

BOARD OF REGENTS FOR HIGHER EDUCATION

MEETING MINUTES

10:00 a.m., Thursday, September 19, 2013

61 Woodland Street, Hartford, CT

REGENTS PRESENT

Yvette Meléndez, Acting Chair

Richard J. Balducci

Eugene L. Bell

Naomi K. Cohen

Dr. Lawrence J. DeNardis

Nicholas M. Donofrio

Matt Fleury

Dr. Merle W. Harris

Gary Holloway

Craig S. Lappen

Michael E. Pollard

Sharon Palmer* *via teleconference*

Catherine H. Smith*

REGENTS ABSENT

Dr. Rene Lerer

Jewel Mullen*

Stefan Pryor*

**ex-officio, non-voting member*

BOR STAFF

Gregory W. Gray BOR President

David Levinson, VP for Community Colleges/President, Norwalk Community College

Elsa M. Nuñez, VP for State Universities/President, Eastern Connecticut State University

James Howarth, interim Chief Financial Officer/VP

Erin A. Fitzgerald, Associate Director of Board Affairs/BOR Secretary

UNIVERSITY/COLLEGE PRESIDENTS

James Lombella, interim President, Asnuntuck Community College

Wilfredo Nieves, Capital Community College

Dorsey Kendrick, Gateway Community College,

Anita T. Gliniecki, President, Housatonic Community College

Gena Glickman, Manchester Community College

Anna M. Wasescha, President, Middlesex Community College

Daisy Cocco De Filippis, President, Naugatuck Valley Community College

Barbara Douglass, Northwestern Community College

Carmen Cid, interim President, Quinebaug Valley Community College

Grace S. Jones, Three Rivers Community College

Cathryn Addy, Tunxis Community College

Ed Klonoski, President, Charter Oak State College

Jack Miller, Central Connecticut State University

Mary Papazian, President, Southern Connecticut State University

James Schmotter, Western Connecticut State University

CALL TO ORDER

Chairman Melendez called the meeting to order at 10:10 a.m.

REMARKS - BOARD CHAIR & BOARD PRESIDENT

Acting BOR Chair Melendez expressed appreciation to all members of the Board, university and college presidents, students, faculty and staff, for their efforts in support of the system and remarked upon the beginning of a new academic year. She provided highlights of the accomplishments over the prior year, referencing the transfer and articulation program, the implementation of a developmental remediation program, the approval of new faculty positions made possible from savings realized from the higher education reorganization and the development of the system's first strategic plan.

BOR President Gray provided introductions of new staff members (Elizabeth Caswell Chief of Staff and Juliet Manalan Director of Public Affairs & Marketing) and provided an update on senior level hires. President Gray provided updates on preliminary enrollment figures, his ongoing tour of universities and colleges, efforts towards development of his blueprint for moving the ConnSCU System forward, and the recent receipt of Innovation Awards. On the latter, President Gray asked Gail Coppage, BOR Director of Innovation & Outreach to provide some brief background on the awards. Gail noted that The Society for College and University Planning (SCUP) recently awarded its 2013 Award for Institutional Innovation and Integration to the Board of Regents for Higher Education in recognition of the three new advanced manufacturing centers launched last year at Naugatuck Valley, Housatonic and Quinebaug Valley Community Colleges. She added that SCUP liked this multi-campus initiative that helped to drive economic development in the state, particularly in the manufacturing center. The concept is innovative, seldom seen in other places, and a model transferable to any other places that want to touch an entire cross section of those who want to learn. The program is innovative for not being bold and brash, but for turning around a difficult situation. "It is an American Success Story."

The Connecticut Quality Improvement Award (CQIA) Partnership, Inc. and the receipt of the CQIA Silver Innovation Prize were awarded to the Board of Regents for Higher Education for the innovative work of the three new advanced manufacturing centers. The CQIA which was founded in 1986 using the Malcolm Baldrige National Quality Award for Performance Excellence. There are five steps to the Baldrige award, and the first step is the CQIA Innovation

Prize. The CT Quality Improvement Award is CT's annual Quality Award- recognizing CT manufacturers and service companies that excel in managing quality improvement for business success and growth. In closing, both President Gray and Gail Coppage expressed appreciation for the good work, involvement and success of the four advanced manufacturing centers for their work and achievement (Asnuntuck (model program); Housatonic, Naugatuck Valley and Quinebaug Valley).

