

Chapter 5: Policies

“A policy is a temporary creed liable to be changed, but while it holds good it has got to be pursued with apostolic zeal.” Mahatma Gandhi

The Organization of this Chapter

This Handbook has broken down policies into two categories: Academic Policies (that affect or are related to faculty members’ primary responsibilities) and University Policies (those that apply to everyone in the university community).

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This Handbook contains the version of policies, forms, and contacts on record at the beginning of the academic year. More up-to-date versions can be found at www.ccsu.edu.

Academic Policies

Academic Misconduct Policy

(passed 11/05/01)

At Central Connecticut State University we value personal integrity as fundamental to our interactions with each other. We believe that one of the purposes of a University education is for students to learn to think critically, to develop evaluative skills, and to express their own opinions and voices. We place special weight on academic honesty in all of our intellectual pursuits because it is a value that is fundamental to academic life and scholarly practice. All members of the University community are obligated to uphold high standards of academic honesty in their scholarship and learning. Therefore, we expect students to take personal responsibility for their intellectual work and to respect and acknowledge the ideas of others. Academic honesty means doing one's own work and giving proper credit to others whose work and thought one may draw upon. It is the responsibility of each student to become familiar with what constitutes academic dishonesty and plagiarism and to avoid all forms of cheating and plagiarism.

The CSU code of conduct, Guidelines for Student Rights and Responsibilities and Judicial Procedures, defines **academic misconduct** as including, but "...not limited to providing or receiving assistance in a manner not authorized by the instructor in the creation of work to be submitted for academic evaluation including papers, projects and examinations (cheating); and presenting, as one's own, the ideas or words of another person or persons for academic evaluation without proper acknowledgement (plagiarism)."

Cheating may take many forms. It includes, but is not limited to, the following actions, unless explicitly authorized by the instructor:

Exams:

- Copying from another person's paper or receiving unauthorized aid from another person during an examination;
- Use of unauthorized materials or devices during an examination or any other form of academic evaluation and grading; e.g., use of signals, notes, books, or calculators during an examination when the instructor has not approved their use;
- Knowingly allowing another person to copy from one's paper during an examination;

Improper Behavior:

- Use of another person as a substitute in any form of academic evaluation or acting as a substitute for another person in any form of academic evaluation. e.g., a student cannot have another person take an examination for him/her;
- Acquisition or distribution of improperly acquired examinations; e.g., stealing examinations before the test period or taking a copy of an examination from a testing room without the permission of the instructor; (Examinations which have been distributed by an instructor are legitimate study tools);
- Submission of another's material as one's own for academic evaluation;
- Preparation of work for another student to submit for academic evaluation;

Unauthorized collaboration in the preparation of materials to be submitted for academic evaluation; e.g., working with another student on an assignment when the instructor has not authorized working together;

Submission of the same work, or substantially similar work, in more than one course without prior consent of the evaluating instructor(s);

Disruption in classroom, lab, or research and study areas; any conduct or actions that grossly or persistently interferes with the academic process. (See the CSU Rights and Responsibilities, "Proscribed Conduct," No. 7, *CCSU Student Handbook*.)

Falsification or Misuse of Academic Information:

Falsification or misrepresentation of one's own academic record or that of anyone else; e.g., altering a transcript for admission, hacking into the University's computer system and changing a grade, having another student take an examination in one's place, signing someone else's name to an attendance sheet.

Unauthorized use of information in University computer records or the computer files of other students (see *Computer Use Policy*);

Using unauthorized materials or fabricated data in an academic exercise; e.g., falsifying data in a research paper or laboratory activity; conducting research on human or animal subjects without review by the appropriate panel or supervisor.

Plagiarism:

Copying sentences, phrases, paragraphs, tables, figures or data directly or in slightly modified form from a book, article, or other academic source without using quotation marks or giving proper acknowledgment to the original author or source;

Copying information from internet websites and submitting it as one's own work;

Buying papers for the purpose of turning them in as one's own work;

Selling or lending of papers for the purpose of violating academic honesty policies; (this may also be an academic crime, see Connecticut General Statutes, §53-392a.)

