



**Meeting of the
Committee on Human Resources and Administration
BOARD OF REGENTS FOR HIGHER EDUCATION
1st Floor Board Room, 61 Woodland Street, Hartford, CT
1:00 p.m., Thursday, January 19, 2017**

AGENDA

1. Call to Order
2. Approval of Meeting Minutes of November 10, 2016
3. Action: Code of Conduct for CSCU Personnel
4. Executive Session
 - a) Discussion: collective bargaining
 - b) Discussion: update on pending litigation
 - c) Discussion: appointment or evaluation of a public officer or employee
5. Action: Appointment of the Dean of Administration at Middlesex Community College
6. Old Business
7. New Business
8. Adjournment

Committee members

Naomi K. Cohen, Chair
Yvette Melendez
Richard J. Balducci
Elease Wright
David Jimenez

**BOARD OF REGENTS FOR HIGHER EDUCATION
HUMAN RESOURCES & ADMINISTRATION COMMITTEE**

Minutes

**1:00 p.m., Thursday, November 10, 2016
Room 310, 39 Woodland Street, Hartford, CT**

COMMITTEE MEMBERS PRESENT

Naomi Cohen, Chair
Richard Balducci
David Jimenez (Telephonic)
Elease Wright

COMMITTEE MEMBERS ABSENT

Yvette Melendez

BOR STAFF PRESENT

Alice Pritchard, Chief of Staff
Steven Weinberger, Vice President for Human Resources
Michael Lopez, Director of Human Resources Administration
Karen Stone, Director of Internal Audit
Ernestine Weaver, Counsel
Rosalie Butler, Administrative Assistant

CALL TO ORDER

With a quorum present, Chair Cohen called the meeting to order at 1:06 p.m.

APPROVAL OF MEETING MINUTES FROM SEPTEMBER 15, 2016

The minutes of the September 15, 2106 special meeting were unanimously approved on a motion by Regent Wright, seconded by Regent Jimenez.

DISCUSSION OF EMERITUS POLICY

Chair Cohen informed committee members that she had previously spoken to Vice Chair Melendez regarding this agenda topic and turned to VP Weinberger for further explanation. He indicated that conferring emeritus status has historically been a means to recognize senior academics for their renowned and significant contributions, typically with a minimum of 10 years of service. Subsequently, the emeritus title was extended to high-ranking senior system office personnel and administrative faculty. VP Weinberger explained various inconsistent policies which extend across the system, as well as the perks and emoluments associated with each. Provisions intended for faculty have filtered into other areas, including professional staff employees, registrars, athletic directors, and IT personnel. In total, 750 employees across four campuses are emeriti.

Additionally, for non-represented employees, BOR policy applies to Management Confidential personnel in leadership positions at the System Office and on campuses. The honor is conferred by either the system or a campus president. The service requirement is 10 years, minimum age

of 55 and retired. To date, VP Weinberger reported, emeritus perks and emoluments have not been an administrative burden.

A product of Board policy, the provision has not previously been a subject for bargaining. However, the CCC coalition has requested emeritus status be incorporated into their collective bargaining agreement. In response to Regents' questions regarding potential dilution of the title, VP Weinberger explained the CCC system had very limited experience conferring the title whereas, at the universities, faculty are subject to rigorous peer review. He also reiterated that the title has been extended to administrative faculty.

Discussion followed regarding presidential discretion to recognize a significant contribution, whether from faculty, or administrative faculty. Regents requested input from the campus presidents to define a "significant contribution". Chief of Staff Pritchard added that Board policy addresses those criteria: Distinguished service, advancing the institution's mission, and that emeritus status should "not be conferred as a matter of due course".

In response to a question from Provost Shirley Adams concerning whether or not COSC is able to bestow the privilege, VP Weinberger responded that the authority to confer status is contained within the Board of Regents 2013 revision to Management Confidential Policy, which supersedes local policies.

After discussion of inconsistencies in emeritus privileges between units, VP Weinberger offered that the issue has rarely surfaced. When a faculty member has retired and receives emeritus status, the institution wants him or her to voluntarily advise and play a role in the life of a university or college. With the rise of technology, the issue of available office space becomes less important. Access to e-mail is sufficient. Course privileges do not take up much time or resources, nor is it costing the system money. These are not highly-utilized benefits. Having different standards has not created an operational problem. These are different constituents with different missions. It is acceptable to have benefits that are not perfectly aligned.

Regents recommended the System President have dialogue with campus Presidents about emeritus status and recalibrate them periodically to reflect a recognized standard. Chair Cohen asked VP Weinberger to address the need for revision of collective bargaining agreements to reflect the merger and consolidation of legacy systems into CSCU.

DISCUSSION OF CODE OF CONDUCT FOR CSCU PERSONNEL

Chair Cohen indicated conversation had taken place a number of times regarding a System-wide Code of Conduct and how such a code should apply to all employees of CSCU.