APPROVAL OF PRIOR MEETING MINUTES

On a motion by Richard J. Balducci seconded by Michael Pollard, the Board voted unanimously to approve the following meeting minutes:

- a) [June 20, 2013 Regular Meeting](#)
- b) [July 18, 2013 Special Meeting](#)
- c) [August 29, 2013 Special Meeting](#)

CONSENT AGENDA

Chairman Melendez provided background on Consent Items and the development and review of those items prior to being placed on consent. . **Richard Balducci moved that the Board of Regents for Higher Education approve the Consent Calendar; Naomi Cohen seconded and the Consent Agenda items listed below were unanimously approved.**

a) Academic Program Approvals

- a. Terminations
 - i. International Business (BS) – Central Connecticut State University
- b. Licensure
 - i. Cyber Security (BS) – Charter Oak State College
- c. Licensure and Accreditation
 - i. Network Administrator (Undergraduate Certificate, C2) – Gateway Community College
 - ii. Corporate Media Production (Undergraduate Certificate, C3) – Middlesex Community College
 - iii. News and Sports Production (Undergraduate Certificate, C3) – Middlesex Community College
- d. Program Modifications
 - i. Dental Assisting (Undergraduate Certificate, C2) – Tunxis Community College
 - ii. Gerontology (Undergraduate Certificate, C2) – Capital Community College
 - iii. Health Office Info. Specialist (Undergraduate Certificate, C2) – Norwalk CC
 - iv. Environmental Science (AS) – Middlesex Community Colleg
 - v. Industrial Technology (BS) – Central Connecticut State University
 - a. Digital Printing and Graphics Technology
 - b. Networking Information Technology

- vi. Physical Education (BS) – Central Connecticut State University
 - a. Exercise Science

b) Extension of Institutional Accreditation

- a) Northwestern Connecticut Community College

c) Institutional Accreditations

- a) Housatonic Community College
- b) Manchester Community College
- c) Naugatuck Valley Community College
- d) Three Rivers Community College

RESOLUTIONS ON CONSENT

Terminations

International Business (BS) – Central Connecticut State University

RESOLVED: That the Board of Regents for Higher Education approve at the request of the institution to terminate a program in International Business leading to a Bachelor of Science (B.S.) degree at Central Connecticut State University

Licensure

Cyber Security (BS) – Charter Oak State College

RESOLVED: That the Board of Regents for Higher Education license a program in Cyber Security leading to the Bachelor of Science (B.S.) degree at Charter Oak State College to be offered online for a period of three years until September 30, 2016

Licensure and Accreditation

Network Administrator (Undergraduate Certificate, C2) – Gateway Community College

RESOLVED: That the Board of Regents for Higher Education license and accredit a Network Administrator program leading to an undergraduate certificate at Gateway Community College for a period of time to coincide with institutional accreditation

Corporate Media Production (Undergraduate Certificate, C3) – Middlesex Community College

RESOLVED: That the Board of Regents for Higher Education license and accredit a program in Corporate Media Production leading to an undergraduate certificate at Middlesex Community College for a period of time to coincide with institutional accreditation

News and Sports Production (Undergraduate Certificate, C3) – Middlesex Community College

RESOLVED: That the Board of Regents for Higher Education license and accredit a program in News and Sports Production leading to an undergraduate certificate at Middlesex Community College for a period of time to coincide with institutional accreditation

Program Modifications

Dental Assisting (Undergraduate Certificate, C2) – Tunxis Community College

RESOLVED: That the Board of Regents for Higher Education approve modification of a program in Dental Assisting leading to an undergraduate certificate (30 credits) at Tunxis Community College to substantively change the curriculum

