

CT BOARD OF REGENTS FOR HIGHER EDUCATION

CT STATE COLLEGE AND UNIVERSITY (CSCU) SYSTEM

AGENDA – SPECIAL MEETING

10:00 a.m., Thursday, October 19, 2017

[System Office, Regents Boardroom, Ground Level, 61 Woodland Street, Hartford, CT](#)

1. **Call to Order, Roll Call and Declaration of Quorum**
2. **Adoption of Agenda**
3. **Opportunity to Address the Board***
4. **Board of Regents Vice Chair Yvette Melendez**
5. **CSCU President Mark E. Ojakian**
 - a) Update – Students First
6. **Approval of September 19, 2017 Meeting Minutes**
7. **Consent Agenda**
 - a) **Terminations**
 - i. Data Mining – Post Bac Certificate – CCSU 2
 - ii. Criminal Justice – BA – CCSU 4
 - iii. Building Efficiency and Sustainability Technology – C2 Certificate – NCC 6
 - b) **Accreditations – Previously Licensed- Programs**
 - i. Applied Behavior Analysis – MS – WCSU 8
 - ii. Dance Education Program – BS – CCSU11
 - c) **Centers and Institutes – Seven Year Reports - Continuations – State Universities**
 - i. Werth Center for Coastal and Marine Studies – SCSU 16
 - ii. Center for Excellence in Math and Science – SCSU 20
 - iii. Henry C. Lee Institute for the Study of Crime and Justice – CCSU..... 24
 - iv. Institute for Municipal and Regional Policy – CCSU 28
 - d) **Centers and Institutes – Seven Year Reports - Discontinuations – State Universities**
 - i. Center for Business Research – WCSU 32
8. **Finance & Infrastructure Committee – Richard J. Balducci, Chair**
 - a) WCSU Expanded Pilot Program – In-state tuition rates NY and NJ 35
 - b) In-state Tuition Rates for Victims of Hurricane Maria 46
9. **HR & Administration Committee – Naomi Cohen, Chair**
 - a) Code of Conduct - CSCU 50
10. **Academic & Student Affairs Committee – Merle Harris, Chair**
 - a) Information Item –Accountability Report – Executive Summary..... 67
11. **Audit Committee – Elease Wright, Chair**
 - a) CSCU 2020 Audit Report – Blum Shapiro 78
12. **Executive Committee – Yvette Melendez for Matt Fleury, ChairNo Exhibit/No Report**
13. **Executive Session**
14. **Adjourn**

***Opportunity to Address the Board:** 30 minutes total; no more than three minutes per speaker. There will be two separate sign-up lists: one for students and another for faculty, staff and the public. Students will address the Board first, for up to 15 minutes total, followed by 15 minutes for the faculty, staff and public. The lists will be available in the meeting room for sign-up beginning at 8:30 am. Only one sign up per person (one person may not sign up for a group of individuals). Individuals who wish to address the Board **must sign-up prior to 10 am**. Speakers will be recognized from each list in the order of signing up (adherence to time limits will be required).

7. Consent Agenda

7.

- a) **Terminations**
 - i. Data Mining – Post Bac Certificate – CCSU
 - ii. Criminal Justice – BA – CCSU
 - iii. Building Efficiency and Sustainability Technology – C2 Certificate – NCC
- b) **Accreditations – Previously Licensed- Programs**
 - i. Applied Behavior Analysis – MS – WCSU
 - ii. Dance Education Program – BS – CCSU
- c) **Centers and Institutes – Seven Year Reports - Continuations – State Universities**
 - i. Werth Center for Coastal and Marine Studies – SCSU
 - ii. Center for Excellence in Math and Science – SCSU
 - iii. Henry C. Lee Institute for the Study of Crime and Justice – CCSU
 - iv. Institute for Municipal and Regional Policy – CCSU
- d) **Centers and Institutes – Seven Year Reports - Discontinuations – State Universities**
 - i. Center for Business Research – WCSU

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Program Termination

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve the termination of a program in Data Mining leading to a Graduate Certificate degree at Central Connecticut State University with no phase-out period.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Termination of a program in Data Mining leading to a Graduate Certificate at Central Connecticut State University, effective 9/1/17. No phase out period required.

BACKGROUND

Summary: terminate the program in Data Mining (onground) at Central Connecticut State University (CIP: 270301; OHE# 009290)

Rationale: this program has had no completions since 2011, it has had no students in the program since 2011, and the faculty have no plans to support the program.

Phase Out/Teach Out Strategy: no students are in the program, so no phase out needed.

Resources: none required.

9/13/2017 – Academic Council

10/12/2017 – BOR Academic & Student Affairs Committee

10/19/2017 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Program Termination

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve the termination of a program in Criminal Justice-Waterbury leading to a B.A. degree at Central Connecticut State University with no phase-out period.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Termination of a program in Criminal Justice-Waterbury leading to a Bachelor of Arts degree at Central Connecticut State University, effective 9/1/17. No phase out period required.

BACKGROUND

Summary: terminate the program in Criminal Justice-Waterbury at Central Connecticut State University
(CIP: 450401; OHE# 007158)

Rationale: this program has had no completions since 2011, it has had no students in the program since 2011, and the faculty have no plans to support the program.

Phase Out/Teach Out Strategy: no students are in the program, so no phase out needed.

Resources: none required.

9/13/2017 – Academic Council
10/12/2017 – BOR Academic & Student Affairs Committee
10/19/2017 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Program Termination

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve the termination of a program in Building Efficiency and Sustainability Technology leading to a Certificate degree at Norwalk Community College with a phase-out period until January 1, 2018.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Termination of a program in Building Efficiency and Sustainability Technology (BEST) leading to an undergraduate certificate (C2) at Norwalk Community College, effective January 1, 2018.

BACKGROUNDSummary

The Building Efficiency and Sustainability Technology program was designed to prepare students for “green collar” jobs in the area of sustainable building, energy efficiency auditing, and renewable energy. Despite growth in this area of the building industry, the demand for this particular certification did not produce sufficient enrollment to sustain this program.

Rationale

Within the past five years, the highest level of enrollment in the BEST program was just 15 students in 2013. Further, over the past three years enrollment has declined dramatically. Therefore, the program must be discontinued due to lack of enrollment. With the graduation of three students last year, only two students are listed in this program of studies.

Phase Out/Teach Out Strategy

A department chair has contacted the two remaining students in this program. One student had already begun the process of changing his program to an A.S. in Construction Management; the other student was still in the process of completing the ESL sequence and had not yet taken any courses in the BEST certificate. As a result, there is no need for a teach out period for students who are in the process of completing coursework associated with this certificate.

Resources

No additional resources are associated with this termination.

9/13/2017 – Academic Council

10/12/2017 – BOR Academic & Student Affairs Committee

10/19/2017 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Renewal of Licensure for an Accredited Program

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve the accreditation of a program in Applied Behavior Analysis leading to a Master of Science degree at Western Connecticut State University for a period of time concurrent with the institutional accreditation.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Renewal of licensure and accreditation for the MS in Applied Behavior Analysis at WCSU

BACKGROUNDSummary

Originally approved in 2014, the MS in Applied Behavior Analysis is highly productive program, with enrollments that more than cover costs and meet a regional need for expertise to be applied in the classroom at all ages and other professional contexts.

Need for the Program

In 2017, the Centers for Disease Control and Prevention reported that the number of children identified with autism has surged across America in the past two years. Currently 1 in 68 children are diagnosed along the spectrum. Furthermore, the field of Applied Behavioral Analysis is also used in substance abuse programs, prison programs, gerontology, and prevention programs, as well as business management. Graduates of this program will be able to contribute to meeting the needs of these disparate populations. Currently, there are only 341 Board Certified Behavior Analysts in Connecticut, and this number will be inadequate to meet the surge in demand for ABA services. This high need field will continue to grow for the foreseeable future.

Curriculum

This online program consists of 30 credits as follows:

- EPY641 Applied Behavior Analysis I (4)
- EPY642 Applied Behavior Analysis II (4)
- EPY643 Applied Behavior Analysis III (4)
- EPY644 Applied Behavior Analysis IV (4)
- EPY645 Applied Behavior Analysis V (3)
- EPY651 Assistive Technology for Applied Behavior Analysis (3)
- EPY652 Grant Writing for Applied Behavior Analysis (2)
- EPY653 Capstone Project in Applied Behavior Analysis (3)

In addition: Students must complete fieldwork experience within three choices: supervised independent fieldwork (1,500 hours), practicum (1,000 hours), or intensive practicum (750 hours). The fieldwork experience is done independent of WCSU. The coursework, fieldwork experience, and other requirements specified by the Behavior Analyst Certification Board is required for eligibility to take the BCBA examination (<http://bacb.com>).

Students

Enrollments have increased significantly every year since we launched the program. In 2014 there were 10.7 FTE, in fall 2017 there are 46.5 FTE (86 part-time students).

Faculty

Since the launch of this program, we have added one new faculty member to support the enrollments. The increased student population has more than covered the cost of that line.

Learning Resources

Our existing learning facilities support this program.

Facilities

This program is offered online. No new facilities are required.

Fiscal Note

Our original fiscal projections overestimated the net income of the first few years resulting in deficit in years 1 and 2 (total deficit for two years was -\$48,297). However, in year three we saw a net revenue of \$133,869. This revenue includes covering the cost of a new faculty line.

Review of Documents:

- a) Campus Review: May 21, 2014
- b) Campus Budget and Finance: May 12, 2014
- c) Campus President: May 27, 2014
- d) Academic Council: September 13, 2017
- e) System Office: Original Approval October 16, 2014 through October 31-2017.

9/13/2017 – Academic Council

10/12/2017 – BOR Academic & Student Affairs Committee

10/19/2017 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Accreditation of an already Licensed Program

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve the accreditation of a program in Dance Education leading to a Bachelor's of Science in Education degree at Central Connecticut State University for a period of time concurrent with the institutional accreditation.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Accreditation of a Board of Regents approved and licensed Dance Education major (BSED in Dance Education) at Central Connecticut State University (CCSU).

BACKGROUNDSummary

The Board of Regents (BOR) approved and licensed CCSU's Dance Education major in October of 2015 for licensure. Though CCSU Dance Education major continues to be recognized for licensure, it also needs to be accredited by the BOR. By awarding this degree, students graduating from the program will be able to apply directly to the Connecticut State Department of Education for initial teaching certification (K-12) in Dance Education and graduate from CCSU with the BSED in Dance Education bachelor's degree.

Need for the Program

Connecticut Dance Teacher Certification was approved in July 1, 2008. At that point, the Connecticut State Department of Education (CSDE) appointed CCSU to serve as host to the dance teacher certification. Currently, CCSU services all those students who are interested in becoming a certified teacher in Connecticut in Dance Education. It is the only university within the CSCU system to offer such a degree and teacher licensing program.

As evidenced below, Dance Education is widely offered in Connecticut's K-12 Schools and numerous research studies (www.ndeo.org/evidence) document the value of offering Dance Education in schools. Dance Education majors will continue to increase at CCSU with BOR accreditation. An example list of feeder schools, as well as other area high schools and dance studios, are noted below:

- Greater Hartford Academy of the Arts currently has 107 dance majors.
- Educational Center for Performing Arts currently has 56 dance majors.
- Cooperative Arts and Humanities High School currently has 130 dance majors; numerous dance classes are offered (taught by a CCSU Alumna from the Formal Pathway to Dance).
- Kinsella Magnet School of Performing Arts currently has 35 dance majors in the 7th and 8th grades, as well as 26 dance majors in the 9th and 10th grades; additionally, all students (N = 600) take at least one dance class; numerous dance classes are offered (taught by two CCSU Alumni – one Alumnus from the Formal Pathway to Dance and second Alumna in Physical Education with a cross-endorsement in dance).
- Arts at the Capitol Theatre Performing Arts Magnet High School currently has 26 dance majors, of which 8 are seniors (2 seniors have already committed to attending CCSU); 9 incoming freshmen have identified their major as dance.
- Norwich Free Academy offers dance classes (taught by a CCSU Alumna in elementary education with a cross-endorsement in dance); 238 students signed up for dance classes; however, only 150-180 students can be served due to having only one dance teacher who offers 6 classes a semester that meets 4 times a week.
- Numerous private schools in Connecticut offer dance courses, for example Ms. Porters offers 4 courses, as well as an after-school dance program and "Dance Workshop", which carries the same credit as participating in an athletic varsity team sport.

Curriculum

The program's curriculum is based on Connecticut Dance standards. Learning outcomes are noted in the table below:

Learning Outcome # 1: Elements and Skills	Students will identify and perform movement elements and dance skills.
Learning Outcome # 2: Choreography	Students will understand choreographic principles, processes and structures.
Learning Outcome # 3: Meaning	Students will understand how dance creates and communicates meaning.
Learning Outcome # 4: Thinking Skills	Students will apply analytical and evaluative thinking skills in dance.
Learning Outcome # 5: History and Culture	Students will demonstrate an understanding of dance in various cultures and historical periods.
Learning Outcome # 6: Healthy Living	Students will make connections between dance and healthful living.
Learning Outcome # 7: Connections	Students will make connections between dance, other disciplines and daily life.