Understanding Plagiarism:

Plagiarism is presenting another person's work without acknowledgements, whether in the same or in slightly modified form. In academic practice this is regarded as theft, intended to gain undeserved credit. Like other forms of academic dishonesty, plagiarism is cheating. To academicians, a well-documented paper is more impressive than one which arouses the suspicion of a reader familiar with the student's work and alert to echoes from other writers. The proper use of outside sources does not necessarily mean that a paper is lacking in originality, nor does the presence of quotation marks in the text. In fact, the purpose of research and documentation is to share useful information with the reader. The penalties for plagiarism greatly exceed the unlikely reward of gaining credit by getting away with it. Students must be careful to avoid plagiarism and are responsible for learning how to present the ideas of others in their own work. For current documentation practice, consult the instructor and a style manual. When material is borrowed from another person, the source must be indicated. There are three ways in which another writer's material may appear:

1. By putting quotation marks around short passages borrowed verbatim (word for word); or by setting off from the text, without quotation marks, for longer quotations.
2. By précis; condensing part of a writer's argument.
3. By paraphrase: interpretation of a writer's ideas.

All three must be acknowledged either in footnotes or informally in the text.

Consequences of Academic Misconduct:

There are significant consequences when an undergraduate student engages in academic misconduct.

In each case the faculty member will initiate a conference with the student, after which the faculty member who believes that misconduct has occurred must complete a University Academic Misconduct Report, which is the record of a faculty member's determination that the student identified in this report has engaged in academic misconduct. The content of a University Academic Misconduct Report shall include all items indicated in the form attached to this Policy.

A copy of each University Academic Misconduct Report will be sent to the student, the Department chairperson, the Dean's office, and the University Judicial Officer.

Upon receipt of the University Academic Misconduct Report, the University Judicial Officer, in consultation with the faculty member, may initiate disciplinary proceedings, which may result in sanctions, including disciplinary probation, suspension or expulsion from the University.

When a faculty member determines that an undergraduate student has engaged in Academic Misconduct the student shall be required to complete the Academic Integrity Workshop.

The sanctions for academic misconduct available to a faculty member include any or all of the following:

1. A grade of "F" for the course.
2. A grade of "F" for the material being evaluated.
3. A reduced grade for the material being evaluated.
4. The assigning of additional course work.

When Undergraduate Students are Suspected of Academic Misconduct:

1) When a faculty member reasonably believes that there is sufficient information to demonstrate that a student may have engaged in Academic Misconduct:

- a) The faculty member will discuss the incident with the student, in the presence of the department chair if the faculty member or student so desires.
- b) At this time the faculty member shall outline the possible penalties specified in the *CCSU Student Handbook*.
- c) The faculty member will indicate that the matter may be referred to the University Judicial Officer for possible disciplinary action.

- 2) Based on the available documentation, the response offered by the student, if any, and any other relevant information:
 - a) The faculty member will, within a reasonable period of time, reach a determination whether the student has engaged in Academic Misconduct.
 - b) Should the faculty member determine that Academic Misconduct has occurred, the faculty member shall retain evidence of the said misconduct.
- 3) If the faculty member determines that Academic Misconduct has not occurred, no University Academic Misconduct Report need be prepared.
- 4) If the faculty member determines that Academic Misconduct has occurred, the faculty member shall:
 - a) Impose an academic sanction.
 - b) Prepare and forward a University Academic Misconduct Report indicating the determination reached and sanctions imposed.
 - c) Direct the student to attend the Academic Integrity Workshop at the Learning Center.
 - d) Prior to making any determinations, a faculty member may consult with the Learning Center and/or the University Judicial Officer to determine whether the student has already attended the Academic Integrity Workshop.
- 5) The faculty member
 - a) Shall inform the student that additional University Academic Misconduct Reports may result in more severe penalties.
 - b) May also contact the University Judicial Officer regarding additional University disciplinary actions, which may include probation, suspension, or expulsion.
- 6) In accordance with the “Student Records and Disclosure Policy,” “Data from academic, disciplinary, and counseling files shall not be available to unauthorized persons on campus or to any person off campus without the express consent of the student involved, except under legal compulsion.” (*CCSU Student Handbook.*)

Understanding the Academic Integrity Workshop:

The Academic Integrity Workshop is available to all CCSU students so that they will not violate the Academic Misconduct Policy as a result of misunderstanding. For those students who have violated the Academic Misconduct Policy, the Academic Integrity Workshop is designed to educate students about what constitutes Academic Misconduct so that future violations will not occur. Upon completion of the Academic Integrity Workshop, notification will be forwarded to the University Judicial Officer who will document such completion in the student’s file. Students must sign up for the Academic Integrity Workshop at the Learning Center within 10 school days of being provided with the University Academic Misconduct Report. Refusal or failure to attend the workshop will result in a referral to the University Judicial Officer for immediate action.