Gerontology (Undergraduate Certificate, C2) – Capital Community College

RESOLVED: That the Board of Regents for Higher Education approve modification of a program in Gerontology leading to an undergraduate certificate at Capital Community College to offer the program online

Health Office Info. Specialist (Undergraduate Certificate, C2) – Norwalk CC

RESOLVED: That the Board of Regents for Higher Education approve modification of a program in Health Office Information Specialist leading to an undergraduate certificate at Norwalk Community College to change the name to Medical Office Specialist

Environmental Science (AS) – Middlesex Community College

RESOLVED: That the Board of Regents for Higher Education approve modification of a program in Environmental Science (A.S.) degree to substantively change the curriculum at Middlesex Community College

Industrial Technology (BS) – Central Connecticut State University

Digital Printing and Graphics Technology

RESOLVED: That the Board of Regents for Higher Education approve modification of a program in Industrial Technology leading to the Bachelor of Science (B.S.) degree with a concentration in Graphics Technology at Central Connecticut State University to license and accredit a separate program in Digital Printing and Graphics Technology leading to the Bachelor of Science (B.S.) degree

Networking Information Technology

RESOLVED: That the Board of Regents for Higher Education approve modification of a program in Industrial Technology leading to the Bachelor of Science (B.S.) degree with a concentration in Networking Technology at Central Connecticut State University to license and accredit a separate program in Networking Information Technology leading to the Bachelor of Science (B.S.) degree

Physical Education (BS) – Central Connecticut State University

Exercise Science

RESOLVED: That the Board of Regents for Higher Education approve modification of a program in Physical Education leading to the Bachelor of Science (B.S.) degree with a specialization in Exercise Science at Central Connecticut State University to license and accredit a separate program in Exercise Science leading to the Bachelor of Science (B.S.) degree

Extension of Institutional Accreditation

Northwestern Connecticut Community College

RESOLVED: That the Board of Regents for Higher Education extend the accreditation of Northwestern Connecticut Community College until April 30, 2014

Institutional Accreditations

Housatonic Community College

RESOLVED: That the Board of Regents for Higher Education accept NEASC actions and grant accreditation to Housatonic Community College until November 30, 2018

Manchester Community College

RESOLVED: That the Board of Regents for Higher Education accept NEASC actions and grant accreditation to Manchester Community College until November 30, 2018

Naugatuck Valley Community College

RESOLVED: That the Board of Regents for Higher Education accept NEASC actions and grant accreditation to Naugatuck Valley Community College until April 30, 2018

Three Rivers Community College

RESOLVED: That the Board of Regents for Higher Education accept NEASC actions and grant accreditation to Three Rivers Community College until September 30, 2018

ADMINISTRATION COMMITTEE

Upon additional commentary and background on each of the items below from Committee Chair Cohen, **the following resolutions, both moved by Naomi Cohen, were approved unanimously:**

STATEMENT OF ETHICS

WHEREAS, Section 1-83(a)(2) of the Connecticut General Statutes provides that “each state agency, department, board and commission shall develop and implement, in cooperation with the Office of State Ethics, and ethics statement as it relates to the mission of the agency, department, board or commission; and

WHEREAS, the Office of State Ethics has participated in the development of the Statement of Ethics by reviewing and contributing to the proposed statement; and

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 policies, “Connecticut Community Colleges Ethical Conduct Policy rev. 7/95”, “Connecticut State University System Ethics Statement June 2006”, and Charter Oak “Board Ethics Policy” dated May 17, 2007, and any revisions made to those policies; and be it further

RESOLVED, that the Board of Regents adopts the attached “Board of Regents for Higher Education, Ethics Statement, September, 2013” effective immediately.