Students are directly assessed in each of the learning outcomes above utilizing a variety of assessment tools to determine the knowledge, skills, and abilities relating to each learning outcome. Assessment tools include, but are not limited to:

- Lesson Planning: focus on planning and instructing developmentally appropriate lessons, as well as having the ability to assess student learning. Students will also be able to create subsequent lessons that can be modified and adapted during instruction.
- Practical examinations in courses that have a practicum component to assess ability to perform and peer teach. During field experiences, there are written evaluation, as well as a practical examination to assess skills.
- Performance/Choreography – Students are required to perform on a semester basis, as well as annually present/perform a solo as well as group choreography. Followed by self and peer assessment.
- edTPA – During student teaching and components are embedded throughout the program. The edTPA will be consequential for CT teacher licensure in 2020.
- Student Teaching Evaluation – This includes; Class/Dance Laboratory environment, planning, instruction, assessing for learning, communication, professionalism, student diversity, self-evaluation and reflection as it relates to Dance Education

Students

Since the Board of Regents approved the Dance Education major in October 2015, enrollment has expanded significantly. In fact, the program has met enrollment goals in nearly half the amount of time originally projected (i.e., four semesters versus three full academic years). Specifically, in spring 2016, the program enrolled five students. Currently, the program enrolls 19 students. This has taken

place using existing resources and with little to no formal marketing efforts carried out at the institutional level.

Faculty

There is one full-time dance education-specific tenure track faculty person teaching within the program. To-date, the program has not added a second tenure track dance education position, as originally proposed. Additional tenure track faculty from the CCSU School of Education and Professional Studies support program delivery. Finally, the program continues to employ highly qualified (i.e., master's degrees or above) and accomplished adjunct faculty/dance professionals to teach specialized courses/genres of dance. A listing for faculty, both tenure track and adjunct, is provided below with load hour (i.e., LH) assignments, noted:

- Professor Catherine Fellows, 12 LH of dance education courses per semester
- Mr. Stephen Hankey – 2 LH of dance technique courses per semester
- Ms. Susan Matheke – 3-6 LH of dance education courses per semester
- Ms. Jennifer Newman – 4 LH of dance education courses per semester
- Associate Professor Carol Ciotto – 12 LH of physical education courses, including those required for the Dance major
- Dr. Jan Bishop – 12 LH physical education courses, including those required for the Dance major
- Dr. Amy Gagnon – 12 LH physical education courses, including those required for the Dance major
- Dr. Matthew Martin – 12 LH physical education courses, including those required for the Dance major
- Dr. Tan Leng Goh – 12 LH physical education courses, including those required for the Dance major
- Dr. David Harackiewicz – 12 LH with 3 LH in required Dance major
- Dr. Chee-Hoi Leong – 12 LH with 6 LH in required Dance major
- Dr. Matthew Orange – 12 LH with 6 LH in required Dance major
- Dr. Kurt Love – 12 LH of Education courses with 3 LH in required Dance major
- Dr. Daniel Mulcahy – 12 LH of Education courses with 3 LH in required Dance major
- Dr. Pauline Wingari Gichiru – 12 LH of Education courses with 3 LH in required Dance major
- Dr. Jacob Werblow – 12 LH of Education courses with 3 LH in required Dance major

Learning Resources/Facilities

The primary learning resources for the Dance Education major, aside from program faculty, are CCSU facilities. The Dance Education program at Central Connecticut State University makes full use of the Welte Stage, one of the finest performing arts resources in the state. CCSU hosts various dance performances including nationally acclaimed modern/ballet companies (i.e. Jennifer Muller/*The Works*, Paul Taylor 2, Martha Graham Junior Company, Hubbard Street of Chicago) CCSU students are often able to participate in performances hosted at the Welte Stage. Use of the Welte Auditorium enables the development of a relationship between the university and the

community and widens the base for dance education and the performing arts not only on campus, but also throughout New England.

In addition to the use of the Welte Stage on campus, CCSU has recently opened a state of the art Dance Education Center (DEC). Although not in the original Dance Education major proposal, the new DEC was created using an existing building that sits directly across from the Welte Stage. The DEC is an attractive and spacious facility used for dance classes and rehearsal space, as well as for other program classes (Mindfulness in Health and Healthcare) and campus activities (Moment to Moment Meditation and Karate club). The space was designed to be twice the footprint of the Welte Stage to allow for a proper rehearsal space. As mentioned, the DEC is attractive and spacious; it is equivalent to 4 dance studios and equipped with a state of the art sound system and flooring. There is also a teaching station with a retractable screen used for teaching and rehearsals. Additionally, outside the DEC is an expansive courtyard, beautifully landscaped to allow for outdoor performances.

Fiscal Note

To-date, the program has generated \$197,567 in tuition and fee-based revenue. To-date, expenses incurred regarding adjunct instructors have been \$55,449. Administrative costs (i.e. program coordination) have been \$10,336. The Dance Education program has netted CCSU \$131,782 in new revenue (i.e. revenue minus expenditures) since its launch in fall 2016.

Review of Documents:

As stated previously, the Dance Education major at CCSU was previously approved and licensed by the BOR in October 2015. Relatedly, the program underwent all related CCSU curricular and CSDE document review prior to gaining BOR approval.

Accreditation:

The School of Education and Professional Studies at CCSU is accredited by the National Council for Accreditation of Teacher Education and is approved by the Connecticut State Department of Education to offer an initial teacher preparation program leading to Dance Education Initial Teacher Licensure.

9/13/2017 – Academic Council

10/12/2017 – BOR Academic & Student Affairs Committee

10/19/2017 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Continuation of a Center

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve continuation of the Werth Center for Coastal and Marine Studies at Southern Connecticut State University until December 31, 2024.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Continuation of the Werth Center for Coastal and Marine Studies at Southern Connecticut State University

RECOMMENDED MOTION FOR FULL BOARD

RESOLVED: That the Board of Regents for Higher Education approve continuation of the Werth Center for Coastal and Marine Studies at Southern Connecticut State University until December 31, 2024

BACKGROUND

The Werth Center for Coastal and Marine Studies was established March 16, 2007 as the Center for Coastal and Marine Studies by the CSU Board of Trustees (BR 07-10), and was last reauthorized for continuation by the Board of Regents on November 15, 2012 until December 31, 2017. The Center's name was changed by the BOR on October 17, 2013 in honor of the Werth Family Foundation, the Center's principal benefactor.

The CSU "Guidelines Regarding Academic Centers and Institutes" (BR 01-47) requires each center or institute to be reviewed in its fifth year of authorization. Per the Board of Regents' Academic Program Review Policy, the review period for Centers and Institutes has been extended from five to seven years.

The director/coordinator of the Center/Institute and/or other institutional administrators prepare a Sunset Report/Review for Continuation. The institution's president reviews this evaluative self-study and then forwards his/her recommendation for continuation or discontinuation to the Board.

President Joe Bertolino has reviewed or been briefed on the evaluation of the Werth Center for Coastal and Marine Studies and recommends that its authorization be continued.

This Staff Report, prepared by a staff member within the System's Office of the Provost and Senior Vice-President for Academic and Student Affairs, is a summation of the Center's 2017 Sunset Report/Review for Continuation – a 20-page document.

RATIONALE

The Werth Center for Coastal and Marine Studies affords interdisciplinary faculty and student opportunities to conduct coastal and marine environmental/ecological research. This research informs public awareness and the teaching of marketable technological skills. The Center has established and monitors a series of field sites along Long Island Sound for applied and collaborative research and other pedagogical initiatives. The impact of climate change and major meteorological events, the disposal of wastes and contaminants, the preservation of significant estuaries and related phenomenon in this major site for habitation, recreation, transportation, and fishing present a number of unique, compelling problems and opportunities for students, educators and scientists.

PRINCIPAL ACTIVITIES/ACCOMPLISHMENTS

In addition to its field sites, the Center now has a presence in the institution's new Academic Science and Laboratory building. This presence includes laboratories and classroom space, equipment and a 5,000-gallon aquarium system displaying fish and invertebrates from the Sound. The Center promotes cross-disciplinary collaborations among the institution's faculty and students, and sponsors a seminar series involving faculty and students from the other CSU campuses and 28 other institutions. The Center has also sponsored conferences on coastal matters featuring international attendance at Southern.

The Center's faculty and students have worked with numerous federal, state and local agencies in the conduct of their work, and have partnered with businesses and other institutions to facilitate the conduct of ongoing research programs. Faculty members have amassed an impressive roster of publications, conference presentations and research grants.

The Center has achieved progress toward accomplishing its stated goals each year of this reporting period.

STUDENT INVOLVEMENT

The Center engages undergraduate and graduate students in active research – “learning science by doing science.” Over the course of the previous five years, 48 students from six distinct disciplines were provided stipends to support their research in the laboratories of the Center's faculty members. As research assistants, students have learned to use state-of-the-art scientific equipment in developing basic field, laboratory and other research skills. Faculty members provide students with mentoring and other support in students' research projects and theses, and in co-authoring with faculty members in the production of papers, posters, presentations.

BUDGET

Summary of Revenues and Expenses					
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Beginning Balance	\$0	\$0	\$0	\$0	\$0
Total Revenues	\$76,742	\$76,089	\$102,515	\$111,376	\$120,047
Total Expenses	\$76,562	\$79,829	\$98,775	\$108,566	\$122,857
Revenues Less Expenses	\$180	(3,740)	\$3,740	\$2,810	(2,810)
Ending Balance	\$180	(3,560)	\$180	\$2,990	\$180

Summary of Projected Revenues and Expenses					
	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
Beginning Balance	\$0	\$0	\$0	\$0	\$0
Total Revenues	\$108,950	\$108,950	\$108,950	\$108,950	\$108,950
Total Expenses	\$108,950	\$108,950	\$108,950	\$108,950	\$108,950
Revenues Less Expenses	\$0	\$0	\$0	\$0	\$0
Ending Balance	\$0	\$0	\$0	\$0	\$0

The Center receives sustainable funding of \$75,000 each year from the Werth Family Foundation as part of its \$3 million gift to Southern Connecticut State University.

ASSESSMENT/EVALUATION

The Center's Sunset Report noted that progress toward achievement of its five goals was accomplished in each year of the reporting period, at a level deemed to be 100 percent.

10/12/17 – BOR-Academic and Student Affairs Committee

10/19/17 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Continuation of a Center

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve continuation of the Center for Excellence in Mathematics and Science at Southern Connecticut State University until December 31, 2024.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Continuation of the Center for Excellence in Mathematics and Science at Southern Connecticut State University

RECOMMENDED MOTION FOR FULL BOARD

RESOLVED: That the Board of Regents for Higher Education approve continuation of the Center for Excellence in Mathematics and Science at Southern Connecticut State University until December 31, 2024

BACKGROUND

The Center for Excellence in Mathematics and Science was established March 16, 2007 by the CSU Board of Trustees (BR 07-11), and was last reauthorized for continuation by the Board of Regents on November 15, 2012 until December 31, 2017.

The CSU “Guidelines Regarding Academic Centers and Institutes” (BR 01-47) requires each center or institute to be reviewed in its fifth year of authorization. Per the Board of Regents’ Academic Program Review Policy, the review period for Centers and Institutes has been extended from five to seven years.

The director/coordinator of the Center/Institute and/or other institutional administrators prepare a Sunset Report/Review for Continuation. The institution’s president reviews this evaluative self-study and then forwards his/her recommendation for continuation or discontinuation to the Board.

President Joe Bertolino has reviewed or been briefed on the evaluation of the Center for Excellence in Mathematics and Science and recommends that its authorization be continued.

This Staff Report, prepared by a staff member within the System’s Office of the Provost and Senior Vice-President for Academic and Student Affairs, is a summation of the Center’s 2017 Sunset Report/Review for Continuation – a 30-page document supplemented by a 43-page Executive Summary of CRISP, the Center’s major grant funded initiative.

RATIONALE

The mission of the Center for Excellence in Mathematics and Science is to foster student success across STEM disciplines by supporting innovative and evidence-based programs and pedagogical approaches in related fields through the enhancement of existing campus initiatives and through effective collaborations between STEM faculty in K-16, with the goal of increasing the number and quality of students pursuing careers in mathematics and science.

PRINCIPAL ACTIVITIES/ACCOMPLISHMENTS

The Center facilitated the submission of a number of external grant applications and fulfilled grants’ obligations for contractual education and outreach over the course of the five-year report period. Some grants were submitted in collaboration with other institutions of higher education or school districts. The largest grant amount allocated to SCSU was a National Science Foundation funded program for \$1.8M over a 12-year period.

Additionally, the Center's 9 faculty members conducted research, published articles and made conference presentations (number = 26); planned and implemented sponsored events often targeting students at SCSU and regional communities (number = 49; and planned and conducted workshops on STEM topics on campus and locally (number - 29).

STUDENT INVOLVEMENT

On the whole, the Center's projects have direct impact on a large number of SCSU students and have significant public engagement or outreach components. For example:

- Approximately 100 undergraduate students were impacted through scholarships, research experiences and/or internships
- Approximately 1,500 SCSU students have been impacted through courses developed with the Center's support
- Hundreds of regional K-12 students attended the Center's public engagement/outreach activities
- Approximately three hundred K-12 teachers participated in the Center's professional development workshops
- Several hundred regional citizens attended the Center's public lectures and other outreach activities

BUDGET

Summary of Revenues and Expenses					
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Beginning Balance	\$0	\$0	\$0	\$0	\$0
Total Revenues	\$37,710	\$20,754	\$31,367	\$41,236	\$27,257
Total Expenses	\$37,710	\$20,754	\$31,367	\$41,236	\$27,257
Revenues Less Expenses	\$0	\$0	\$0	\$0	\$0
Ending Balance	\$0	\$0	\$0	\$0	\$0

Summary of Projected Revenues and Expenses					
	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
Beginning Balance	\$0	\$0	\$0	\$0	\$0
Total Revenues	\$26,877	\$26,877	\$26,877	\$26,877	\$26,877
Total Expenses	\$26,877	\$26,877	\$26,877	\$26,877	\$26,877
Revenues Less Expenses	\$0	\$0	\$0	\$0	\$0
Ending Balance	\$0	\$0	\$0	\$0	\$0

The only revenue streams to the Center are support provided through the SCSU Dean of Arts and Sciences and/or Provost. Nevertheless, the Center claims to have generated more than \$330,000 for the university through external grants obtained with the Center's support, during the report period. The Center project this amount to exceed \$525,000 by the end of continuation period. These funds are said to cover tuition (scholarships).