Subsequent Violations of the Academic Misconduct Policy:

When the University Judicial Officer receives multiple University Academic Misconduct Reports regarding a particular student, whether or not the faculty member has made a complaint, a "Pre-Hearing Investigation" will normally be conducted in anticipation of disciplinary action, which may result in disciplinary probation, suspension or expulsion from the University. If the University Judicial Officer determines that a formal hearing is warranted, a faculty member or members may be requested to provide information.

A Student's Rights When Suspected and or Charged With Academic Misconduct:

- 1) A student has the right:
 - a) To meet with the faculty member, in the presence of the Department Chair if so desired, before any determination has been made.
 - b) To be informed during this meeting of the faculty member's suspicions and have an opportunity to discuss the matter.
 - c) To appeal a finding of Academic Misconduct made during the course of the semester, within 10 school days of being provided with a University Academic Misconduct Report.
 - i) A written statement of appeal must be provided to the faculty member, the Department chairperson, the Dean, and the University Judicial Officer, setting forth the basis of the student's appeal. Upon receipt of a student's mid-semester appeal, the University Judicial Officer will consult with the faculty member, the Department Chair, and the Dean and communicate to the student within 10 school days the results of the student's appeal.
- 2) Once a final grade is awarded, the student may file a grade appeal in accordance with the "Appeals for Grade Change Policy," (*CCSU Student Handbook*.)
- 3) If a student receives a final grade of "F" as a result of violating the Academic Misconduct Policy, and that grade is upheld by the grade appeal process, no retroactive withdrawal from the course will be permitted.
- 4) All end of the semester appeals must be made in accordance with the "Appeals for Grade Change Policy."
- 5) In addition to academic sanctions provided by the faculty member, if disciplinary proceedings have been initiated by the University Judicial Officer, a student has the right to have such proceedings resolved in accordance with the CSU "Guidelines for Student Rights and Responsibilities and Judicial Procedures."

Professor's Responsibilities when Academic Misconduct is Suspected During End of the Semester Grading:

If a faculty member reasonably suspects academic misconduct during end of the semester grading, a grade of Incomplete may be entered, to be replaced by an appropriate grade once the issue is resolved. The grade of Incomplete allows a faculty member to complete end of the semester grading and still follow up on suspected violations of the University Academic Misconduct Policy.

Academic Misconduct reported by a member of the University Community other than the relevant faculty member: See "Academic Misconduct" in "Guidelines for Student Rights and Responsibilities and Judicial Procedures," (*CCSU Student Handbook*.)

Academic Misconduct Report

Received by University Judicial Officer on _____

Sent to Student on _____

Sent to Department Chair on _____

Sent to Dean on _____

Student's name: _____ SS# _____ Faculty Member's name: _____ Ext: _____ Course Title: _____ Semester and Year: _____
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Date(s) of faculty student meeting(s) _____.

Description of the incident:

(Please copy and attach any necessary evidence)

The student has been informed of his/her rights as described in the *CCSU Student Handbook*, including the right to pursue a grade appeal. Yes _____ No _____

The student acknowledges a violation of Academic Honesty. -- Yes _____ No _____

The Professor's sanction:

Professor's Signature: _____

Date: _____

Academic Integrity Workshop: Yes/No Date:

Judicial Hearing: Yes/No Date: Outcome:

Judicial Officer's Signature _____ Date _____

Academic Program Approval Process

Policy

It shall be a regulation of the University that no academic program or other curriculum proposal may be presented for approval to anybody outside of the University, such as the Board of Trustees or the Board of Governors until the proposal has received the approval of the Faculty Senate.

The process of creating or modifying academic programs is generally initiated by faculty action at the department level at each CSUS university. Local governance processes and procedures are followed, involving approvals at several levels such as department, school, curriculum committee and faculty senate.

Procedure

1. Submission of program by department (or school) to the Dean(s).
3. Submission of program to University Curriculum Committees for approval.
4. Review and approval by University Senate.

