



**Executive Committee**  
of the  
**BOARD OF REGENTS FOR HIGHER EDUCATION**  
**AGENDA – SPECIAL MEETING**  
8:00 a.m., Tuesday, November 12, 2013  
Boardroom 123, 39 Woodland Street, Hartford, CT

A meeting of the Executive Committee of the Board of Regents for Higher Education will be held at **8:00 a.m. on Tuesday, November 12, 2013, in Boardroom 123 at 39 Woodland Street, Hartford, CT.** The agenda for the meeting is below.

**INFORMATION/DISCUSSION**

1. Status Update/Presentation re Connecticut Student Loan Foundation (CSLF)
2. Update from BOR President Gray
3. Committee Updates

**ACTION**

1. Approval of Meeting Minutes  
[September 10, 2013](#) \*
2. Executive Session
3. BOR Standing Committee Responsibilities\*
4. 2014 Proposed BOR Meeting Schedule \*
5. Adjourn

\*attached

**BOARD OF REGENTS FOR HIGHER EDUCATION  
EXECUTIVE COMMITTEE**

**MINUTES – REGULAR MEETING**

**9:00 a.m., September 10, 2013**

**1<sup>st</sup> floor Boardroom, 39 Woodland Street, Hartford, CT 06105**

**REGENTS PARTICIPATING**

Yvette Meléndez, Acting Chair  
Naomi K. Cohen  
Dr. Rene Lerer via teleconference

Dr. Merle W. Harris  
Gary Holloway  
Craig S. Lappen via teleconference

**REGENTS ABSENT**

**BOR STAFF**

Gregory W. Gray, BOR President  
Elizabeth Caswell, Chief of Staff  
President Nunez, ECSU President and BOR VP for Connecticut State Universities  
Ernestine Weaver, Counsel  
Juliet Manalan, Director of Public Affairs and Marketing  
James Howarth, interim BOR CFO and ECSU VP for Finance and Administration  
Erin A. Fitzgerald, Associate Director of Board Affairs/BOR Secretary

**CALL TO ORDER**

Chair Meléndez called the meeting to order at 9:06 a.m., declaring a quorum present.

**APPROVAL OF MINUTES**

On a motion by Naomi Cohen, with a second by Merle Harris, the minutes from the June 4, 2013 Regular Meeting and the June 11, 2013 Special Meeting were unanimously accepted as presented.

**UPDATE FROM BOR PRESIDENT GRAY**

President Gray provided an overview of ongoing activity and planning efforts, highlights of which are listed below:

- shared comments regarding continued meetings with all university and college presidents;
- advised that he has met one-on-one with all board members;
- remarked upon a recent collegial meeting with UConn President Susan Herbst;
- provided a status update on senior level hiring efforts for the System Office (CFO, IT, Provost);
- introduced new Executive Staff members, Chief of Staff Liz Caswell and Director of Public Affairs & Marketing Juliet Manalan;

- suggested the inclusion of a 10-15 minute student presentation at the top of full Board meetings (committee members remarked favorably upon the suggestion and requested that President Gray: 1) seek the input of the university and college presidents on the matter; and 2) reviewed proposed 2014 meeting schedule to include some meetings at the universities and colleges).
- remarked upon his approach to the development of his plan and agenda for the future of ConnSCU; and
- addressed his 2013-2014 goals (following which, after a request from Merle Harris, it was agreed that: 1) President Gray would provide periodic updates to the Board on the progress toward those goals; and 2) another copy of President Gray's 2013-2014 goals would be emailed to Board members).

Following President Gray's update, Chair Meléndez noted she concurred with President Gray's approach to what is a complex endeavor that requires thoughtful articulation and communication as to the process that will be utilized. She remarked favorably upon President's Gray's leadership and continued engagement with all university and college presidents and indicated it was an important component of the planning process and the development of President Gray's agenda.