ASSESSMENT/EVALUATION

It was reported that the Center's scholarship recipients graduated at rates twice that of the University's averages and that all graduates through 2015 were employed in STEM fields or attending graduate school. It was also noted that the Center has been successful in increasing the diversity of STEM graduates at the institution.

10/12/17 – BOR-Academic and Student Affairs Committee

10/19/17 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Continuation of an Institute

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education accept the renaming of the Henry C. Lee Institute for the Study of Crime and Justice at Central Connecticut State University to the Institute for the Study of Crime and Justice.

RESOLVED: That the Board of Regents for Higher Education approve continuation of the Institute for the Study of Crime and Justice at Central Connecticut State University until December 31, 2024.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Renaming of the Henry C. Lee Institute for the Study of Crime and Justice at Central Connecticut State University; and

Continuation of the Institute for the Study of Crime and Justice at Central Connecticut State University

RECOMMENDED MOTION FOR FULL BOARD

RESOLVED: That the Board of Regents for Higher Education accept the renaming of the Henry C. Lee Institute for the Study of Crime and Justice at Central Connecticut State University to the Institute for the Study of Crime and Justice

RESOLVED: That the Board of Regents for Higher Education approve continuation of the Institute for the Study of Crime and Justice at Central Connecticut State University until December 31, 2024

BACKGROUND

The Henry C. Lee Institute for the Study of Crime and Justice was established February 1, 2002 by the CSU Board of Trustees (BR 02-04), and was last reauthorized for continuation by the Board of Regents on November 15, 2012 until December 31, 2017.

The CSU “Guidelines Regarding Academic Centers and Institutes” (BR 01-47) requires each center or institute to be reviewed in its fifth year of authorization. Per the Board of Regents’ Academic Program Review Policy, the review period for Centers and Institutes has been extended from five to seven years.

The director/coordinator of the Center/Institute and/or other institutional administrators prepare a Sunset Report/Review for Continuation. The institution’s president reviews this evaluative self-study and then forwards his/her recommendation for continuation or discontinuation to the Board, via the System Office.

President Zulma Toro has reviewed or been briefed on the evaluation of the Henry C. Lee Institute for the Study of Crime and Justice and recommends that its renaming be accepted and its authorization be continued.

This Staff Report, prepared by a staff member within the System’s Office of the Provost and Senior Vice-President for Academic and Student Affairs, is a summation of the Center’s 2017 Sunset Report/Review for Continuation – a 15-page document.

RATIONALE

The purpose of the Institute is to actualize the mission of the Department of Criminology and Criminal Justice of creating and disseminating theoretical, scientific, and practical knowledge pertaining to crime and justice that will inform local, state, and federal criminal and juvenile justice policy. The distinguished forensic scientist for whom the Institute was named has not been associated with the Institute as initially envisioned; hence, the request for a name change.

PRINCIPAL ACTIVITIES/ACCOMPLISHMENTS

The Institute seeks to inform the broader scientific community through scholarly publications and conference presentations. The Institute's faculty members have published 15 journal articles, five books, chapters or technical reports and have made 35 scientific and/or professional presentations. To inform local, state and federal policy, the Institute collaborates with a number of criminal justice and non-profit agencies; and engages in a variety of activities including program evaluation, risk assessment development, creation of evidence-based programs and interventions, survey research, staff training and development and technical assistance. As the outreach arm of the Department of Criminology and Criminal Justice, the Institute provides opportunities for students, faculty and practitioners to interact in a variety of professional settings.

STUDENT INVOLVEMENT

Both undergraduate and graduate students work with the Institute's faculty members and its real-world collaborators on a variety of projects. Students are employed by the Institute, are placed in internships sites, receive support to attend national academic conferences and conduct research that facilitates their development of strong analytical and communication skills. Students assist in the generation of project data which they often use in capstone projects and theses. Institute projects are integrated into classroom lectures, examples and other activities by the Institute's faculty which represents various legal and social science disciplines. Police departments and other law enforcement organizations, judicial entities and social service organizations become familiar with the University's students through Institute activities and are more likely to hire them.

BUDGET

Summary of Revenues and Expenses					
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Beginning Balance	\$38,311	\$27,046	\$22,387	\$20,221	\$15,129
Total Revenues	\$60,106	\$185,525	\$121,518	\$82,436	\$54,655
Total Expenses	\$71,371	\$190,184	\$123,684	\$87,528	\$66,201
Revenues Less Expenses	(11,265)	(4,659)	(2,166)	(5,092)	(11,546)
Ending Balance	\$27,046	\$22,387	\$20,221	\$15,129	\$3,583

Summary of Projected Revenues and Expenses					
	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
Beginning Balance	\$3,583	\$7,762	\$11,941	\$15,253	\$18,565
Total Revenues	\$101,854	\$101,854	\$105,539	\$105,539	\$105,539
Total Expenses	\$97,675	\$97,675	\$102,227	\$102,227	\$102,227
Revenues Less Expenses	\$4,179	\$4,179	\$3,312	\$3,312	\$3,312
Ending Balance	\$7,762	\$11,941	\$15,253	\$18,565	\$21,877

The Institute relies mostly upon revenue earned from federal grants and state contracts. The projected revenues for FY18 and FY19 are based on existing grants.

ASSESSMENT/EVALUATION

Assessment measures of the Institute's goals and objectives reveal that the stated performance metrics were achieved.

10/12/17 – BOR-Academic and Student Affairs Committee
10/19/17 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Continuation of an Institute

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve continuation of the Institute for Municipal and Regional Policy at Central Connecticut State University until December 31, 2024.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Continuation of the Institute for Municipal and Regional Policy at Central Connecticut State University

RECOMMENDED MOTION FOR FULL BOARD

RESOLVED: That the Board of Regents for Higher Education approve continuation of the Institute for Municipal and Regional Policy at Central Connecticut State University until December 31, 2024

BACKGROUND

The Institute for Municipal and Regional Policy was established April 4, 2002 by the CSU Board of Trustees (BR 02-25), and was last reauthorized for continuation by the Board of Regents on November 15, 2012 until December 31, 2017.

The CSU “Guidelines Regarding Academic Centers and Institutes” (BR 01-47) requires each center or institute to be reviewed in its fifth year of authorization. Per the Board of Regents’ Academic Program Review Policy, the review period for Centers and Institutes has been extended from five to seven years.

The director/coordinator of the Center/Institute and/or other institutional administrators prepare a Sunset Report/Review for Continuation. The institution’s president reviews this evaluative self-study and then forwards his/her recommendation for continuation or discontinuation to the Board.

President Zulma Toro has reviewed or been briefed on the evaluation of the Institute for Municipal and Regional Policy and recommends that its authorization be continued.

This Staff Report, prepared by a staff member within the System’s Office of the Provost and Senior Vice-President for Academic and Student Affairs, is a summation of the Institute’s 2017 Sunset Report/Review for Continuation – a 39-page document, supplemented by progress reports totaling 22 pages.

RATIONALE

The Institute for Municipal and Regional Policy is a non-partisan, University-based organization dedicated to enriching the quality of local, state and national public policy. The Institute tackles critical, and often under-addressed issues with the intent of ensuring the most positive outcomes for impacted individuals and entities; thus, the Institute bridges the divide between academia, policymakers, practitioners and the community.

PRINCIPAL ACTIVITIES/ACCOMPLISHMENTS

The Institute’s major projects during this reporting period were Children of Incarcerated Parents, Results First Initiative, and Racial Profiling Prohibition. These and other projects generated 24 research papers and reports, and 21 conference presentations by the Institute’s faculty; as well as legislative testimonies and presentations for state agencies and organizations. At least three states have contacted the project manager regarding replication the Children of Incarcerated

Parents or learning from its experiences. The Institute is a founding member of an international coalition for Children with Incarcerated parents. The Pew-MacArthur collaborative named Connecticut one of five leading states in the use of evidence-based policymaking primarily as a direct result of the Institute's Results First Initiative whose work has been utilized by a number of state agencies. Budget proposals for the 2018-19 biennial by the major political parties suggest the Results First Initiative approach be more broadly applied to improve agency practice and to save money. The Connecticut Racial Profiling Prohibition Project published annual reports of analysis of traffic stop data have gained significant statewide and national attention. The initial report was instructive in the implementation of the state's racial profiling law.

STUDENT INVOLVEMENT

As scholarship recipients, research assistants, workers and volunteers; undergraduate and graduate students have played significant roles in the development and implementation of the Institute's projects. The Institute afford students opportunities to develop and enhance research skills and technical support competencies in such areas as data entry, data analysis, website development, report formatting and design, marketing, and forum planning. The Institute has also hosted interns from the state's law and social work schools.

BUDGET

Summary of Revenues and Expenses					
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Beginning Balance	\$900,014	\$738,966	\$853,916	\$1,467,421	\$1,269,486
Total Revenues	\$1,294,660	\$1,760,151	\$3,272,090	\$1,609,052	\$1,254,866
Total Expenses	\$1,455,708	\$1,645,201	\$2,658,585	\$1,806,987	\$1,373,702
Revenues Less Expenses	(161,048)	\$114,950	\$613,505	(197,935)	(118,836)
Ending Balance	\$738,966	\$853,916	\$1,467,421	\$1,269,486	\$1,150,650

Summary of Projected Revenues and Expenses					
	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
Beginning Balance	\$1,150,650	\$1,192,300	\$1,233,950	\$1,275,600	\$1,317,250
Total Revenues	\$1,838,000	\$1,838,000	\$1,838,000	\$1,838,000	\$1,838,000
Total Expenses	\$1,796,350	\$1,796,350	\$1,796,350	\$1,796,350	\$1,796,350
Revenues Less Expenses	\$41,650	\$41,650	\$41,650	\$41,650	\$41,650
Ending Balance	\$1,192,300	\$1,233,950	\$1,275,600	\$1,317,250	\$1,358,900

The major sources of revenue for the Institute are judicial and federal grants.

ASSESSMENT/EVALUATION

Annual progress reports document the degree to which the Institute's goals and objectives are achieved; in addition to presenting the Institute's priorities, strengths and area for improvement.

10/12/17 – BOR-Academic and Student Affairs Committee

10/19/17 – Board of Regents

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Discontinuation of a Center

October 19, 2017

RESOLVED: That the Board of Regents for Higher Education approve discontinuation of the Center for Business Research at Western Connecticut State University effective December 31, 2017.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

ITEM

Discontinuation of the Center for Business Research at Western Connecticut State University

RECOMMENDED MOTION FOR FULL BOARD

RESOLVED: That the Board of Regents for Higher Education approve discontinuation of the Center for Business Research at Western Connecticut State University effective December 31, 2017

BACKGROUND

The Center for Business Research was established December 13, 1996 by the CSU Board of Trustees (BR 96-72), and was last reauthorized for continuation by the Board of Regents on November 15, 2012 until December 31, 2017.

The CSU “Guidelines Regarding Academic Centers and Institutes” (BR 01-47) requires each center or institute to be reviewed in its fifth year of authorization. Per the Board of Regents’ Academic Program Review Policy, the review period for Centers and Institutes has been extended from five to seven years.

The director/coordinator of the Center/Institute and/or other institutional administrators prepare a Sunset Report/Review for Continuation. The institution’s president reviews this evaluative self-study and then forwards his/her recommendation for continuation or discontinuation to the Board.

President John Clark has reviewed or been briefed on the evaluation of the Center for Business Research and recommends that its authorization be discontinued. While we had initially planned to renew this Center, the recent BOR action on definitions for Centers and Institutes prevents us from doing so. We have no external funding at this time.

We do plan to reimagine the activities through classes, student clubs and Career Services.

10/12/17 – BOR-Academic and Student Affairs Committee

10/19/17 – Board of Regents

8. Finance & Infrastructure

- a) WCSU Expanded Pilot Program – In-state tuition rates NY and NJ
- b) In-state Tuition Rates for Victims of Hurricane Maria

RESOLUTION

concerning

Western Connecticut State University Tuition Pilot

October 19, 2017

- WHEREAS, The Board pursuant to its statutory authority - Section 10a-99 and Public Act 11-48 of the Connecticut General Statutes (CGS) – shall review and establish tuition and fees annually for the Connecticut State Colleges & Universities for such purposes as the board deems necessary, and
- WHEREAS, Western Connecticut State University (WCSU) initiated a successful strategy to reverse a negative enrollment trend, and
- WHEREAS, Based on the success of the initial pilot program of offering in-state tuition and fee rates to residents of seven New York counties, and
- WHEREAS, But for the high differential between in-state and out-of-state tuition and fee rates charged by the Universities, WCSU believes that it could considerably increase enrollments from neighboring New York and New Jersey, and
- WHEREAS, In subsequent years, the management of WCSU believes the expansion of the program to all of New York and New Jersey residents will result in enrollment sufficient to enhance their fiscal position, and
- WHEREAS, In addition to enrollment improvements, WCSU will be able to continue to offer the breadth of curricula, therefore be it
- RESOLVED, That WCSU’s proposal to expand the original pilot and to offer in-state tuition rates to current and prospective students from New York and New Jersey to begin in Fall 2018 and be evaluated after a two-year period for continuation.

A True Copy:

Erin A. Fitzgerald, Secretary

ITEM

Western Connecticut State University (“WCSU”) Expanded Pilot Program to offer in-state tuition to current and prospective students from New York and New Jersey.