Board of Regents for Higher Education
Connecticut State Colleges and Universities
Ethics Statement September 2013

PURPOSE

It is important that members of the Board of Regents for Higher Education and the Connecticut State Colleges and Universities and Board of Regents employees conduct themselves with the highest degree of honor and integrity and understand that public service is a public trust. Ethical conduct in our relationships with each other, members of the public, our students, other state agencies, and private entities is of critical importance. This Ethics Statement has been prepared pursuant to Section 1-83(a)(2) of the Connecticut General Statutes, which mandates the development and implementation of an Ethics Statement by each state agency. It applies to the members and employees of the Board of Regents (BOR) and to all employees of the Connecticut State Colleges and Universities (ConnSCU). This Statement is intended to serve as a general guide to assist those individuals in identifying and avoiding prohibited conduct. It does not contain a complete listing of prohibited conduct nor is it intended to replace or supersede the Code of Ethics for Public Officials (set forth in Chapter 10 of the Connecticut General Statutes), other applicable sections of the Connecticut General Statutes, or the regulations of the Office of State Ethics. It is each person’s responsibility to become familiar with the provisions of this Statement and comply with them. It is also each person’s responsibility to maintain high ethical standards and alert his or her supervisor of any suspected violation of ethical standards, whether or not specifically described in this Ethics Statement. Everyone should be aware that violations may result in the imposition of sanctions by agencies or systems external to the BOR or ConnSCU. Whether this occurs or not, the BOR retains the right to independently review and respond administratively to violations.

DEFINITIONS

1. A “Business with which he is associated” means any sole proprietorship, partnership, firm, corporation, trust or other entity through which business for profit or not for profit is conducted in which the public official or state employee or member of his or her immediate family is a director, officer, owner, limited or general partner, beneficiary of a trust or holder of stock constituting five per cent or more of the total outstanding stock of any class, provided, a public official or state employee, or member of his or her immediate family, shall not be deemed to be associated with a not for profit entity solely by virtue of the fact that the public official or state employee or member of his immediate family is an unpaid director or officer of the not for profit entity. “Officer” refers only to the president, executive or senior vice president or treasurer of such business.
2. A “Gift” means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. Among the nineteen (19) exceptions to the definition of "gift" set forth in Section 1-79 of the Connecticut General Statutes, a "gift" does not include:
 - (a) A certificate, plaque or other ceremonial award costing less than one hundred dollars (\$100.00);
 - (b) A rebate, discount or promotional item available to the general public (items such as pencils, ball point pens, note pads and similar items used as advertisement "give-aways" fall within this category);
 - (c) Food or beverage or both, costing less than fifty dollars (\$50.00) in the aggregate in a calendar year, and consumed on an occasion or occasions at which the person paying, directly or indirectly, for your food or beverage, or his representative, is in attendance;
 - (d) Admission to a charitable or civic event, including food and beverage provided at such event (but excluding lodging or travel expenses), at which you participate in your official capacity, provided such admission is provided by the primary sponsoring entity; and
 - (e) Anything having a value of not more than ten dollars (\$10.00), provided the aggregate value of all things provided by a donor to you under this subsection in a calendar year does not exceed fifty dollars (\$50.00).
 - (f) Training that is provided by a vendor for a product purchased by a state or quasi-public agency which is offered to all customers of such vendor.
3. Your "immediate family" consists of your spouse, your children, and any dependent relatives who reside in your household.
4. "Necessary expenses" are necessary expenses for an article, appearance or speech or for participation at an event, in a person’s official capacity, which shall be limited to necessary travel expenses, lodging for the nights before, of and after the appearance, speech or event, meals and any related conference or seminar registration fees.

5. A "person" means an individual, sole proprietorship, trust, corporation, limited liability company, union, association, firm, partnership, committee, club or other organization or group of persons.
6. An interest that is in "substantial conflict" with the proper discharge of your duties as a public official or state employee is one in which there is reason to believe or expect that you, your spouse or dependent child, or a business with which you are associated, will derive a direct monetary gain or suffer a direct monetary loss, by reason of your official activity. You do not have an interest which is in substantial conflict with the proper discharge of your duties as a public official or state employee, if any such gain or loss accrues to you, your spouse or dependent child, or a business with which you, your spouse or dependent child is associated, as a member of a profession, occupation or group to no greater extent than any other member of such profession, occupation or group.
7. A "potential conflict of interest" is one in which you would be required to take an action that would affect a financial interest of yours, your spouse, parent, brother, sister, child or child's spouse, or of a business with which you are associated, other than an interest of a de minimis nature, an interest that is not distinct from that of a substantial segment of the general public, or an interest in substantial conflict with the performance of your official duties.