### **BOR STANDING COMMITTEE RESPONSIBILITIES**

Committee members received an additional copy of the draft of proposed committee responsibilities, with Chair Melendez noting the expectation was the matter would be on the agenda for approval at the October 17 meeting of the full Board. Suggested edits were provided and staff was instructed to update the documents to incorporate the requested edits, provide consistent formatting, and indicate the executive staff member (by title) charged with staffing each of the standing committees.

### **COMMITTEE UPDATES**

Committee Chairs present reported out on the status of various items pending before their respective committees. Administration Committee Chair Naomi Cohen requested and received input from Executive Committee members regarding the possible development of a policy on interim appointments and the ability to apply for permanent positions which the Administration Committee is scheduled to discuss at their September 12 meeting.

### **ADJOURNMENT**

Gary Holloway moved to adjourn; Naomi Cohen seconded and the meeting adjourned at 10:23 a.m.

Submitted,

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

# **Board of Regents for Higher Education Connecticut State Colleges & Universities Academic & Student Affairs Committee Charter**

## **Introduction**

There is established a standing committee to be called the Academic and Student Affairs Committee of the Board of Regents for Higher Education (BOR). This charter broadly defines the Committee's roles with respect to academic policies and standards, program approvals, and student affairs.

## **Membership**

The Academic and Student Affairs Committee shall be appointed by the Chair of the Board of Regents. It shall be composed of not less than five members of the board of regents. One board member shall serve as chair of the Committee.

## **General Purpose and Scope**

The Academic and Student Affairs Committee shall be a standing committee of the Board of Regents. It is charged with oversight of student affairs and system academic policy including, but not limited to, program approval, academic standards and transfer policy.

## **Committee Responsibilities**

Actions that fall under the purview of the committee include but are not limited to:

- a. Review and approve mission statements for the constituent units and role and scope statements for the individual institutions and campuses (CGS section 10a-1c and section 10a-6(7))
- b. Monitor and evaluate institutional effectiveness and viability in accordance with criteria established by the board (CGS section 10a-6(5))
- c. Develop criteria to ensure acceptable quality in programs and institutions and enforce standards through licensing and accreditation as well as periodic program review (CGS section 10a-6(5))
- d. License and accredit institutions and new academic programs, modify existing programs, and terminate programs (CGS section 10a-6(8), 10a-35a, and the Connecticut Regulations for Licensure and Accreditation of Institutions and Programs of Higher Learning)
- e. Approve administrative units that focus on research and service activities—usually called centers or institutes, including centers of excellence (CGS 10a-25j)
- f. Approve new policies or amend existing policies governing academic and student life matters
- g. Approve honorary professorships and other special recognition of faculty, in conjunction with the Finance and Administration Committees when such honors carry a financial impact
- h. Approve conferral of honorary degrees
- i. As recommended by presidents: promotion and tenure, award of CSU Professor status

**Meetings**

The Academic and Student Affairs Committee shall meet as often as deemed necessary by the Committee Chair.

**Annual Review of Activities and Committee Charter**

Each year, the committee will assess its activities with respect to the responsibilities outlined in this charter and take action as needed. This assessment shall include the adequacy of the charter itself. Recommendations to modify the charter shall require approval by the board.

**Staff to Academic and Student Affairs Committee**

BOR Chief Academic Officer [Provost]

## **Board of Regents for Higher Education Connecticut State Colleges & Universities Audit Committee Charter**

### **Introduction**

There is established a committee to be called the Audit Committee of the Board of Regents for Higher Education (BOR). This charter broadly defines the Committee's roles with respect to auditing, risk management and compliance.

### **Membership**

The Audit Committee shall be appointed by the Chair of the Board of Regents. It shall be composed of not less than three members of the board of regents, who shall be independent of management. One board member shall serve as chair of the Committee. At least one board member shall have professional expertise in financial matters, including familiarity with financial management, accounting, forecasting, and reporting.

### **General Purpose and Scope**

The Audit Committee shall be a standing committee of the Board of Regents. The Committee is charged with oversight for auditing, risk management, and compliance and ethics activities within the Connecticut State College & University System.