BACKGROUND

WCSU offers the southwest region of Connecticut excellent higher education programming, including a state of the art Visual and Performing Arts school. WCSU is an integral member of the Danbury community and serves approximately 5,700 students of which over 90% are residents of Connecticut. The university also employs approximately 225 and 500 full and part time faculty, respectively.

Unfortunately, WCSU has seen undergraduate enrollment decline by approximately 15% since 2011, and in particular by Connecticut students. The college-aged population in Connecticut has been decreasing over the past several years, and is expected to continue to decrease in the near to mid future years. WCSU has seen the highest enrollment reduction among the four CSUs recently. This has contributed to fiscal challenges that, along with declining state funds, has led to a budget imbalance for the University. In turn, this has necessitated use of unrestricted reserves over the past few years, which is not a sustainable solution.

In order to continue to offer the breadth of curricula expected of its students, WCSU initiated a pilot program in Fall 2017 which had been approved by the Board of Regents at its September 16, 2016 meeting.

The pilot permitted WCSU to offer in-state tuition and fee rates to residents of seven New York neighboring counties: Dutchess, Putnam, Westchester, Orange, Rockland, Sullivan and Ulster. This has proved to be highly successful in attracting students from these neighboring counties; new student from New York grew from 74 in the Fall of 2016 to 243 in the Fall of 2017, and increase of 228%. At the same time, however, Connecticut student enrollment continued to drop, which left WCSU relatively flat on an year-to-year FTE count. Also, in spite of the great increase in enrollment from the neighboring counties, only 70 are resident students leaving approximately 140 empty beds in the dormitories with the related loss in revenues in FY18.

Based on the success of the initial pilot program, WCSU is requested approval to expand the pilot program to include all New York and New Jersey residents. Such students would be offered in-state rates under the expanded pilot, and current students enrolled would have a tuition and fee rate reduction to sync up with new students. In addition to enrollment improvements this pilot would help to fill empty beds in the dormitories. The study will validate whether the success of the limited pilot begun in Fall of 2017 can be replicated in other areas of New York and New Jersey and provide guidance for future recruiting practices based upon hard data.

After conferring with the other CSUs, the majority agreed that WCSU should lead in this pilot program and the other CSUs may observe the impact in order to assess in the following fiscal year whether a request will be submitted to modify out-of-state rates more broadly.

As we have increased tuition and fees each year by the same percentage over time, the spread between in-state and out-of-state has continued to grow each year. More currently, our neighboring states have begun to offer competitive rates to out-of-state students, including our Connecticut residents. This proposal would combat some of the pressures posed by our neighboring states, and other institutions nation wide.

ANALYSIS

The proposal prepared by WCSU is attached (ATTACHMENT I). WCSU proposes to begin this pilot in the Fall 2018 in order to provide time for marketing. The pilot will be extended to existing students from New York and New Jersey. Additional research performed by the University is included in the attached proposal.

In Attachment Chart A, WCSU has provided a map showing that within a 60 mile radius of the campus, a significant portion falls into the states of New York and New Jersey. This expanded pilot would bring in more residential students from these states since it is not a commutable distance. It is however close enough for students to get home easily on weekends should they choose to do so.

Increases in enrollment would benefit the University both financially and academically. Additional students would afford the opportunity to offer more courses and programs, would support the auxiliary services offered by WCSU, and would enrich the overall student experience through diversity.

WCSU estimated that the first year of the pilot would cost approximately \$1.5M in lost revenues due to grandfathering current students; there are currently 120 freshman, sophomores, and juniors enrolled from the targeted states. At in-state tuition rates and assuming such students would be resident, this would require an additional 87 student in order to break even.. WCSU has set a goal of 50 new students in the first year; the program payback would therefore be less than two years, and the university hopes to exceed this goal based on the success of the initial pilot program.

RECOMMENDATION

Approve WCSU's proposal to expand the original pilot and to offer in-state tuition rates to residents of New York and New Jersey. This pilot would begin in Fall 2018 and be evaluated after a two-year period for continuation. Those students already at WCSU who geographically qualify and new students admitted under this pilot will continue at in-state rates until graduation or withdrawal.

10/11/17 Finance & Infrastructure
10/19/1

ATTACHMENT I

October 3, 2017

WCSU Proposed Expansion of the New York In-State Tuition Pilot Program**Statement of Purpose:**

Given its initial success, WCSU wishes to expand its current pilot program from the seven New York counties (Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester) to include the neighboring and adjoining states of New York and New Jersey. Specific areas of recruitment will be Long Island, New York City and northern New Jersey which are in the University's primary recruitment area (see Chart A for a geographical radius map of the area)

Rationale:**A. Need for Residential Students**

The initial pilot program has far exceeded the original expectations (estimated 75 students) as the numbers below reflect:

Fall, 2017 – 238 new NYS students

Fall, 2016 – 74

Difference: 164

However, the majority of the new NYS students (there were only 90 resident students) are commuters, largely from the border counties of Putnam, Dutchess and northern Westchester which are in easy driving distance to the University.

With this incoming class, the University still has a residential occupancy problem with one hundred forty (140) empty beds and the subsequent loss of revenues.

Consequently, the University must expand its program to include areas in its region that are most likely to yield residential students (i.e. Long Island, New York City and northern New Jersey) and increase housing and tuition income.

B. Continuing Decline in Connecticut Students

While the new student gains in the New York State seven county program were significant, unfortunately, these gains were largely offset by decreases in the Connecticut student population (loss of 214 students). The University conducted a survey of all its traditional feeder high schools and found the following:

- Only two (Bethel and Danbury High Schools) showed minor gains in student populations, all other high schools had declines.

- The reason for these declines was the same from all our regional high schools – decreasing student populations and, thus, less college bound graduating seniors. This is expected to continue for the foreseeable future (see Chart B for the U.S. Department of Education projections of high school graduates for the United States, Northeast, Connecticut, New Jersey and New York, 2012-2013 to 2025-2026.)

Consequently, the need to expand this pilot program to attract more students. It is important to note the University is intensifying its recruiting efforts in Connecticut and these students will always have admissions preference. However, it is the University's hope that a significant number of these New York and New Jersey students will stay to live and work here in Connecticut after graduation.

C. Benefits of the Pilot Expansion Program to Connecticut Students

As the University experiences decreases in State funding, and declines in both WCSU enrollment and Connecticut college-bound high school students, it has no choice but to either recruits students from nearby New York and New Jersey or reduce services and academic programs to its students. Thus, the University must expand its recruiting service area if it is to, at least, maintain and improve these services and academic offerings.

Additionally, without the expansion of the pilot program and a significant increase in the recruitment of new students, the financial and logistical challenges of operating a two campus university would only increase the need for draconian budgetary measures adversely affecting the University's ability to deliver a quality education and services to its students on both campuses.

Also, without the added benefit of new out-of-state students, our Connecticut students would face significant service cuts in a number of areas including: campus security, career services, counseling, food services, library, and tutoring. Obviously, there will be similar reductions in athletics, social events, and student club activities.

Lastly, but most importantly, is the need for additional students if WCSU is to maintain and improve its academic offerings – the very heart of the University's mission. As an example, because of the student decline over the last six years, biology, chemistry and meteorology now have seats available. However with less students, under-enrolled classes will be cut, programs offerings would have to be reduced and educational opportunities for our Connecticut students would suffer. With more students enrolled, there would be an increase in available classes and expanded programs which would be greatly beneficial for our Connecticut students. This would support the University's goal to sustain and grow its STEM program and produce a highly educated STEM workforce for Connecticut.

In summary, the expansion of the pilot program and the greater ability to recruit out-of-state students will benefit our Connecticut students by maintaining and, hopefully, improving the University's student services and academic programs with the additional revenues gained from increased enrollment.

D. The Additional Benefit of CSUG Funds

Since Connecticut State University Grant funds are based upon a percentage of the current year's full time enrollment. The more students the University can recruit from the expanded

pilot program, the greater the increase in CSUG funds which can be used for our Connecticut students to further defray the cost of a WCSU education.

E. Why Add New Jersey to the Pilot Expansion Program?

Given WCSU's goal to become the premier public institution of higher education in the lower Hudson River region, as the University's primary recruitment area map clearly shows (see Chart A), the heavily populated northern counties of New Jersey (Bergen, Essex, Hudson, and Morris) are in this area.

The major importance of New Jersey is that these students will be residential, not commuter, students. Additionally as the comparative tuition data (Chart C) shows, unlike SUNY and CUNY where WCSU in-state tuition is higher, the New Jersey public colleges' in-state tuition are higher which gives WCSU a much needed price advantage. Since the majority of students who attend these New Jersey public colleges are commuters, the choice will be to stay at home and pay the in-state tuition of a public New Jersey college or come to WCSU and experience the added advantages of residential life at a most reasonable cost.

Also, while senior staff are confident that resident students can be successfully recruited from the expansion in New York (especially Long Island and New York City) projections are difficult to make because the State of New York has now implemented the "free" tuition Excelsior Scholarship program for college students making it that more competitive. So New Jersey becomes even more important as an additional and alternative recruiting area.

Most importantly, from a CSCU system perspective, as the high school population of Western Connecticut is projected to decline, WCSU is forced to recruit beyond its traditional feeder high schools in western Connecticut. If for some reason the University could not expand the pilot program to New Jersey and recruiting in New York was less successful than anticipated, it would have to start recruiting students in areas of Connecticut traditionally associated with its other sister CSU institutions. This would cause a completely unnecessary and highly undesirable in-state recruiting "war" among fellow institutions which would greatly harm both the current collegial relationships among the CSUs, in particular and the CSCU system, in general.

In summary, New Jersey is part of WCSU's regional recruiting strategy and gives the University a critical, additional source of potential residential students which is key to its future success.

F. The Need for the Expansion of the Pilot Program to Determine Future Recruitment Strategies

It must be stressed that this is a pilot program for all the CSUs not just WCSU which seeks ways to address the enrollment challenges that face the CSCU system.

Consequently, the recruitment data will be collected and results shared with the other CSUs and CSCU Central Office to identify both strengths, deficiencies and best practices that all can follow in the coming years.

Just as importantly, these experimental recruitment programs will "seed" the recruiting grounds for the other CSU's if they decide to participate in the program. That is, WCSU will

market as a constituent institution of the CSCU system so students in these new areas will become familiar with both the “name” CSCU and the other CSUs as well.

The expansion of the pilot program is a part of a study to determine if the success of the limited New York State seven county program can be replicated in other areas of New York and New Jersey and provide guidance for future recruiting practices based upon hard data.

G. Projection of Additional Students from the States of New York and New Jersey in the First Year of the proposed Pilot Expansion Program and Estimated Marketing Costs

The University is very conservative in its projections of additional students because it is late to the AY 18-19 recruiting cycle and there are certain areas (e.g. New Jersey) that are new to the University’s recruiting efforts and will require extra market efforts. These conservative projections by specific market area are as follows in the first year of the expanded pilot program for AY 18-19:

Long Island: 30

New York City: 10

New Jersey: 10

Total: 50 New Students

As noted beforehand, it is expected that all these students will be residents, not commuters. Since this is the first year of the program, it is anticipated that the numbers will significantly increase in the second year with increased marketing and WCSU admissions representative’s coverage of the area high schools.

With the successful marketing campaign in the New York State seven counties already in hand, the University plans to spend approximately \$150,000 in marketing with most of the focus on Long Island, northern New Jersey and New York City.

H. Breakeven Analysis in the First Year

Since it is CSCU policy that currently matriculated students from the pilot program areas will also receive the in-state tuition which is a \$12,689 reduction from the out-of-state tuition they are now paying. Currently, there are 120 students from the States of New York and New Jersey (excluding students from the New York counties which are already accounted for) which means a loss of \$1,522,680 in revenues. So in the first year of the program, it is estimated that 87 new students from the new areas qualifying for the in-state tuition would have to enroll to completely offset the loss noted above. If the University reaches the goal of 50 new students above, the projected loss would be reduced to \$469,493 which would further decrease if either the University exceeded the 50 new student goal or additional students enrolled from the original NYS seven county program.

Chart A

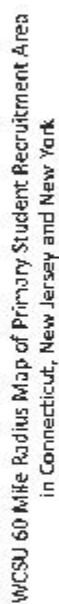


Chart B

Projections of High School Graduates

	2012-2013	2025-2026	% Change 2012-2013 through 2025-2026
United States	3,168,650.00	3,371,680.00	6.4
Northeast	555,202.00	535,840.00	-3.5
Connecticut	38,722.00	33,130.00	-14.4
New Jersey	96,490.00	95,970.00	-0.5
New York	180,351.00	183,720.00	1.9
<i>Projections of Education Statistics to 2025 Forty-Fourth Edition;</i>			
Institute of Education Statistics, U.S. Department of Education 2017-2018			

Chart C

**Sample Comparative Public University Tuition and Fees
For New York (CUNY and SUNY), New Jersey and WCSU**

State	In-State Tuition and Fees
New York - CUNY*	\$6,760
New York - SUNY**	\$8,340
New Jersey***	\$14,104
WCSU	\$10,418
*For comparative, competing colleges e.g. Lehman (Bronx), York (Queens) and Queens College	
**For comparative, competing colleges e.g. Farmingdale (Long Island) and Old Westbury (Long Island)	
***For comparative, competing colleges e.g. Ramapo, Monclair State, William Paterson	
Note: Except for WCSU, these are average tuition and fees costs because there may be some fee variation among the colleges in a particular state.	