PROHIBITED ACTIVITIES

As a public official or state employee you may not:

1. Knowingly accept any gift from any person who: (a) is known to be a registered lobbyist or a lobbyist representative; (b) is doing business with or seeking to do business with the System, your university or your department; (c) is engaged in activities which are directly regulated by the System, your university or your department; or (d) is a contractor pre-qualified under section 4a-100 of the Connecticut General Statutes. (A list of registered lobbyists may be found on the website maintained by the Office of State Ethics.) If an employee is offered a benefit from someone whom is not a prohibited donor as described above (that is, a non-regulated donor), and the benefit is offered because of the employee's position with the System, the total value of benefits received from one source in a calendar may not exceed \$100.00.
2. Knowingly accept, directly or indirectly, any gift costing one hundred dollars (\$100.00) or more either from a state employee under your supervision or from a supervisor. Nor may you knowingly give such a gift. The prohibition against accepting such gifts applies also to members of your immediate family.
3. Enter into a contract with the state, valued at one hundred dollars (\$100.00) or more (other than a contract of employment as a state employee), unless the contract has been awarded through an open and public competitive process. This prohibition applies also to members of your immediate family and businesses with which you are associated. According to the Office of State Ethics, an immediate family

member may not be hired as an independent contractor through special payroll unless there has been an open and public process.

4. Accept a fee or honorarium for an article, appearance, speech, or for participation at an event in your official capacity. However, you may accept payment or reimbursement for necessary expenses incurred for any such activity. If payment or reimbursement is received for lodging or out-of-state travel or both, you must report the payment or reimbursement to the Office of State Ethics within thirty (30) days of receiving such payment or reimbursement, unless the payment or reimbursement is provided by the federal government or another state government. You may also accept admission to, and food and beverages provided by the sponsor of, an in-state event that you attend in your official capacity and as a principal speaker. Generally, if you are asked to participate in an event, speak, appear or write an article primarily as a result of your official position or authority, then it will be deemed to be in your official capacity. If, however, you have developed an academic expertise in a particular field and you are asked to participate in an event, speak, appear or write an article as a result of such expertise, then you are not prohibited from accepting a fee or honorarium. Note that these situations are very fact specific and you are encouraged to contact the Office of State Ethics, as necessary, for clarification and guidance. Note also that services for which compensation is claimed must be provided on your own time.
5. Use your official position for personal financial benefit, or the financial benefit of a family member or a business with which you, or a family member, are associated. Further, you may not use state time, personnel or materials, including telephones, computers, e-mail systems, fax machines, copy machines, state vehicles, and any other state supplies, for personal, non-state related purposes. You may refer to the System Office or your university's Computer Use Policy, as applicable, for information relating to hardware and software use.
6. Engage in partisan political activities while on state time or use state funds, supplies, materials, equipment, vehicles or facilities for such purposes.

CONFLICTS OF INTEREST

1. You may not have a financial interest or engage in a business or professional activity that is in substantial conflict with the proper discharge of your duties as a public official or state employee, nor may you take any official action in connection with a matter in relation to which you have a substantial conflict.
2. You may not accept any other employment that will impair the independence of your judgment in carrying out your official duties or induce you to disclose confidential information acquired by you in the course of performing your official duties. Accordingly, you should never accept employment with any consultant, contractor, appraiser or any other organization or individual that has a contract or other agreement with ConnSCU or one of its institutions without full exploration of any potential conflicts of interest. A member of the faculty or a member of a faculty bargaining unit may enter into a consulting agreement or engage in a research project with a public or private entity, provided such agreement or project does not

conflict with the member's employment with the constituent unit, as determined by policies established by the board of trustees for such constituent unit.