VP Weinberger provided background related to the bargaining process. Codes of conduct concern negotiated terms of employment. The System does not have an adopted code of conduct, nor are there specific designated articles for code. Other provisions govern conduct, but none are codified.

VP Weinberger recommended the aggregation of current provisions into a single policy, applied to all system employees. While no new terms could be added, nor vary from existing terms, BOR

could produce a document to speak to these obligations. He further recommended examination of employee codes of conduct already adopted by executive branches.

Discussion followed on the advantages and disadvantages of a codified policy. VP Weinberger offered that some policies are contained in bargaining agreements, some in statute, some are contained in regulations. These are the standards by which the Board of Regents would expect employees to abide.

Regents indicated their desire to have a codified policy, whereby employees must read it and sign off. Toward that end, employees must be educated on appropriate behavior.

Regents believe that all employees, Regents, staff and others associated with the CSCU system have a general duty to exhibit conduct that is ethical and moral. In order to outline expectations for behavior, Regents directed management to look at other conduct policies, perhaps those of other state systems with multiple universities and community colleges, as well as a private system. They requested a draft document be available for review at the January 19, 2017 meeting.

DISCUSSION – APPLICATION OF FACULTY CONSULTING AND RESEARCH POLICY TO VOLUNTEERS

At its October meeting, the BOR ratified a change to its Faculty Consulting and Research Policy, prompting a question as to whether that policy also applies to volunteers. Following discussion, the Committee agreed any policy governing volunteer consulting and research would be included in the forthcoming draft Code of Conduct for CSCU Personnel.

ADJOURNMENT

With no further business to consider, the meeting was adjourned at 2:35 p.m. on a motion by Regent Wright, seconded by Regent Balducci.

CONNECTICUT STATE COLLEGES & UNIVERSITIES CODE OF CONDUCT

PURPOSE

Connecticut State Colleges and Universities (“CSCU”) is committed to the highest ethical and professional standards of conduct. Accomplishing this demands from all members of the CSCU community integrity, good judgment and commitment to public service as a public trust. While the CSCU affirms each person’s accountability for individual actions, it also recognizes that shared enterprise requires a shared set of core values and ethical conduct to which each member of the CSCU community is accountable. The CSCU Code of Conduct is intended to recognize that each member of the CSCU community is responsible for doing his/her part by upholding the highest standards of competence and character. This Code also applies to off-duty conduct that negatively impacts an employee’s employment relationship with CSCU. Such violations will be addressed under applicable disciplinary procedures

SCOPE

The CSCU Code of Conduct (“Code”) applies to the following:

- The Board of Regents for Higher Education, as both a collective and as individuals. Collectively, the Board of Regents for Higher Education is hereinafter referred to as “BOR” or “Board” while individual members of the Board of Regents for Higher Education are hereinafter referred to as “Regents”;
- All faculty, staff and independent contractors within the jurisdiction of the Board of Regents for Higher Education; and
- Volunteers and other representatives when speaking or acting on behalf of the Board, CSCU or any of its composite institutions.

All persons to whom this Code applies are hereinafter referred to collectively as “community members”.

Those persons who are taking courses, attending classes, or enrolled in academic programs, are hereinafter referred to as “students” and are governed by Board of Regents Policy: *Student Code of Conduct*, as may be amended from time to time.

Students who are Regents are governed by this Code when engaged in matters directly related to their service on the Board of Regents for Higher Education.

This Code is intended to reflect other BOR and CSCU policies and procedures. It does not create any additional or different rights or duties of a substantive or procedural nature. Should any provisions of this Code conflict with provisions of applicable collective bargaining agreements, the provisions of the bargaining agreements shall govern.

STANDARDS

1. Uphold Ethical Standards and Integrity. Ethical conduct is a fundamental expectation for every community member. In practicing and modeling ethical conduct, community members are expected to:

- act according to the highest ethical and professional standards of conduct and adhere to the Connecticut Code of Ethical Conduct and the BOR Code of Ethics, which include, but are not limited to:
 - disclosing potential conflicts of interest and adhering to any management plans created to eliminate any conflicts of interest;
 - refraining from accepting any gift or thing of value including food and beverages, from vendors, lobbyists or any person seeking to do business or currently doing business with CSCU or its institutions;
 - abstaining from outside activities that create an actual conflict of interest
 - disclosing any potential conflict with appropriate personnel;
 - not using state employment for personal financial gain for our benefit of family members or businesses with which one is associated with beyond our official compensation; and,
 - not using state resources for personal use unrelated to one's responsibilities with the CSCU and its institutions.
- ensuring that personal relationships do not interfere with objective judgment in decisions affecting employment or the academic progress of a community member;
- being personally accountable for individual actions;
- fulfilling obligations owed to students, advisees, and colleagues;
- conscientiously meeting CSCU responsibilities; and
- communicating ethical standards of conduct through instruction and by example.