RESOLUTION

concerning

Adjusted Tuition Rates for Victims of Hurricane Maria

October 19, 2017

- WHEREAS, The state of Connecticut has extended humanitarian aid to victims of Hurricane Maria by ensuring that displaced children from affected storm areas have access to primary and secondary education, and
- WHEREAS, These students are US citizens residing in Puerto Rico and the US Virgin Islands are affected by this catastrophe, and
- WHEREAS, Our institutions have expressed an interest in providing support to student victims of Hurricane Maria to continue their studies in Connecticut while their schools are being repaired or rebuilt, and
- WHEREAS, These students residing in island communities with little or no availability of options to continue their studies in their home territories, therefore be it
- RESOLVED, That tuition will be offered at in-state rates to displaced student-victims of Hurricane Maria who have been attending the University of Puerto Rico or the University of the Virgin Islands so that they may continue their studies while their home institutions are being repaired or rebuilt.

A True Copy:

Erin A. Fitzgerald, Secretary

ITEM**Adjusted Tuition Rates for Victims of Hurricane Maria****BACKGROUND**

The state of Connecticut has extended humanitarian aid to victims of Hurricane Maria by ensuring that displaced children from affected storm areas have access to primary and secondary education.

Management of the Connecticut State Colleges & Universities likewise requests Board approval to support students in higher education residing in Puerto Rico and the US Virgin Islands so that they may continue their studies in Connecticut while their schools are being repaired or rebuilt.

These affected students are US citizens residing in island communities with little or no availability of options to continue their studies in their home territories.

ANALYSIS

Presidents of our institutions have expressed their interest in providing support to student victims of Hurricane Maria. The following chart shows the relative costs of in-state attendance among the University of Puerto Rico, the University of the Virgin Islands, and our State Universities and Community Colleges.

**FY2018 Comparative Tuition and Fee Rates
In-State, Full-Time, Undergraduate Students**

Tuition and Mandatory Fees per Semester	University of the Virgin Islands	University of Puerto Rico	Connecticut State Universities (Avg)	Connecticut Community Colleges
Full-Time Tuition (under 17 credits)	2,315.5		2,821.0	1,908.0
Mandatory Fees	412.0		2,648.0	230.0
Total Tuition and Fees per Semester	2,727.5	997.5	5,469.0	2,138.0

Average Room and Board per Semester	University of the Virgin Islands	University of Puerto Rico	Connecticut State Universities (Avg)	Connecticut Community Colleges
Room	2,060.0		3,682.5	
Board	2,457.5		2,791.0	
Total Room and Board per Semester	4,517.5	7,117.5	6,473.5	NA

Total Residential Student per Semester	7,245.0	8,115.0	11,942.5	NA
---	----------------	----------------	-----------------	-----------

Our residential in-state rates are somewhat higher at State Universities than the impacted universities, and tuition and fees considerably higher. The cost of attendance excluding room and board is more comparable at our Community Colleges, however depending on the field of

study, the State Universities may be a better solution for some students. In either case, it is our understanding that many of the impacted students are Pell recipients. It is unlikely however that Pell grants could be obtained in the Fall semester. For the Spring semester, we would need to process FAFSAs locally in order to get the student Pell financing.

ECSU is a member of the National Student Exchange, as are the University of Puerto Rico and also the University of Virgin Islands. This would enable a very easy processing of the students at their facility. Our current understanding is that only ECSU is a member institution.

Management is proposing to extend in-state rates to impacted students. As the Fall semester is already well underway it is expected that students will most likely begin in the Spring. As such, we can support FAFSA documentation and secure Pell funding where applicable.

Although we do not have a clear indication of how many students may avail themselves of our offer for support, we would certainly have the capacity to bring in additional students from the perspective of physical space. Certain classes may not have capacity, however enrollments over the past several years at most institutions suggests that we have space available in general.

RECOMMENDATION

Management recommends approving in-state tuition rates to victims of Hurricane Maria who have been attending the University of Puerto Rico and the University of the Virgin Islands so that they may continue their studies at CSU institutions while their home schools are being repaired or rebuilt.

10/11/17 Finance & Infrastructure Committee
10/19/17 Board of Regents

9. HR & Administration

- a) Code of Conduct for CSCU personnel

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

Connecticut State Colleges and Universities System
Code of Conduct for Regents, Employees and Volunteers

October 19, 2017

WHEREAS, The Board of Regents for Higher Education is committed to the highest standards of integrity in its institutions and operations; and

WHEREAS, The Board of Regents has worked cooperatively with its employee stakeholders to develop a statement of basic expectations for workplace behavior for all faculty, administrations, staff, volunteers and members of the Board of Regents; and

WHEREAS, This statement as an iteration of policies and laws, named the Connecticut State Colleges and Universities System Code of Conduct for Regents, Employees and Volunteers shall be used to remind faculty, administrators and staff of the policies, regulation and laws with which they are required to comply; therefore be it

RESOLVED, that the Board of Regents adopts the attached Connecticut State Colleges and Universities System Code of Conduct for Regents, Employees and Volunteers.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

The Connecticut State Colleges and Universities System
Code of Conduct
For Regents, Employees and Volunteers

Message from CSCU President Mark E. Ojakian,

The Connecticut State Colleges and Universities System aspires and commits to the highest standards of integrity. All members of our community are bound by federal, state and local laws which govern our activities. As a result, it has become increasingly important that all members of the Connecticut State Colleges and Universities community know and understand the relevant laws and policies to assure compliance.

The Board of Regents for Higher Education is ultimately responsible for ensuring compliance. Through its Human Resources and Administration Committee the Board of Regents has worked with the Faculty Advisory Committee, gathered comments and produced this Code of Conduct. The Code was the product of more than a year of discussions and was developed with input from faculty, staff and administrators.

Although the Code of Conduct does not supersede any provision or process provided through Collective Bargaining Agreements, it is intended to serve the following purposes:

1. Provide the basic expectations for workplace behavior for all faculty, administrators, staff, volunteers, independent contractors and members of the Board of Regents for Higher Education;
2. State the Board of Regents commitment to the highest standards of integrity in its institutions and its operations; and
3. Remind faculty, administrators, and staff of the policies, regulations and laws with which they are required to comply.

Please read the Code carefully, retain it for your reference and be aware of your role in compliance. If you have questions regarding your compliance, please contact the System Office Division of Human Resources or the Office of Legal Affairs. I appreciate your dedication to our students, the institutions and to CSCU. Thank you for your continued commitment to the highest levels of integrity and ethical conduct in your work and responsibilities.

Sincerely,

Mark E. Ojakian
CSCU President

**THE CONNECTICUT STATE COLLEGES AND UNIVERSITIES
CODE OF CONDUCT FOR REGENTS, EMPLOYEES AND VOLUNTEERS**

Table of Contents

I.	Purpose	1
II.	Scope	1
III.	Principles	2
IV.	Values	2
	A. Pursuit of Knowledge and Learning	2
	B. Respect for Persons	3
	C. Responsibility, Beneficence and Service	4
	D. Shared Governance	4
V.	Standards	5
	A. Uphold Ethical Standards and Integrity	5
	B. Maintain and Treat Others with Dignity, Respect and Civility	5
	C. Lead Responsibly and With Accountability	6
VI.	Non-Retaliation	7
VII.	Reporting Non-Compliance Options	7
VIII.	Waiver	7
IX.	Implementation	8
X.	Annual Notice and Training	8
XI.	Miscellaneous Provisions	8
XII.	Partial Listing of Sources	9

I. PURPOSE

Connecticut State Colleges and Universities (CSCU) are committed to the highest ethical and professional standards of conduct. All members of the CSCU community have a duty to conduct themselves with integrity, to act with the highest ethical and professional standards, to exercise responsible judgment, and to demonstrate accountability and compliance with state and federal law, CSCU Board policies and procedures, and collective bargaining agreements. This Code sets forth the principles, values and standards for all members of the CSCU community.

II. SCOPE

This Code applies to the following:

- The Board of Regents for Higher Education, as both an institutional board and as individuals;
- 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 applies are hereinafter referred to collectively as “community members”.

Those persons who are 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 as members of the Board of Regents for Higher Education.

Note: This Code reflects federal and state laws and BOR policies and procedures that currently govern the BOR and CSCU. This Code does not create any additional or different rights or duties of a substantive or procedural nature. This Code shall not abridge community members’ rights to due process as guaranteed by the provisions of applicable collective bargaining agreements, which shall govern the administration of this Code. Any disciplinary action shall be based upon violations of laws, policies, and collective bargaining agreements, as applicable, existing independently from this Code.

III. PRINCIPLES

The Principles that underlie this code are

- ❖ **PURSUIT OF KNOWLEDGE AND LEARNING:** Reasoned argument, scholarly inquiry and human creative expression are essential to the mission of CSCU.
- ❖ **RESPECT FOR PERSONS:** A commitment to diversity, civility, inclusivity, and respect for differences is paramount.
- ❖ **RESPONSIBILITY, BENEFICENCE AND SERVICE:** Community members have a shared responsibility to provide a safe, secure, and healthy learning and working environment for all community members and students and to share CSCU's creativity with the public at large.
- ❖ **SHARED GOVERNANCE:** The Board, faculty and staff are committed to working together for the benefit of the entire CSCU community.
- ❖ **INTEGRITY:** Ethical conduct is a fundamental expectation for every community member. Community members are expected to foster a culture of ethics and compliance.

IV. VALUES

A. Pursuit of Knowledge and Learning

CSCU's orientation is to provide avenues to gain knowledge and advance learning in all of its forms. This includes maintaining appreciation for reasoned arguments to support claims of truth, the scientific method, the rigor of scholarship, the variety of human languages and cultures, and artistic expression in all of its forms.

To support the pursuit of knowledge and learning as a core value, CSCU is committed to and values the following:

1. **Academic freedom** is essential in preserving the conditions that foster open inquiry and human creative expression.

2. **Intellectual honesty** in teaching, learning, and research preserves the integrity of the scholarly process. Community members are expected to:
 - a. ensure the originality of work and provide appropriate credit and reference for the work, the words, and the ideas of others;
 - b. maintain faithfully the integrity of methodology and data in conducting research and the dissemination of findings;
 - c. consult with and adhere to the requirements of institutional review boards, if one is conducting research on human subjects;
 - d. adhere to established procedures for the humane treatment of animals, if one is conducting research on animals;
 - e. fairly assign authorship credit in the dissemination of research, scholarship, and creative work.
3. **Professional standards** for many academic, student support and governance disciplines have been established and disseminated by professional associations. Faculty, staff, and Regents are expected to adhere to applicable standards.
4. **Scholarly inquiry** requires that matters that some may consider disquieting or troubling be addressed directly. Maintaining respect for the rights of others to share and to argue for a perspective or a point of view with which one disagrees is essential for preserving our institutions and System as places of critical inquiry in which fostering knowledge and learning remains a core value.

B. Respect for Persons

Respect for persons means that people are entitled to full participation in our system and its colleges and universities in contexts that are free from discrimination and that people are entitled to public information to make informed decisions.

To assure respect for all persons, CSCU requires community members to support the following:

1. **Respecting diversity** and equal employment opportunity provides community members the same privileges, rights, and responsibilities regardless of race, ethnicity, gender, religion, sexual orientation, gender identity or expression, age, disability or other protected characteristic.

2. **Bullying, harassment, and sexual harassment** violate respect for persons and are not tolerated.
3. **Conflicts of interest** must be avoided, and it is the responsibility of community members to be familiar with the State of Connecticut and the Connecticut State Colleges and Universities Ethics Statements.
4. **Transparency** on all matters of public, institutional, and academic policy is necessary.
5. **Fair evaluations** of faculty, staff and students should be reasoned and conducted based on specified criteria.
6. **Controversy** may arise as community members balance inclusivity, diversity, and the pursuit of knowledge and learning, in which people with diverse ideologies and perspectives are encouraged to speak freely and openly. Community members should be vigilant in protecting all populations from intolerance.

C. Responsibility, Beneficence and Service

Within the CSCU System, higher education is open to all. The sharing of knowledge and learning within our institutions requires us to welcome and provide service to the students that come to us and also to contribute to the culture and the institutions in our local communities and in the wider world.

Beneficence and service requires outreach to create a welcoming and encouraging environment for students, parents, and members of the community, being a good steward of public resources, and maintaining healthy, inclusive and safe workplaces.

D. Shared Governance

CSCU institutions are built on traditions and practices of shared governance. Faculty members are the experts in their specific disciplines and practices, and maintain certain responsibilities in their disciplinary areas in matters related to programs and curriculum.

Faculty and staff are elected by their colleagues to serve on key governance committees at their campuses. Many academic and institutional policies are subject to faculty and staff review and comment, and people should be free to voice their views and their

dissent. Faculty and staff are also key contributors in the hiring and performance review of their colleagues.

At the system level, to facilitate policy research and decision making for CSCU and/or its constituent units, the President or his/her designees may appoint various CSCU bodies such as councils, committees, task forces, etc.