3. In accordance with the "BOR Policy Regarding Nepotism in Employment," you should not play any role in hiring, promotion, demotion, or other personnel action affecting your relative (defined to include your father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, wife, husband, domestic partner, grandmother, grandfather, grandson, granddaughter, father-in-law, mother-in-law, sister-in-law, brother-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother or half-sister), nor should you take any action, directly or indirectly, to coerce, command, or require a state employee to improperly obtain an appointment for any individual to a position in state service. You should be aware that your signing of certain documents may result in a violation of the State Code of Ethics if such action results in a financial benefit being received by a relative. Examples of such documents include personnel forms (including performance appraisals) and vouchers. Caution should be exercised, so that unintended violations do not occur.
4. You may not disclose, for financial gain, confidential information acquired by you in the course of performing your official duties or use such information to obtain financial gain for yourself, your spouse, your child, your child's spouse, your parent, your sibling or for a business with which you are associated.
5. You may not solicit or accept anything of value (including a gift, loan or promise of future employment) based on an understanding that your official action will be or had been influenced thereby.

PROCEDURE GOVERNING CONFLICTS OF INTEREST

If, in the discharge of your duties, you are required to take any action that would present either a substantial or potential conflict of interest, you must prepare a written statement, signed under penalty of false statement, describing the matter requiring action and the nature of the conflict and deliver a copy of the statement to your immediate superior, who will assign the matter to another employee, or, if you have no immediate superior, you shall take such steps as the Office of State Ethics shall prescribe or advise. You may not take any official action whatsoever on a matter with which you have a substantial conflict of interest. With regard to members of the Board of Regents, the Chairman of the Board shall determine whether a regent with a substantial or potential conflict may simply recuse him or herself from the proceeding in question, or if reassignment to another committee is necessary. If the Chairman is personally faced with such a conflict, he or she should deliver a written statement to the Office of State Ethics for guidance as to how to proceed.

POST-EMPLOYMENT ACTIVITIES

The Code of Ethics for Public Officials contains several provisions regarding post-state employment. Before leaving employment with the System, all employees should review the applicable rules and, if necessary, seek guidance from the Office of State Ethics. Once you have separated from state service, you may not:

1. Disclose or use confidential information acquired in the course of and by reason of your official duties for financial gain for yourself or any other person. This is a lifetime prohibition. "Confidential information" is any information not generally available to the public, and may be memorialized in any form (e.g., written, photographic, tape recorded, etc.).
2. Represent any person in connection with any matter: (i) in which participated, personally and substantially, while in state service; and (ii) in which the state has a substantial interest.
3. For a period of one year after leaving state service, represent anyone before your former agency, for compensation.
4. Accept employment with any person (including an individual, sole proprietorship, corporation, limited liability company, partnership, association or any other organization or group of persons) who was a party to a contract or agreement: (i) valued at an amount of fifty thousand dollars (\$50,000.00) or more; and (ii) in the negotiation or award of which you substantially participated, for a period of one year after resigning from state service, if your resignation occurs less than one year after the contract or agreement was signed.

CODE OF ETHICS FOR PUBLIC OFFICIALS

The Code of Ethics for Public Officials is set forth in Chapter 10 of the Connecticut General Statutes. Should you have a question regarding whether certain conduct constitutes a violation of the Code of Ethics, you should consult with your immediate supervisor, the Ethics Officer at your institution, or the Office of State Ethics. The Office of State Ethics is located at 18-20 Trinity Street, Suite 205, Hartford, Connecticut 06106-1660. The Office of State Ethics may be contacted by telephone at (860) 263-2400, by facsimile at (860) 263-2402, and by e-mail at ose@ct.gov. The Office of State Ethics maintains a website at "<http://www.ct.gov/ethics>."

REVIEW BY AUDIT COMMITTEE OF THE BOARD OF REGENTS

In accordance with its Charter, the Audit Committee of the Board of Regents will periodically review the administration of the conflict of interest provisions set forth herein as well as the performance of ConnSCU management and operating personnel under the Code of Ethics for Public Officials. The BOR Ethics Officer will apprise the Audit Committee of issues arising under this Statement, including, to the extent permitted by law, those matters reported to the Office of State Ethics.