### **Committee Responsibilities**

The responsibilities of the Committee are as follows:

1. Monitor the effectiveness of management's accounting policies and system of internal controls
2. Monitor the effectiveness of management's efforts to prevent, deter and detect fraud.
3. Monitor the performance of the internal audit function, including the qualifications and independence of the Board of Regents Chief Audit Officer (CAO).
4. Approve the appointment and termination of the CAO.
5. Review the internal audit charter, audit risk assessment and audit plan with the CAO.
6. Review State Auditor of Public Accounts reports
7. Conduct an annual review of policies and procedures with respect to officers' expense and the need to test these expenditures by internal auditors
8. Engage independent counsel or other advisors as necessary to carry out its duties.
9. Approve the appointment of independent, external auditors.
10. Direct the CAO to conduct audits or reviews as needed to address significant risk issues.

11. Review and accept the annual financial statements and auditors' reports.
12. Review audit findings and management's responses.
  - a. Review with the CAO and management selected significant findings during the year and management's responses, and any significant changes to the approved audit plan.
  - b. Periodically review the status of open audit findings and related issues to include assessment of progress made in resolving findings.
13. Review management's performance to implement and enforce the requirements of the state of Connecticut Code of Ethics; ensure that the proper tenor for compliance and ethics is established and reinforced.
14. Review the adequacy of policies and procedures for receiving and resolving complaints concerning potential fraud, misuse of state funds, or issues of internal controls within the provisions of state law.
15. Review and monitor institutions regarding changes in accounting and reporting requirements or regulations promulgated by the Government Accounting Standards Board (GASB), the American Institute of Certified Public Accountants (AICPA), or the state of Connecticut Office of Planning and Management.

### **Meetings**

The Audit Committee shall meet as often as deemed necessary by the Chairman, but not less than three times a year.

### **Annual Review of Activities and Committee Charter**

Each year, the committee will assess its activities with respect to the responsibilities outlined in this charter and take action as needed. This assessment shall include the adequacy of the charter itself. Recommendations to modify the charter shall require approval by the board.

**Board of Regents for Higher Education  
Connecticut State Colleges & Universities  
Executive Committee Charter**

**Introduction**

There is established an Executive Committee of the Board of Regents for Higher Education (BOR). This charter defines the Committee's role.

**Membership**

The Executive Committee shall consist of the Board Chair, Vice Chair, the chairs of all the Board's standing committees, and such additional members as the Board Chair may appoint. The BOR President shall serve as an ex officio nonvoting member. The Chair of the Board shall chair this committee. Fifty percent of the voting members of the Committee shall constitute a quorum. It shall meet at such times as deemed necessary by the Chair.

**General Purpose and Scope**

The Executive Committee shall exercise in emergencies the authority of the Board of Regents, consistent with the policies of the Board or with any action taken earlier by the Board. For purposes of executive committee action, a matter shall be deemed an emergency circumstance when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the Universities, Colleges or their operations.

**Committee Responsibilities**

As outlined above, the responsibilities of the Executive Committee are limited only those instances deemed an emergency circumstance. The Executive Committee may act on behalf of the Board only in those emergency circumstances that do not permit the handling of a matter in the normally prescribed manner by the Board, and any such action taken by the Committee shall be subject to ratification by the full Board at the next regular meeting of the Board.

**Meetings**

The Executive Committee shall meet when called as deemed necessary by the Board Chair in consultation with the Board President.

**Staff to Executive Committee**

BOR President and BOR Secretary



**Board of Regents for Higher Education  
Connecticut State Colleges & Universities  
Finance and Infrastructure Committee Charter**

**Introduction**

There is established a committee to be called the Finance and Infrastructure Committee of the Board of Regents for Higher Education (BOR). This charter broadly defines the Committee's roles with respect to financial oversight planning, reporting and monitoring.