V. STANDARDS

To accomplish the purposes of this Code and its underlying principles and values, every community member is responsible for the following:

A. **Uphold Ethical Standards and Integrity**: Ethical conduct is a fundamental expectation for every community member. Community members are expected to:

1. Act according to the highest ethical and professional standards of conduct
2. Comply with all applicable laws, rules, regulations, policies and protocols
3. Satisfy obligations owed to students, advisees, and colleagues
4. Conscientiously fulfill CSCU responsibilities
5. Use CSCU property, equipment, finances, materials, electronic and other systems, and other resources only for legitimate CSCU purposes
6. Propose, conduct, and report research with integrity and honesty
7. Maintain the integrity and accuracy of all documents and records
8. Avoid conflicts of interest or the appearance of conflicts of interest
9. Communicate ethical standards of conduct through instruction and by example

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

1. Be respectful of the right of others to express their opinions
2. Extend fundamental fairness to all persons

3. Avoid all forms of bullying and harassment, illegal discrimination, threats, or violence
 4. Support conflict resolution
 5. Provide equal access to programs, facilities, resources, and employment
 6. Ensure that personal or familial relationships do not interfere with objective judgment in decisions affecting employment
 7. Protect rights to individual and institutional intellectual property
 8. Foster an environment where people feel empowered to make decisions
 9. Refrain from engaging in consensual, dating, sexual or romantic relationships particularly as prohibited per BOR policy in all instance where a supervising, evaluating, instructing or other unequal balance of power is present
- C. **Lead Responsibly with Accountability:** Regents, executive leadership, managers, supervisors, faculty, staff and advisors are entrusted with significant leadership responsibility. Community members are expected to:
1. Ensure access to and delivery of proper training and guidance on applicable workplace and educational rules, policies, and procedures
 2. Judiciously manage public, private, and confidential information and follow due process and clear evaluation standards
 3. Avoid favoritism or the appearance of favoritism
 4. Work collaboratively with others for the good of students and the community at large
 5. Review performance conscientiously and impartially
 6. Be personally accountable for individual actions
 7. Nurture intellectual growth and professional development
 8. Encourage a healthy, innovative, and productive atmosphere that encourages dialogue and is responsive to concerns
 9. Follow sound financial practices, including accurate financial reporting, processes to protect assets, and responsible fiscal management and internal controls
 10. Engage in appropriate accounting and monitoring

11. Maintain data security regarding access, use, protection, disclosure, retention, and disposal of public, private, and confidential information
12. Follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, reporting accidents, injuries and unsafe situations, and complying with mandated safety protocols

VI. NON-RETALIATION

CSCU policy prohibits retaliation when compliance concerns are reported in good faith to supervisors, faculty, administrators, or any appropriate agency outside of CSCU. If you feel that you have been subjected to retaliation, you should contact CSCU Human Resources at 860-723-0252 or the CSCU Office of Legal Affairs at CSCU-Legal@ct.edu. The office that was contacted will respond to reports to resolve compliance issues.

VII. REPORTING NON-COMPLIANCE OPTIONS

Reports of compliance violations may be directed to the campus Human Resources office, CSCU Human Resources at 860-723-0252 or CSCU Legal Affairs at CSCU-Legal@ct.edu or by phone to 860-723-0114.

If you prefer to contact an outside organization the State Auditors of Public Accounts are authorized under the Whistle Blower Act, Section 4-61dd of the Connecticut General Statutes, to receive reports concerning corruption, unethical practices mismanagement, violation of State laws and regulations, gross waste of funds, abuse of authority or danger to the public safety in any State department or agency. Reports filed with the State Auditors are shared with the Attorney General, but may otherwise be held in confidence, if reasonable. You may file a complaint with the State Auditors by calling 860-240-5369 or toll free at 800-797-1702 or file on the web www.cga.ct.gov

If the matter you wish to report to an outside agency involves fraud against the federal government, you may contact the US Department of Justice under the Federal False Claims Act (31 USC section 3729-3733).

VIII. WAIVER

To the extent that there exists authority to waive any provisions of this Code of Conduct, such waivers may only be granted in writing at the sole discretion of the CSCU President.

IX. 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 the individual campus' Director of Human Resources, CSCU Office of Human Resources, CSCU Legal Affairs, or other appropriate office. Contact information for your location shall be provided below:

- 1) Campus Director of Human Resources
- 2) CSCU Vice President of Human Resources
- 3) CSCU Office of Legal Affairs

X. ANNUAL NOTICE AND TRAINING

All Community members, Board of Regents members, independent contractors and volunteers shall be made aware of the Code of Conduct and be reminded annually of its scope and purpose through formal notice and training opportunities.

XI. MISCELLANEOUS PROVISIONS

The Code of Conduct is not an employment contract and does not supersede any provision or process provided by any employee's collective bargaining agreement or otherwise provided by law. This Code of Conduct may be modified, amended or revised at any time by the Board of Regents.

XII. PARTIAL LISTING OF SOURCES

Family Educational Rights and Privacy Act https://www.ecfr.gov/cgi-bin/text-idx?SID=6cf6a13718d882722093bb967c9cf6a0&tpl=/ecfrbrowse/Title34/34cfr99_main_02.tpl

State Code of Ethics for Public Officials
http://www.ct.gov/ethics/lib/ethics/guides/2016/public_officials_and_state_employees_guide_rev_2016.pdf

General Statutes §§ 1-79 to 1-90a
https://www.cga.ct.gov/current/pub/chap_010.htm#sec_1-79
State Human Rights and Opportunities, Conn. Gen. Stat 46a-51 through 46a-125
https://www.cga.ct.gov/current/pub/title_46a.htm

State Freedom of Information Act,
<http://www.ct.gov/foi/cwp/view.asp?a=4163&Q=507660>

State Record Retention and Disposition <https://ctstatelibrary.org/publicrecords/state>

Connecticut Executive Order No. 16, issued by Governor John G. Rowland on August 4, 1999 <http://www.ct.gov/opm/lib/opm/olr/wpv/exc16.pdf>

BOR Affirmative Action Policy Statements
<http://www.ct.edu/files/policies/4.5%20Affirmative%20Action%20Policy%20Statement.pdf>

BOR Consensual Relationships Policy
<http://www.ct.edu/files/policies/4.3%20Consensual%20Relationships%20Policy.pdf>

BOR Ethics Statement
<http://www.ct.edu/files/policies/4.7%20Ethics%20Statement.pdf>

BOR Family Educational Rights and Privacy Act Notice and Directory Information Policy
<http://www.ct.edu/files/policies/2.2%20FERPA%20and%20Directory%20Info.pdf>

BOR Human Resources Policy Manual
<http://www.ct.edu/files/policies/4.8%20HR%20Policies%20for%20Mgmt%20Conf%20Employees.pdf>

BOR IT Acceptable Use Policy
<http://www.ct.edu/files/policies/5.3.a%20Acceptable%20Use%20IT-001.pdf>

BOR IT Electronic Communication Policy

<http://www.ct.edu/files/policies/5.3.b%20Electronic%20Communication%20%20IT-002.pdf>

BOR Nepotism in Employment Policy

<http://www.ct.edu/files/policies/4.6%20Nepotism%20in%20Employment.pdf>

BOR Faculty Consulting and Research Policy

<http://www.ct.edu/files/policies/4.4%20Faculty%20Consulting%20&%20Research.pdf>

AAUP Policy Documents & Reports, 10th Edition, see also,

<https://www.aaup.org/reports-publications/publications/redbook>

ITEM

The Board of Regents for Higher Education establishes and adopts a Code of Conduct for Regents, Employees, and Volunteers for the Connecticut State Colleges and Universities System.

BACKGROUND

During the September 2016 meeting of the HR and Administration Committee, the committee members discussed the imperative to establish and adopt a CSCU system-wide Code of Conduct. The first substantial discussion was at the November 2016 meeting and the first draft of the Code of Conduct appeared in January 2017. Since that time there have been numerous drafts, considerable input, multiple revisions, and several meetings to define the scope, implications and the purpose of the Code of Conduct.

In order to engage stakeholders early in the process, the first draft of the Code of Conduct was posted for comment in February 2017. The Committee received a broad array of comments and discussed all of them. Comments ranged from strong endorsements to disapproval and concerns about a Code infringing upon collective bargaining. Given the feedback, the Committee held a working meeting with representatives from the Faculty Advisory Committee to foster collaboration and to discuss improvements to the documents. It was collectively decided that the Code of Conduct, beyond establishing standards for employees and volunteers also articulates values. Upon review of the FAC draft, it was decided that the next draft combine the two documents presenting both values and standards.

Discussions continued with FAC. In August 2017, at a working meeting with FAC reps of the universities, community colleges and Charter Oak State College, a version of the Code that focused upon principles, values and standards was brought forth. Consensus on the Code's language and structure was reached. Committee members' comments were incorporated and the document was posted for comment by the entire CSCU body on September 17, 2017.

Comments again were received, reviewed and incorporated as appropriate. The Connecticut State Colleges and Universities System Code of Conduct for Regents, Employees and Volunteers is attached.

ANALYSIS

The Connecticut State Colleges and Universities System Code of Conduct for Regents, Employees and Volunteers is a two part document. The first part provides a message from CSCU President Mark E. Ojakian to explain the purpose of the Code: (1) provide basic expectations for workplace behavior; (2) state the BOR's commitment to integrity and (3) remind the CSCU community of its compliance obligations.

The second part of the document is the actual Code of Conduct. The document, in addition to its Purpose and Scope, discusses the Principles, Values and Standards that are the foundation of the CSCU community. The document also provides guidance on Reporting, Implementation and Training and provides links to relevant sources for policy and law, in addition to other provisions.

RECOMMENDATION

That the Board of Regents for Higher Education adopts The Connecticut State Colleges and Universities System Code of Conduct for Regents, Employees and Volunteers.

HR Admin	10/12/17
BOR	10/19/17

10. Academic & Student Affairs

- a) Information Item –Accountability Report – Executive Summary

Higher Education Coordinating Council

2016 Accountability Report



CSCU

Connecticut State
Colleges & Universities

CSCU Campuses

The 17 Connecticut State Colleges & Universities (CSCU) provide affordable, innovative and rigorous programs that permit students to achieve their personal and career goals, as well as contribute to the economic growth of Connecticut.



Asnuntuck Community College
Enfield, CT

Capital Community College
Hartford, CT

Central Connecticut State University
New Britain, CT

Charter Oak State College
Online

Eastern Connecticut State University
Willimantic, CT

Gateway Community College
New Haven, CT

Housatonic Community College
Bridgeport, CT

Manchester Community College
Manchester, CT

Middlesex Community College
Middletown, CT

Naugatuck Valley Community College
Waterbury, CT

Northwestern CT Community College
Winsted, CT

Norwalk Community College
Norwalk, CT

Quinebaug Valley Community College
Danielson, CT

Southern Connecticut State University
New Haven, CT

Three Rivers Community College
Norwich, CT

Tunxis Community College
Farmington, CT

Western Connecticut State University
Danbury, CT

Table of Contents

Introduction	4
Executive Summary	7
Vision	11
1. Adults, 25-44 holding associate degrees and above	12
2. Median household income	13
3. Voter participation	14
4. State Domestic Product per capita	15
5. Enrollment per Connecticut Residents ages 18-44	16
College Readiness	17
1. Percentage of high school graduates identified as “college-ready”	18
2. College-going rates of public high school graduates	19
3. Percentage completing college-level English and Math courses within 2 years	20
4. Percentage on track to completing on-time:	22
Student Success	25
1. Completions per 100 Full Time Equivalent (FTE)	26
2. Graduation rate of full-time, first-time students in 150% of normal time;	27
3. Employment and earnings after graduation	30
4. Time and credits to degree/certificate	33
5. Transfers from 2-year to 4-year institutions per 100 FTE	36
Affordability and Sustainability	37
1. Tuition and fees as % of median household income	38
2. Percentage of undergraduates receiving federal loan aid	39
3. State and local appropriations per 100 FTE and per completion	40
4. Education and related expenses per FTE enrollment and per completion	43
5. Instructional expenditures as a percent of education & related spending	46
Innovation and Economic Growth	47
1. Completions in fields with high workforce demand: STEM, health, education	56
2. External research funding per full-time faculty	63
3. Patents per 100K workers	64
4. Percentage of students enrolled in distance education courses exclusively or some but not all	65
Equity	67
1. Indicators disaggregated by gender, race/ethnicity and income status	68
Appendix	85

Introduction

The data in this report do not tell the entire story of the Connecticut State Colleges and Universities, nor do they fully take into account the diversity of the institutions that make up the CSCU, its students, its staff, and its faculty. They do, however, attempt to provide an overall picture of the state of public higher education in Connecticut, and in particular, for the 17 institutions that make up the CSCU. Some metrics may differ slightly from the originally proposed ones due to the availability of data; the notes section on the bottom of the page will identify instances in which the metrics were computed differently. Much of the data come from the Integrated Postsecondary Education Data System (IPEDS), which is the core postsecondary education data collection system of surveys conducted annually by the U.S. Department's National Center for Education Statistics (NCES). These data may lag up to one year due to the data going through quality control checks. As a result, for certain indicators, the data provided may not include data from the current academic or fiscal year. It is important to note the data provided are for a period in which economic recovery has been slow to gain traction, the state faces significant budgetary constraints, and high school graduating classes in Connecticut continue to shrink over time.

The CSCU has undertaken several initiatives to not only ensure students successfully earn their higher education credentials but that they do so efficiently while minimizing the monetary cost to them. For instance, the Transfer Articulation Program (TAP) is an initiative that provides a pathway for community college students to complete degree programs that are transferable to the four state universities and Charter Oak State College without losing any credits or being required to take additional credits in order to complete a Bachelor's degree in that same academic discipline. Public Act 12-40 has revamped the way developmental education is delivered at the CSCU institutions by implementing a tiered system of instruction with three levels of developmental education to address the varying levels of preparation incoming students display upon entering college. Connecticut is at the forefront of developmental education reform and its co-requisite model of developmental course instruction is becoming more common nationwide. Another initiative aimed at ensuring students obtain their credentials in a timely manner is the implementation of the 60 and 120 credit limits to degree programs. By the fall of 2017, all CSCU programs for entering students leading to an Associate's degree or Bachelor's degree may not exceed 60 or 120 credits, respectively, with rare exceptions being made on a case-by-case basis for programs which fall above the respective credit thresholds.