POLICY CONCERNING NEPOTISM IN EMPLOYMENT

WHEREAS, Section 1-84(c) of the Connecticut General Statutes prohibits state employees from using their employment for their or their family members' personal financial; and

WHEREAS, The State Code of Ethics only addresses limited circumstances where conflicts of interest may occur, yet other relationships may also give rise to a claim of disparate treatment which damage the integrity of the BOR and the Connecticut State Colleges and Universities;

WHEREAS, To address such issues, 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;

RESOLVED, That the Board of Regents rescinds the following policy, “Connecticut State University System Policy Regarding nepotism in Employment (BR#05-03), and any other policy that speaks to the issue of nepotism that may have been approved by the Board of Academic Awards or the Board of Trustees of the Regional Community Technical Colleges;

RESOLVED, That the Board of Regents adopts the “Policy Regarding Nepotism in Employment September 19, 2013” effective immediately.

Connecticut State Colleges and Universities **Policy Regarding Nepotism in Employment**

It is well recognized that employment of relatives in the same area of an organization may produce conflicts of interest and problems concerning disparate treatment, which can damage the integrity of the System and its universities. Under the Code of Ethics, Connecticut General Statutes, Section 1-84(c), a state employee may not use his or her position for the financial gain of himself or herself, his or her spouse, child, child's spouse, parent, brother or sister. But the Code of Ethics only addresses limited circumstances where conflicts of interest may occur. Other relationships may also give rise to a claim of disparate treatment.

In addition, conferring of benefits and privileges based on relationship, rather than on merit, and the appearance that benefits and privileges may have been so conferred, can harm the functioning of the institution(s). In these circumstances, all parties leave themselves open to charges of inequitable consideration in decisions concerning work assignments, transfer opportunities, time-off privileges, training and development opportunities, performance evaluations, salary increases, promotions, demotions, and disciplinary actions.

It is the policy of the Connecticut State Colleges and Universities (ConnSCU) that relatives of persons currently employed by ConnSCU may be hired only if they will not be working under the supervision of a relative, either directly or indirectly, or supervising a relative.

If two existing employees of ConnSCU work together in a supervisory relationship, and become related, as herein defined, a case-by-case review shall be made. In some circumstances, one of the

employees may be transferred or otherwise reassigned. Existing employees should not ordinarily be transferred or reassigned into a supervisory relationship with a relative. Exceptions will only be made when there is a management plan approved by the BOR President or the President that is designated to eliminate the conflict of interest or the opportunity for favoritism.

In addition, the objective of the search procedures for new hires is to ensure that the best candidate for the position is the one selected. It is the policy of the ConnSCU that any employee serving on a search committee must excuse themselves from consideration of the qualifications of a relative if one applies for the position and must further disclose to the search committee that said candidate is a relative. Further, no ConnSCU employee shall vote, make recommendations or in any way attempt to participate in or influence decisions about any personnel matter which may affect the selection, appointment, evaluation, retention, tenure, compensation, promotion, termination, or other employment status or interest of a relative.

For purposes of this policy, “relative” means a connection between persons by blood, marriage, adoption, or co-habitation. Relative includes, but is not limited to, spouses, parents, children, adopted children, brothers, sisters, brothers-in-law, sisters-in-law, father-in-law, mother-in-law, stepparents, stepsiblings, stepchildren, nieces, nephews, grandchildren, and grandparents.

FINANCE COMMITTEE

Committee Chair Gary Holloway noted the Finance Committee met on September 10 and had two items for board consideration. Following Regent Holloway’s introduction of each of the items below, **the resolutions were approved unanimously on a motion by Gary Holloway seconded by Matt Fleury**:

AUTHORIZATION TO SIGN DOCUMENTS FOR THE BOARD OF REGENTS FOR HIGHER EDUCATION, THE CONNECTICUT COMMUNITY COLLEGES, CHARTER OAK STATE COLLEGES AND CONNECTICUT STATE UNIVERSITIES

WHEREAS, This action is pursuant to the Board of Regents’ statutory authority under CGS 10a-72 and 10a-89, which state that the BOR shall make rules for the government of the constituent units of higher education and shall determine the general policies of the constituent units, therefore be it

