conflicts of interest relating to any such agreement or project.
2. Approval of CCSU's Academic Deans and Provost prior to any such member entering into any such agreement or engaging in any such project.
3. Referral of any failure to comply with the provisions of this policy or procedure to the applicable disciplinary process outlined in the Collective Bargaining Agreement.

CCSU shall provide biennial reports to the BOR President and Director of Internal Audit on or before May 1 and November 1 of each year. Note that biennial reports will be sent even if no activity has been reported. Information provided on the Faculty Consulting and Research Projects Semi-Annual Report must include the following:

1. Faculty Member's Name
2. College Department/Discipline
3. Name of Public/Private Entity
4. Duration of Project (include beginning and end dates)
5. Brief Description of Consulting Duties or Research Project
6. Decision Regarding In Compliance/Not In Compliance

At the start of each semester (Fall and Spring) the Office of Academic Affairs shall distribute electronically to all full and part-time faculty information as promulgated by the "Board of Regent's Policy on Faculty Consulting and Research with Public or Private Entities." Included in this communication will be the BOR policy (see Attachment A) , the "Compliance Form for Reporting of Research or Consulting with Outside Public or Private Entity" (see Attachment B), and a list of Frequently Asked Questions – FAQs (see Attachment C) prepared by the Board of Regents to assist faculty members in: understanding their responsibility under Connecticut General Statutes Section I-84(r)(2) and Board of Regents Policy; and providing faculty with requirements of the policy and when consulting and research activity should be reported.

In general, all full time faculty members who are hired/contracted by a public or private entity to perform consulting or research activities during the Fall and Spring semesters coterminous with his/her regular faculty duties must complete the Compliance Form disclosing consulting and/or research with private and/or public entities. Full time faculty must also submit a Compliance Form when consulting or research activity occurs mid-semester or changes from when submitted and approved at the start of the semester.

Faculty are informed that pursuant to the 2016 Guide to the Code of Ethics for Public Officials and State Employees, state employees “may not utilize state time, materials or personnel in completing tasks for outside employment” and, as required by policy, CCSU must report faculty consulting and research activity to the BOR President and Director of Internal Audit on or before each November 1st and May 1st, even if no activity occurred.

CCSU’s Academic Deans review the submitted compliance forms and determine whether to recommend or not recommend the activity. The Provost then reviews and indicates whether or not the activity is “in compliance” or “not in compliance.” This internal review ensures the:

1. Disclosure, review, and management of conflicts of interest relating to any such agreement or project.
2. Approval or disapproval of CCSU’s Academic Deans and Provost prior to any such member entering into any such agreement or engaging in any such project.
3. 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.

The original compliance form is maintained in the Provost’s Office. A copy is sent to the faculty member and their Dean, and a copy is also placed in the faculty member’s personnel file.

Compliance Form Review:

CCSU’s Academic Deans and Provost will make every effort to turn Compliance Form submissions around as quickly as possible. During the semester, such review and reply to approve the faculty member’s Compliance Form should not take more than 48 hours business time (Monday through Friday) ordinarily.

The Academic Deans and Provost determine compliance by:

1. Determining if the request is professional in nature and will not interfere with the proper discharge of his or her employment with CCSU (scheduled classes, advising duties, office hours, and other institutional responsibilities).
2. Verifying that activity is based in the faculty member’s discipline and that the faculty member does not inappropriately use CSCU’s or CCSU’s proprietary information in connection with said agreement.
3. Determining whether the faculty member receives compensation and that there is no conflict of interest.
4. Establishing that the name of the entity, description of work and dates of engagement are clearly specified.

Sanctions:

Any faculty member who intentionally provides misleading or false information during the course of the approval process or who continues formally disapproved consulting or research activity will be subject to the disciplinary process in such member’s collective bargaining agreement. Such disciplinary action may include, but is not limited to: letter of reprimand; loss of the privilege to continue to engage in consulting activities; suspension; or dismissal.

Record Retention:

Documents obtained pursuant to this policy and protocol shall be stored in the Office of Academic Affairs and at the Board of Regents review level. Documentation shall be retained for the appropriate

retention period for employment records promulgated by the State of Connecticut and by institution or System Office policies and procedures.

Statutory/Administrative Regulation:

Connecticut General Statutes, Section I-84(r)(2)

Responsible Function Area:

Office of Academic Affairs

Attachments:

A: BOR Faculty Consulting and Research with Public or Private Entities Policy

B: Compliance Form for Reporting of Research or Consulting with Outside Public or Private Entity

C: Frequently Asked Questions (FAQs) prepared by the Board of Regents