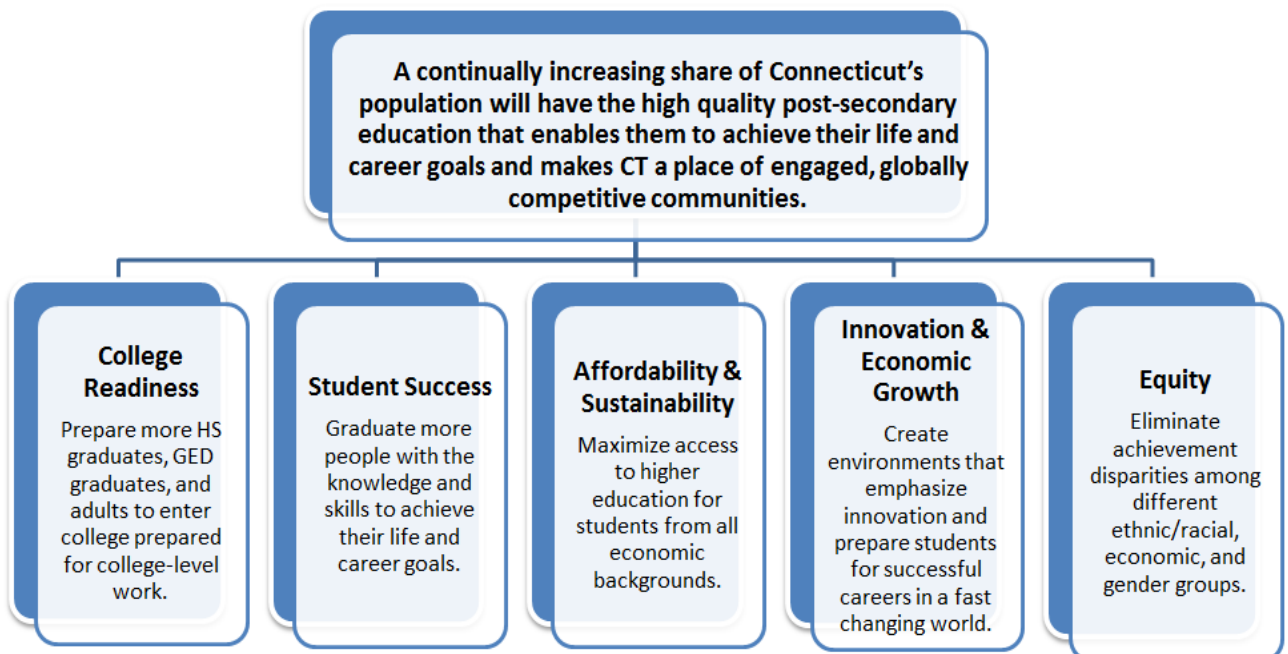
Higher education is as important if not more important than it has ever been before. The data in this report are not simply meant to answer questions or satisfy legislative statutes, but to generate more questions, because it is through thoughtful inquiry and self-reflection that the CSCU will continue to improve how it serves its students and supports the achievement of their academic and professional goals.

Introduction

In accordance with Connecticut General Statutes Sections 10a-6a and 6b passed on November 29, 2012, which outline the production of an annual accountability report as well as the structure and metrics of that report, the Connecticut State Colleges & Universities (CSCU) submits the following Higher Education Coordinating Council (HECC) 2016 Accountability Report. This report contains the most recent data available for the metrics identified by the HECC in 2012, as well as historical data for prior years to highlight trends and to monitor the progress the CSCU is making toward achieving the mission and five goals shown below. Another aim of this report is to highlight achievement gaps among sub-populations of students and identify where resources may be needed to help them and all students achieve successful outcomes.

Current members of the Higher Education Coordinating Council are:

- Benjamin Barnes - Secretary of the Office of Policy and Management
- Mark Ojakian - President of the Connecticut State Colleges & Universities
- Susan Herbst - President of the University of Connecticut
- David Levinson - Vice President for Community Colleges
- Elsa Nunez - Vice President for State Universities
- Matt Fleury - Chair of the Board of Regents for Higher Education
- Lawrence McHugh - Chair of the Board of Trustees for the University of Connecticut
- Dianna R. Wentzell - Commissioner of the State Department of Education
- Jeremy Teitelbaum - Interim Provost and Chief Academic Officer of the University of Connecticut



Introduction

Public higher education in Connecticut faces multiple challenges. In Academic Year 2014-15, the 17 CSCU institutions, comprised of Connecticut's 12 community colleges, four state universities, and one online state college, served approximately 120,000 unique students. This is an extraordinary number of students, and reflects approximately 47 percent of the total population pursuing higher education in Connecticut (from the certificate level to the doctoral level). As a percentage of the total population it serves, though, it is a decrease from prior years (in AY 2010-11, CSCU institutions educated 52 percent of all CT students pursuing postsecondary education). Furthermore, in AY 2015-16, the number of unique students served by the CSCU institutions fell to approximately 115,000. These enrollment trends occur during a time in which there are observed declines in public school enrollment in the state. According to the Connecticut State Department of Education, public school enrollment in Connecticut decreased by 3.5 percent between Academic Years 2011-12 and 2016-17.¹ Moreover, the U.S. Department of Education projected that by 2023 Connecticut will have experienced the third largest percentage decline in public high school enrollment, behind only Vermont and New Hampshire.² These educational enrollment declines are against a backdrop of total state population declines in the last three years, driven by more people leaving the state than arriving from other states.³ Fewer residents can lead to a smaller tax base, and a result, less money to fund state initiatives, one of which is public higher education. Additionally, Connecticut's economy has not experienced the same turnaround other regional states have enjoyed, as evidenced by its negative state domestic per capita decline over the last five years and other economic indicators as well.

Despite these challenges, the CSCU institutions continue to play a crucial role in educating the state's residents. Research has shown that education is positively correlated with income, and internal research concerning CSCU graduates demonstrates this. Higher incomes are correlated with more tax revenues, which can be used for state funding, but due to the reasons stated above budgetary constraints have plagued the state, and unfortunately, the Connecticut State Colleges & Universities has not been immune to these difficult financial times. This report is meant to provide data and information concerning indicators that gauge the progress made by the CSCU in reaching its goals and mission. An Executive Summary immediately follows, and readers, in particular, stakeholders of public education in Connecticut, are encouraged to review the entire report, as the full report contains context and provides more comprehensive analysis surrounding these data and metrics.

When fiscal years and academic years are presented together, they correspond to the same time periods (e.g., FY 2010-11 equals AY 2010-11). Furthermore, due to space constraints, academic years and fiscal years may be presented as single years. In these cases, the single year will correspond to the second calendar year of the academic or fiscal year (e.g., AY 2010-11 equals AY 2011). Since Charter Oak State College did not have any first-time student cohorts during the time periods examined and many indicators concern this population, many of the indicators do not apply to the online college, and thus, its data are not presented.

¹Connecticut State Department of Education. Retrieved from: <http://edsight.ct.gov/SASPortal/main.do>

²National Center for Education Statistics. (2016). Projections of Education Statistics to 2023. Forty-second Edition. Washington, DC: U.S. Department of Education, Retrieved from: <https://nces.ed.gov/pubs2015/2015073.pdf>

³Lee, M. (2016, December 2016). *Hartford Courant*. Retrieved from: <http://www.courant.com/news/connecticut/hc-connecticut-population-falling-recovered-wed-dec-21-105241-2016--20161220-story.html>

Executive Summary

The vision of the Connecticut State Colleges and Universities is to continually increase the number of students attaining postsecondary credentials and dovetails with the Connecticut Planning Commission for Higher Education's established goal of 70 percent of the working age population in Connecticut holding a postsecondary credential by 2025. At the state-level, Connecticut has been making strides toward this goal, but the rate of improvement is such that achieving this goal is doubtful. In 2012, 43% of adults 25 years of age or older held a degree at or above the level of Associate's, and in 2015, the percentage increased to 45%, exhibiting a pace that would result in falling short of the 70 percent goal. Overall enrollment in higher education (which includes all postsecondary public and private institutions in the state) has not declined, but it has also not trended upward, which if that were the case, would impact the number of credentials awarded by CT institutions positively.

While enrollment in postsecondary education has remained relatively steady at the state level, the same cannot be said for the enrollment of the Connecticut State Colleges and Universities on the whole. Between 2012 and 2016, overall fall enrollment at the 17 CSCU institutions—made up of the three sectors of 12 community colleges, Charter Oak State College, and four state universities—dropped 10% from 94,696 to 85,318. As a sector, the community colleges experienced the largest decline over the five-year period (13%).

Access, Opportunity, and Persistence

While overall enrollment has been trending downward, a positive trend from the perspectives of access and opportunity is that the percentage of undergraduate students who are minority (American Indian or Alaskan Native, African American, Asian, Hispanic, Native Hawaiian or other Pacific Islander, or Multiracial) has been increasing across all sectors, and in the fall of 2016, the percentage of students identifying as students of color was 48%, 35%, and 31% at the community colleges, Charter Oak State College, and the state universities, respectively. While the representation of minority students has improved at the CSCU institutions, the gender gap at the CSCU institutions, however, is still pronounced (and mirrors the nationwide trend) with six in ten students being women. At the state universities, the male to female ratio is more balanced compared to the other two sectors (54% of the CSU student body is female).

Retention rates are one measure of student success, and they have remained steady at the sector level. Over the last five years, six in 10 community college students who entered as full-time students returned the next fall, while three-fourths of state university students continued their education the following fall. However, rates of minority students and males who entered as full-time students at community colleges have consistently lagged those of their non-minority and female peers by at least four and three percentage points, respectively (60% vs. 56% and 60% vs. 57% for Fall 2015 students).

Executive Summary

Graduation rates—another student success indicator—have also differed by student of color status. Though the community colleges graduation rates improved overall, (12.6% and 15.5% in 2012 and 2016, respectively), graduation rates of minority students at the community colleges lagged those of their non-minority peers by six to nine percentage points over the five-year period. At the state universities, six-year graduation rates follow the same pattern as the two-year institutions with overall graduation rates trending upward (45% and 52% in 2011 and 2016, respectively), but minority students' graduation rates were lower than those of their non-minority peers by seven to 11 percentage points in that time frame. While there was no observed trend in differences in graduation rates among males and females at the community colleges, at the state universities, women consistently outperformed their peers by eight to 11 percentage points, depending on the year.

After the number of certificates and degrees awarded by the CSCU institutions reached 15,712 in Academic Year 2013-14 (which at the time was an all-time high), that number dropped to 15,254 in Academic Year 2014-15. However, in the most recent Academic Year (2015-16), the number of credentials awarded to CSCU students increased and surpassed 2013-14 levels, reaching 15,844. The one-year 3.8 percentage-point increase was driven mostly by the number of awards increasing at Charter Oak State College and the community colleges, which experienced increases of 5.4% and 12.8%, respectively. The gender gap seen in terms of fall enrollment mirrors the representation of men and women who are degree or certificate recipients, but is even more pronounced among undergraduates at state universities. In the last five years, the greatest percentage of degree recipients who were male was 44.4%. Meanwhile, in the last five fall semesters, the greatest percentage of enrolled students who were male was 47%. When student of color status was taken into account, the representation of minority students at the time of graduation has been lower than at the time of the fall census enrollment, particularly among Hispanic and African American students, while the representation of White students has been greater at degree attainment than during the fall semesters over time. In other words, when compared to fall enrollment, students of color are underrepresented among degree recipients, and White students are overrepresented.

Executive Summary

College Attendance, Readiness, and Success

Over the last nine years, college-attendance rates of Connecticut public high school graduates have remained steady with seven in 10 high school graduates enrolling in the fall semester of the year they graduated from high school, and research has shown that Connecticut has one of the highest college-attendance rates in the nation (see the Appendix for U.S. Digest of Education Statistics 2015 report).¹ The percentage of high school graduates enrolling in developmental education course has also remained constant. In the last four years, six in ten recent high school graduates enrolled in a developmental course in their first fall semester at the community colleges, while slightly under 20 percent of recent high school graduates who enrolled at a state university did so in recent years.

The percentage of students deemed college ready has been stable over time and similarly, the percentage of students completing college-level English or Math courses within two years of the start of their academic career has also been steady. Approximately one-half and one-third of community college students complete a college-level English or Math course within two years of entry, respectively. Meanwhile, state university students also are more likely to complete a college-level English than a college-level Math course within their first two academic years (nearly 85% vs. 80% for the Fall 2014 cohort, respectively).

An Associate's degree is designed to normally take two years to complete (if attending an institution on a full-time basis), but Connecticut community college students take double that time to obtain their degree, between four and 4 and quarter years, comparable to nationwide statistics. Along the way to obtaining their degree, students accumulate credits that may or may not be applied to their degree, leading to an average number of credits taken of approximately 76, well over the typical 60-credit Associate's degree. Bachelor's degree recipients at the state universities, on the other hand, are more efficient concerning the time taken and credits earned at their institution on their way to attaining the degree, but there is still some room for improvement with these values being 4.6 years and 125 credits, respectively. A policy with a start date of Fall 2017 will normalize the credit hours associated with Associate's and Bachelor's degree programs and is aimed at reducing the number of credits taken and monetary cost of earning these credentials.

One reason students decide to enroll and persist in postsecondary programs is due to the belief that earning a credential will likely result in greater wages in the future. Data from the Preschool through 20 and Workforce Information Network (P20-WIN) report has shown the positive impact earning a credential has on future earnings, with wages increasing across institution types (i.e., two-year and four-year institutions).