RESOLVED, That the resolution concerning Signing Authority, adopted by the Board of Regents for Higher Education on January 19, 2012 is rescinded, and

RESOLVED, That persons elected to or employed in the following positions by the Board of Regents (BOR) are authorized to sign all official documents within their jurisdiction executed under the policies of the BOR:

For the Board of Regents for Higher Education

President of the Board of Regents
Senior Vice President for Academic & Student Affairs
Vice President for Community Colleges
Vice President for State Universities
Vice President for Human Resources
Chief Financial Officer
Chief Information Officer
Chief of Staff

For the Connecticut State Universities

President
Executive Vice President
Provost and Academic Vice President
Senior Vice President
Vice President for Academic Affairs
Vice President for Finance and Administration
Vice President for Institutional Advancement
Vice President for Student Affairs
Vice President for Student and University Affairs
Chief Administrative Officer
Chief Financial Officer
Chief Human Resources Officer
Chief of Staff/Vice President for Organizational Development

For the Connecticut Community Colleges

President
Deans
Director of Human Resources

For Charter Oak State College

President
Provost
Chief Financial and Administrative Officer
Executive Director of the CTDLC

And be it further

RESOLVED, That the President of the Board of Regents and each University and College President may designate in writing other persons who shall act as their agents in signing contracts of up to \$50,000 and/or other documents in such areas as personnel, payrolls, purchasing, financial matters, university planning, and maintenance. The written authorization shall indicate the appropriate level of signing authority for each person so designated.

PILOT PARTNERSHIP AGREEMENT BETWEEN THE CONNECTICUT STATE UNIVERSITIES, CHARTER OAK STATE COLLEGE AND UNITED TECHNOLOGIES CORPORATION

RESOLVED, that the Connecticut State Universities and Charter Oak State College enter into a two-year Pilot Partnership Agreement with United Technologies Corporation

Committee Chair Holloway also advised the Board about Southern Connecticut State University's plans to use approximately \$5.5 million in reserve funds and approximately \$2.5 million in insurance proceeds as supplemental construction funding to renovate the second, third and fourth floors of Buley Library, noting that approval for this item was scheduled the November Board meeting.

Committee Chair Holloway also provided information regarding the projected impact of fringe benefit costs for fiscal year 2014. Interim CFO Jim Howarth provided an overview of the projected impact, which led to a discussion among Board members. No action taken on this item; it was noted that shortfall projections would continue to be refined with actual payroll data and updated retirement conversion information and statistics.

AUDIT COMMITTEE

Committee Chair Craig Lappen advised that the Audit met on Tuesday, September 17. The Committee reviewed and accepted a Revised Internal Audit Plan for Fiscal Year 2014, as well as a report rating system devised to more accurately reflect the current internal audit environment.

The Committee heard from Director of Internal Audit Karen Stone about results of the audit of the Financial Aid Allocation Process at Eastern Connecticut State University, as well as Firewall and Router audits at both 39 and 61 Woodland Street. Ms. Stone also provided an update on the hiring of staff and how current staff resources are allocated.

Finally, the Committee discussed the Fiscal 2010 and 2011 audit of the Community College System by the State Auditors of Public Accounts. Because the report is somewhat dated --occurring well before the BOR merger -- many of the findings have already been remediated. However, policies and procedures will be reviewed and emphasized, in order to help mitigate new findings and eliminate any repeat findings.

SPECIAL COMMITTEES

Information Technology Committee Chair Nicholas Donofrio provided a brief update on items anticipated to be discussed at the afternoon's meeting. He spoke favorably regarding the commencement of the CIO search and expressed his appreciation for the efforts of acting CIO, Joe McAuliffe.

EXECUTIVE COMMITTEE

Acting Chair Melendez noted that the Executive Committee met on September 10 and had no action items to bring forward for action by the Board.

ADJOURNMENT

Gary Holloway moved to adjourn; Michael Pollard seconded and the meeting adjourned at 11:15 a.m.

Submitted,

Erin A. Fitzgerald, Associate Director, Office of Board Affairs/
Secretary of the Board of Regents for Higher Education

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