2. Maintain and Treat Others with Dignity, Respect and Civility. CSCU and its institutions are committed to tolerance, diversity, and respect for differences. Community members are expected to:

- be fair, respectful and open-minded;
- speak candidly and truthfully, but with civility;
- avoid all forms of harassment, illegal discrimination, threats, or violence;
- provide equal access to programs, facilities, resources, and employment;
- support conflict resolution; and
- refrain from consensual relationships in all instances where a supervising, evaluating, instructing or other unequal balance of power is present.

3. Lead Responsibly and with Accountability. Regents, executive leadership, managers, supervisors, instructors, and advisors are entrusted with significant leadership responsibility. Community members in leadership are expected to:

- ensure access to and delivery of proper training and guidance on applicable workplace and educational rules, policies, and procedures, including this Code;
- avoid favoritism or the appearance of favoritism ;
- ensure compliance with applicable laws, policies, and workplace rules;
- review performance conscientiously and impartially;
- nurture intellectual growth and professional development; and
- encourage a healthy, innovative, and productive atmosphere that encourages dialogue and is responsive to concerns.

4. Be Good Stewards of Resources and Information. Community members are expected to:

- use CSCU property, equipment, finances, materials, electronic and other systems, and other resources only for legitimate CSCU purposes;
- prevent fraud, waste and abuse;
- promote efficiency; and
- follow sound financial practices, including accurate financial reporting, processes to protect assets, and responsible fiscal management and internal controls; and
- engage in appropriate accounting and monitoring.

5. Comply with all applicable laws, rules, regulations, policies and protocols. Community members are expected to meet legal requirements and to foster a culture of ethics and compliance.

(a) Expectations --- Community members are expected to:

- learn and adhere to the laws, regulations, contracts, and policies and procedures applicable to institution activities as those provisions may be amended from time to time;
- be proactive to prevent and detect any compliance violations; and
- report suspected violations to supervisors or other CSCU officials.

(b) Prohibition --- Community members are prohibited from retaliating against another community member for reporting a suspected compliance violation.

6. Uphold Academic Freedom. Academic freedom is a core value. Community members are expected to uphold academic freedom including the freedom to explore scholarship, research, and creative expression, to discuss all relevant matters in the classroom as well as to speak or write as a public citizen. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter that has no relation to their subject.

7. Exhibit Ethical Conduct and Intellectual Honesty in Teaching and Research. Community members engaged in research are expected to do so in accordance with institutional, governmental and professional standards. Consequently, Community members shall:

- propose, conduct, and report research with integrity and honesty;
- protect people and humanely treat animals involved in research or teaching;
- learn, follow, and demonstrate accountability for meeting the requirements of

- sponsors, regulatory bodies, and other applicable entities;
- faithfully transmit research findings;
- protect rights to individual and institution intellectual property which includes, but is not limited to:
 - ensuring originality of work, providing credit for the ideas of others upon which their work is built, and being responsible for the accuracy and fairness of information published and
 - fairly assigning authorship credit on the basis of an appropriate array of significant intellectual contributions, including: conception, design, and performance; analysis and interpretation; and manuscript preparation and critical editing for intellectual content.

8. Judiciously Manage Public, Private, and Confidential Information. Community members are the creators and custodians of many types of information. The public right to access and an individual's right to privacy are governed by state and federal laws and BOR policies. To meet these responsibilities, community members are expected to:

- learn and follow laws, BOR policies and institution procedures regarding access, use, protection, disclosure, retention, and disposal of public, private, and confidential information;
- follow document preservation and retention guidelines;
- maintain the integrity and accuracy of all documents and records including those related to vacation, sick and other forms of leave or report to work records; and
- maintain data security using electronic and physical safeguards in accordance with BOR policy.

9. Promote Health and Safety in the Workplace. Community members have a shared responsibility to ensure a safe, secure, and healthy environment for all Community members and students. Therefore community members are expected to:

- follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, and reporting accidents, injuries, and unsafe situations;
- maintain security, including securing CSCU institutions' assets and facilities;
- report abuse and neglect of minors, sexual misconduct, harassment and suspicious activities; and
- protect the environment, including carefully handling hazardous waste and other potentially harmful agents, materials, or conditions.

IMPLEMENTATION

The President or his/her designee shall ensure that appropriate administrative policies are maintained to support this Code, and shall effectively promulgate this Code and any related administrative policies or procedures through appropriate and periodic explanation and education.

This Code of Conduct does not address every conceivable situation or ethical circumstance that may arise. Community members are expected to exercise good judgment absent specific guidance from this policy or other applicable laws, rules, regulations, policies and protocols.

Specific questions regarding this Code of Conduct should be directed to their campus Ethics Liaison, Human Resources, CSCU Internal Audit, CSCU Legal Affairs, or other appropriate office.

DRAFT