¹National Center for Education Statistics. (2015). *Digest of Education Statistics 2015*. Washington, DC: U.S. Department of Education, Retrieved from: <https://nces.ed.gov/pubs2016/2016014.pdf>

Executive Summary

Affordability and Funding

Compared to other Connecticut institutions, the 12 community colleges, four state universities, and Charter Oak State College are a good choice from a cost perspective with in-state tuition and fees in Academic Year 2015-16 totaling approximately \$4,000, \$7,400, and \$10,000 per year, respectively. However, tuition and fees at the CSCU institutions have increased in each of the five most recent years. Moreover, these increases have outpaced increases in Connecticut median household income over the same years, and suggests that while still a good value, it is becoming costlier to attend the institutions. In other words, generally speaking, a greater percentage of a student's income may have to be allocated to education year after year. Between 2012 and 2016, years in which tuition and fees rose, state appropriations or monies from the legislature to the CSCU also increased. In these same years in which funding levels trended upward, however, enrollment at the CSCU institutions, on the whole, trended downward. This means that more money is being spent on a per-student basis, which is beneficial to students from a student services perspective, but may not be a sustainable model from a financial perspective.

Conclusions

After the 17-institution Connecticut State Colleges & Universities system was initially created in 2011, it faced administrative challenges not helped by the changes in leadership in the immediate years that followed. Even though the CSCU has had consistent leadership in the immediate years that followed, the system operated and continues to operate in a climate of fiscal uncertainty. Along with these challenges, the demand for higher education in Connecticut has remained constant, but the share of students that enrolled at the CSCU institutions has declined. The CSCU has to address not only attracting more students to its institutions, but also retaining them and moving them through the academic pipeline to graduation across gender and race/ethnicity and other student demographic lines. These challenges will not be addressed by one solution. Rather it will take a confluence of initiatives—some of which are already being implemented—and people working in tandem to accomplish the aforementioned goals and mission to ultimately benefit the students and help them succeed both academically and professionally.

11. Audit

- a) CSCU 2020 Audit Report – Blum Shapiro

RESOLUTION

concerning

ACCEPTANCE OF CSCU 2020 AUDIT REPORT FOR THE YEAR ENDED JUNE 30, 2017

October 19, 2017

WHEREAS, A draft of the Schedule of CSCU 2020 Construction Expenditures – Cash Basis audit report for the year ended June 30, 2017 was provided and reviewed by the Audit Committee of the Board of Regents at its October 11, 2017 meeting, and

WHEREAS, The audit report includes a clean opinion by the audit firm of Blum Shapiro covering the CSCU 2020 capital projects paid during the year ended June 30, 2017, be it therefore

RESOLVED, That the CSCU 2020 Construction Expenditures – Cash Basis audit report is hereby accepted by the Board of Regents.

A True Copy:

Erin A. Fitzgerald, Secretary

CONNECTICUT STATE COLLEGES AND UNIVERSITIES SYSTEM
SCHEDULE OF CSCU 2020 CONSTRUCTION EXPENDITURES - CASH BASIS
FOR THE YEAR ENDED JUNE 30, 2017

CONNECTICUT STATE COLLEGES AND UNIVERSITIES SYSTEM

CONTENTS

Independent Auditors' Report	1-2
Schedule of CSCU 2020 Construction Expenditures - Cash Basis for the Year Ended June 30, 2017	3
Notes to Schedule of CSCU 2020 Construction Expenditures - Cash Basis	4-5



Accounting | Tax | Business Consulting

Independent Auditors' Report

To the Board of Regents and Audit Committee
Connecticut State Colleges and Universities System
Hartford, Connecticut

We have audited the expenditures paid during the year ended June 30, 2017 as reported in the accompanying schedule of CSCU 2020 construction expenditures - cash basis (the Schedule) of the Connecticut State Colleges and Universities System, and the related notes to the Schedule.

Management's Responsibility for the Schedule

Management is responsible for the preparation and fair presentation of the Schedule in conformity with the cash basis of accounting; this includes the design, implementation and maintenance of internal control relevant to the preparation and fair presentation of the Schedule that is free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on the Schedule based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the Schedule is free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the Schedule. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the Schedule, whether due to fraud or error. In making those risk assessments, the auditors consider internal control relevant to the entity's preparation and fair presentation of the Schedule in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the Schedule.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the Schedule referred to above presents fairly, in all material respects, the construction expenditures related to identified CSCU 2020 projects of the System that were paid during the year ended June 30, 2017 in conformity with the cash basis of accounting.

Emphasis of Matter

We have not audited the expenditures paid during the period from July 1, 2008 through June 30, 2013 or the adjusted expenditures paid through June 30, 2013, and, accordingly, we express no opinion or other assurance with respect to these amounts. Annual expenditures for prior years through June 30, 2013 were previously audited by other auditors. Our opinion on cash paid for the year ended June 30, 2017 is not modified with respect to this item.

Restriction on Use

This report is intended solely for the information and use of the Board of Regents, the Audit Committee and management of the Connecticut State Colleges and Universities System and is not intended to be and should not be used by anyone other than these specified parties.

Blum, Shapiro & Company, P.C.

West Hartford, Connecticut
October 10, 2017

CONNECTICUT STATE COLLEGES AND UNIVERSITIES SYSTEM

SCHEDULE OF CSCU 2020 CONSTRUCTION EXPENDITURES - CASH BASIS
FOR THE YEAR ENDED JUNE 30, 2017

	Approved Budget as of June 30, 2017	Expenditures Paid in the Year Ended June 30, 2017	Recommended Adjustments	Adjusted Expenditures Paid in the Year Ended June 30, 2017	Expenditures Paid During the Period From July 1, 2008 Through June 30, 2016	Total Adjusted Expenditures Through June 30, 2017
Eastern Connecticut State University						
Code Compliance/Infrastructure Improvements	\$ 16,076,863	\$ 1,413,526	\$ -	\$ 1,413,526	\$ 13,557,710	\$ 14,971,236
Fine Arts Instructional Center (design and construction)	87,666,885	2,427,381	-	2,427,381	78,067,429	80,494,810
Athletic Support Building	1,921,000	-	-	-	1,918,873	1,918,873
Goddard Hall Renovations	31,348,997	1,059,726	-	1,059,726	192,583	1,252,309
Outdoor Track - Phase II	1,816,000	5,876	-	5,876	1,631,772	1,637,648
New Warehouse	2,269,000	3,035	-	3,035	1,856,972	1,860,007
Western Connecticut State University						
Fine Arts Instructional Center	84,321,000	10,735	-	10,735	83,142,876	83,153,611
White Hall Revonations	4,792,203	-	-	-	-	-
Higgins Hall Renovations	34,544,406	881,991	-	881,991	66,816	948,807
Code Compliance/Infrastructure Improvements	17,390,653	1,618,474	-	1,618,474	11,378,998	12,997,472
University Police Department Building (design and construction)	6,443,226	3,082,554	-	3,082,554	395,899	3,478,453
Central Connecticut State University						
Code Compliance/Infrastructure Improvements	26,652,510	2,804,800	-	2,804,800	20,073,008	22,877,808
New Classroom Office Building	29,478,000	-	-	-	29,109,582	29,109,582
New Engineering Building	9,900,000	887,146	-	887,146	69,702	956,848
New Maintenance/Salt Shed Facility	2,503,000	-	-	-	2,233,317	2,233,317
Renovate/Expand Willard and DiLoreto Halls	61,016,846	4,291,521	-	4,291,521	2,670,615	6,962,136
Kaiser Hall Bubble Renovations	25,367,125	1,028,897	-	1,028,897	435,240	1,464,137
Barnard Hall Additions and Renovations	3,680,000	423,412	-	423,412	82,524	505,936
Buritt Hall Additions and Renovations	5,155,839	-	-	-	-	-
Southern Connecticut State University						
Code Compliance/Infrastructure Improvements	28,887,382	1,928,796	-	1,928,796	23,472,958	25,401,754
New Laboratory Building/Parking Garage	72,108,159	1,593,722	-	1,593,722	67,656,791	69,250,513
Buley Library	17,436,817	-	-	-	17,436,816	17,436,816
Health and Human Services Building	6,650,613	53,686	-	53,686	47,383	101,069
School of Business	3,766,237	-	-	-	-	-
Asnuntuck Community College						
Advanced Manufacturing	25,476,500	13,225,484	-	13,225,484	2,380,449	15,605,933
Various Community Colleges						
Code Compliance/Infrastructure Improvements	34,995,267	7,172,127	-	7,172,127	8,748,873	15,921,000
Connecticut State Colleges and Universities						
New and Replacement Equipment Program, Smart Classroom & Technology Upgrades	76,239,293	19,497,726	-	19,497,726	52,986,510	72,484,236
Land and Property	8,248,190	-	-	-	3,654,943	3,654,943
Telecommunications Infrastructure Upgrade	15,413,000	1,317,465	-	1,317,465	12,356,962	13,674,427
Consolidation & Upgrades of System Student Financial Information Technology Systems	20,000,000	3,096,088	-	3,096,088	11,931,580	15,027,668
Strategic Master Plan of Academic Programs	3,000,000	1,259,461	-	1,259,461	1,332,442	2,591,903
Professional fees	272,567	75,500	-	75,500	83,390	158,890
Alterations/Improvements: Auxiliary Service Facilities	43,662,422	5,187,034	-	5,187,034	17,860,761	23,047,795
	<u>\$ 808,500,000</u>	<u>\$ 74,346,163</u>	<u>\$ -</u>	<u>\$ 74,346,163</u>	<u>\$ 466,833,774</u>	<u>\$ 541,179,937</u>

CONNECTICUT STATE COLLEGES AND UNIVERSITIES SYSTEM

NOTES TO SCHEDULE OF CSCU 2020 CONSTRUCTION EXPENDITURES - CASH BASIS

NOTE 1 - PRESENTATION

The Connecticut State Colleges and Universities System (the System) is a comprehensive institution of higher education and is a major enterprise fund of the State of Connecticut. The Connecticut State University System Infrastructure Act authorized the issuance of up to \$950,000,000 in general obligation bonds over a ten-year period beginning in the year ended June 30, 2009. Effective July 1, 2014, The Connecticut State University Infrastructure Act (CSUS 2020) was repealed and renamed as The Board of Regents for Higher Education Infrastructure Act (CSCU 2020). The act was amended to include the regional community-technical colleges and Charter Oak State College and authorized additional issuance of general obligation bonds in the amount of \$80,000,000 during the year ended June 30, 2015 and \$23,500,000 during the year ended June 30, 2016. The proceeds from the bonds fund capital improvements for all four universities (Eastern Connecticut State University, Central Connecticut State University, Western Connecticut State University and Southern Connecticut State University), regional community-technical colleges and Charter Oak State College along with improvements made to the Central Office of the System.

The Schedule has been prepared by System management to comply with Connecticut General Statutes Section 10a-91h requiring independent auditors to annually conduct an audit of any project of CSCU 2020 as defined in subdivision (4) of Section 10a-91c. The purpose of the legislation is to provide assurance that invoices, expenditures, cost allocations and other appropriate documentation reconcile to project costs and are in conformance with project budgets, cost allocations agreements and applicable contracts. The audit is required to be submitted to the Governor and the General Assembly in accordance with Section 11-4a.

The System has prepared the schedule of CSCU 2020 construction expenditures (the Schedule) on the cash basis of accounting rather than under the accrual basis method in accordance with accounting principles generally accepted in the United States of America. As such, expenditures are recognized when cash is disbursed rather than when the related obligation is incurred.

The Schedule does not include expenditures paid for or incurred by the Department of Public Safety (DPS). DPS directly pays for the costs associated with Building Code and Fire Code inspections of threshold buildings. Threshold buildings are defined by Connecticut State Statute §29-276b as, “(1) having four stories, (2) sixty feet in height, (3) with a clear span of one hundred fifty feet in width, (4) containing one hundred fifty thousand square feet of total gross floor area, or (5) with an occupancy of one thousand persons.” The System provides funding through its operating funds for the necessary costs of the DPS for the inspection of nonthreshold buildings that are part of CSCU 2020. Because these expenditures paid by DPS are not paid with CSCU 2020 bond funds, the expenditures are not included in the Schedule.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Use of Estimates

Management uses estimates and assumptions in preparing the Schedule in accordance with the cash basis of accounting. Those estimates and assumptions affect the reported amounts of project costs and disclosure of contingent project costs. Actual results could vary from the estimates used.

Approved Budget

The approved budget amounts are the revised budgeted amounts for the entire contract approved by the Department of Construction Services (DCS) on CSCU 2020 projects. The breakdown by category is provided by System management and approved by the DCS.

CONNECTICUT STATE COLLEGES AND UNIVERSITIES SYSTEM

NOTES TO SCHEDULE OF CSCU 2020 CONSTRUCTION EXPENDITURES - CASH BASIS

Expenditures Paid in the Year Ended June 30, 2017

Expenditures paid in the year ended June 30, 2017 represent expenditures that were paid on CSCU 2020 projects during the fiscal year ended June 30, 2017.

Recommended Adjustments

Recommended adjustments represent the net value of costs reviewed that either lacked sufficient supporting documentation or represented errors.

Adjusted Expenditures Paid in the Year Ended June 30, 2017

Adjusted expenditures paid in the year ended June 30, 2017 include expenditures that were paid on CSCU 2020 projects during the fiscal year ended June 30, 2017 plus (or minus) the recommended adjustments.

Expenditures Paid During the Period from July 1, 2008 Through June 30, 2016

Expenditures paid during the period from July 1, 2008 through June 30, 2016 represent expenditures that were paid on CSCU 2020 projects from inception of the projects through June 30, 2016.

Total Adjusted Expenditures Through June 30, 2017

Total expenditures through June 30, 2017 represent expenditures that were paid on CSCU 2020 projects from the inception of the project through June 30, 2017.

Subsequent Events

In preparing the Schedule, management has evaluated subsequent events through October 10, 2017, which represents the date the Schedule was available to be issued.

NOTE 3 - CONSTRUCTION EXPENDITURES

Construction expenditures include all general contractor and subcontractor costs, and certain indirect costs related to project performance that can be attributed to specific projects. Indirect costs not specifically allocable to contracts and general and administrative costs are not included in construction expenditures.