**Membership**

The Finance and Infrastructure Committee shall be appointed by the Chair of the Board of Regents. One board member shall serve as chair of the Committee. Committee members shall have expertise in financial matters, including familiarity with financial management, accounting, forecasting and reporting.

**General Purpose and Scope**

The Finance and Infrastructure Committee shall be a standing committee of the Board of Regents. The Committee is charged with oversight of the institutional facilities, financing strategy, financial policies and financial condition of the Connecticut State College & University System. The Committee shall conduct reviews, receive reports and provide direction to management and counsel to the Board of Regents concerning matters within its scope of responsibility.

**Committee Responsibilities**

The responsibilities of the Committee are as follows:

- a. Review and recommend the Biennial Operating and Capital Budget Request to the Governor and General Assembly.
- b. Review and recommend annual institutional spending plans (expenditure authority) and allocation of state appropriations.
- c. Review and recommend modifications to system resource allocation strategies as needed to achieve strategic goals and priorities.
- d. Review as required the implementation of institutional spending plans to evaluate financial performance against plans.
- e. Review and recommend tuition and fee adjustments, taking into consideration any number of

factors including, but certainly not limited to, the level of State support, financial aid, present fee levels, purposes of adjustments and other pertinent factors.

- f. Review and recommend new, or changes to existing, financial policies and procedures to ensure compliance with state law and regulation and promote greater efficiency and effectiveness.
- g. Review and recommend broad-based financial strategies to improve the performance of institutions and the system in meeting the Board's strategic goals and priorities
- h. Review and recommend to the Board college and institutional long-range facilities and infrastructure development (master) plans that project capital resource requirements.
- i. Review and recommend to the Board the authorization of the system to borrow funds from the Connecticut Health and Educational Facilities Authority (CHEFA) through bonding to finance construction projects for auxiliary service facilities and related expenses and financing costs; authorization to pledge revenues to finance debt service associated with the financing; and authorization to enter into various agreements with CHEFA in order to secure the financing.
- j. Review and recommend to the board amendment, as required, of the system-wide CSUS 2020 capital program consistent with the long-range development plans of the state universities.
- k. Review and recommend to the Board proposals for property acquisition and leases, or lease renewals.
- l. Review and recommend for the Board's acceptance and disposition any major gifts or donations
- m. Make recommendations as appropriate to the Board on other finance and facilities matters in addition to those identified above which may arise from time to time.

## **Meetings**

The Finance and Infrastructure Committee shall meet as often as deemed necessary by the Committee Chair.

### **Annual Review of Activities and Committee Charter**

Each year, the committee will assess its activities with respect to the responsibilities outlined in this charter and take action as needed. This assessment shall include the adequacy of the charter itself. Recommendations to modify the charter shall require approval by the board.

### **Staff to Finance and Infrastructure Committee**

BOR Chief Financial Officer

**Board of Regents for Higher Education  
Connecticut State Colleges & Universities  
Human Resources and Administration Committee Charter**

**Introduction**

There is established a committee to be called the Human Resources and Administration Committee of the Board of Regents for Higher Education (BOR). This charter broadly defines the Committee's roles with respect to human resources administration.

**Membership**

The Human Resources Administration Committee shall be appointed by the Chair of the BOR. It shall be composed of not less than three members of the BOR. One BOR member shall serve as chair of the Committee. At least one Committee member shall have shall have expertise in human resources administration.

**General Purpose and Scope**

The Human Resources Administration Committee shall be a standing committee of the BOR. The Committee shall consider, review and/or develop policies and make recommendations governing employees of the Connecticut State Colleges & Universities and the BOR system office.

**Committee Responsibilities**

The Committee's jurisdiction shall include, but not be limited to, policies concerning the following topics:

1. Classification and compensation.
2. Duties and personnel distribution to achieve system mission/goals.
3. Equal opportunity and affirmative action.
4. Ethics.
5. Employee personnel files.
6. Employee benefits.
7. Collective bargaining goals and objectives.
8. Processes for recruitment, appointment, evaluation, compensation, duties and termination, if appropriate, of the President of the BOR.
9. Appointment and reappointment of campus presidents.
10. Recruitment, appointment, and compensation of interim/acting presidents and of senior staff employees.
11. Appointments that are exceptions to board policy.
12. Nepotism in employment.
13. Workplace safety.
14. Sexual harassment reporting, investigation and administrative actions.

15. Pre-employment background verification.
16. Litigation.
17. Use of computers and equipment.
18. Reimbursement/expenses.
19. Student workers, graduate assistants and interns, university assistants, co-op employees, and honorary titles.

Adoption of policies that may be recommended by the Committee shall require action of the BOR. A policy manual that incorporates approved policies shall be maintained and may be amended as necessary to reflect on-going BOR actions. The office of the President of the BOR shall disseminate the manual and amendments to all management and confidential professional employees in a manner the President deems appropriate.

### **Meetings**

The Human Resources Committee shall meet as often as deemed necessary by the Chair, but not less than three times a year.

### **Annual Review of Activities and Committee Charter**

Each year the Human Resources Administration Committee shall assess its activities with respect to the activities outlined in this charter and take action as needed. This assessment shall include the adequacy of the charter itself. Recommendations to modify the charter shall require approval by the BOR.

### **Staff to the Human Resources Administration Committee**

Vice President for Human Resources



# Board of Regents for Higher Education

## DRAFT 2014 Meeting Schedule

Academic/Student Affairs 9:30 a.m.	Audit 11:30 a.m.	Administration 12:30 p.m.	Finance & Facilities 9:30 a.m.	Information Technology Special Committee 3:00 p.m.	Executive Comm. meets when called. Placeholder dates identified on those months the full Board is not in session	All comm. meetings should be concluded by this date to allow for mailing of agenda on Friday prior to BOR meeting	Board of Regents 10:00 a.m. <i>3<sup>rd</sup> Thursdays unless otherwise noted</i>
Fri., Jan 10		Fri., Jan 10	Tues., January 7	Fri., Jan 10		<b>January 9</b>	January 16 HARTFORD
Fri., March 7	Tues., March 11	Fri., March 7	Tues., March 11	Fri., March 7	Thurs., Feb. 10 10:00 a.m.	<b>March 13</b>	March 20 HARTFORD
Fri., April 4		Fri., April 4	Tues., April 8	Fri., April 4		<b>April 10</b>	April 17 WESTERN CSU
Fri., May 2		Fri., May 2	Tues., May 6	Fri., May 2		<b>May 8</b>	May 15 THREE RIVERS CC
Fri., June 6	Tues., June 10	Fri., June 6	Tues., June 10	Fri., June 6		<b>June 12</b>	June 19 HARTFORD
Fri., August 1		Fri., August 1	Tues., August 12	Fri., August 1	Thurs., July 17 10:00 a.m.	<b>August 14</b>	August 21 HARTFORD
Fri., September 5	Tues., Sept. 9	Fri., September 5	Tues., September 9	Fri., September 5		<b>September 11</b>	September 18 MANCHESTER CC
Fri., October 3		Fri., October 3	Tues., October 7	Fri., October 3		<b>October 9</b>	October 16 ASNUNTUCK CC
Fri., December 5	Tues., Dec. 9	Fri., December 5	Tues., December 9	Fri., December 5	Thurs., Nov. 20 10:00 a.m.	<b>December 11</b>	Wed., December 18 HARTFORD

11/4/13

Yellow shading indicates a Special Meeting

The following committees meet when called: Executive Committee (standing); Strategic Planning Committee (special); placeholder dates have been identified for Executive Committee meetings on those months the full Board is not in session.

**Unless otherwise noted, meetings are held at the Regents' Offices – 39 and 61 Woodland Street, Hartford (agendas will specify address and room location)**

Info/contact: Erin Fitzgerald [fitzgeralde@ct.edu](mailto:fitzgeralde@ct.edu), or 860 493-0013

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