The office of the Provost/Academic Vice President (AVP) approves and prepares the final proposal which should follow the guidelines of the Board of Governors of Higher Education:

- Application for Licensure of a Program of Higher Learning Within an Accredited Connecticut Institution of Higher Learning
<http://www.ctdhe.org/Regs/PDFs/ProgramApplication.pdf>
- Application for the Approval or Re-approval of Institutions and Programs of Higher Learning
<http://www.ctdhe.org/Regs/PDFs/InstitutionApplication.pdf>

Once a proposal has been prepared by the University the following review steps take place:

1. The University Provost, Vice President for Academic Affairs submits program proposal with his/her endorsement to the Sr. Vice Chancellor for Academic and Student Affairs for review.
2. The Sr. Vice Chancellor recommends to the Chancellor after review and agreement with the University.
3. The Chancellor, after review and agreement with the Sr. Vice Chancellor, approves that the proposal may go forward and be considered at a Council of Academic Vice Presidents (COAVP) meeting.
4. The Sr. Vice Chancellor recommends that the program be presented for discussion with the COAVP, and the COAVP may make suggestions for strengthening or modifying. University representatives able to address the details of the program are

present, typically the Dean of the school, the department head and/or a group of faculty generating the proposal.

5. After this review (and having taken suggestions for revision and vetting the proposal through the university and the Chancellor), the Sr. Vice Chancellor recommends it for submission to the Board of Trustees Academic Affairs (BOTAA) Committee. The BOTAA Committee discusses the proposal and may also make suggestions for modifications. If they approve the program, the committee moves a resolution recommending the program to the Board of Trustees (BOT) for approval. The committee may make further suggestions for revision, or the proposal may be sent back to the university to address concerns and incorporate revisions, in which case the proposal must be resubmitted to the Committee. University representatives able to address the details of the program are present, typically the Dean of the school, the department head and/or a group of faculty generating the proposal.
6. The proposal is reviewed by the BOT and a resolution is passed authorizing CSUS to seek approval of the program to be offered at the university from the Board of Governors of Higher Education (BOGHE). The BOT may also make suggestions for modification which must be vetted through the university and the Academic Affairs department of the System office before proceeding.
7. Once a signed copy of the BOT resolution is available, the Academic Affairs department of the System Office generates a transmittal letter to the Provost/AVP communicating the BOT authorization. The Sr. Vice Chancellor will then begin the process to seek BOGHE approval on behalf of the University.
8. The university generating the proposal shares a summary of the program via e-mail for comments with Presidents and Chief Academic Officers at all Connecticut colleges and universities. A compilation of responses is generated and attached to the proposal. This is shared with the system office.
9. The Sr. Vice Chancellor sends a letter and all materials to the Commissioner of the Department of Higher Education (DHE) on behalf of the university (with a copy to the Provost of the university) requesting review of the program. **This step should be completed at least nine months in advance of the date for which authorization to operate is requested.**

Once the proposal is at DHE, the following steps take place:

1. The proposal is reviewed by the Commissioner of DHE through a Planning Assessment which includes conformance with institution's role and mission, need for the program, unnecessary duplication, cost effectiveness and availability of resources. If the finding is positive, the Commissioner proceeds with the review, otherwise the Commissioner offers the institution an option of withdrawing.

2. DHE does a preliminary Quality Assessment which includes an evaluation of compliance to program approval standards. DHE Planning and Quality assessments can occur concurrently.
3. The proposal undergoes comprehensive review by the Advisory Committee on Accreditation (ACA), a 12 member committee with representation from all constituent units of higher education, using the program approval standards. The proposal is approved for consideration at the full BOGHE meeting or recommendations are made for modifications and further review.
4. Upon ACA approval, the proposals are typically placed in the Commissioner's Consent Agenda. In cases that required further discussion, or on request by a BOGHE member, proposals are placed as action items for the board. Final approval is granted through BOGHE resolution.

Assigning Faculty Authored Textbooks to Students Taught by Same Faculty

Assignment of Textbooks:

Section 1-84 of the Connecticut General Statutes prohibits public officials and other state employees from using their public office or position to obtain a financial gain for themselves or their family members or any business with which they are associated. A faculty member's assignment of a textbook authored or developed by the faculty member could be considered as "obtaining financial gain" for the faculty member in violation of the Connecticut State Ethics Code. Before requiring students to purchase a textbook or intellectual property for a course that the faculty member authored or developed, the faculty member must obtain prior approval for such use. The prior approval process is not necessary if the faculty member directs any financial gain to a University fund or to a recognized 501©(3) entity from which that faculty member derives no personal financial benefit.

Pursuant to the State of Connecticut Ethics Commission's requirement in Advisory Opinion 2001-7, Central Connecticut State University requires that there be established a review panel that will rule on requests to utilize a professor's text for his or her class.

Review Panel Composition:

The review panel is appointed by the Vice President for Academic Affairs and shall include no fewer than five (5) members including tenured faculty members recommended by the Deans of their respective Schools. Faculty shall represent different departments.

Terms of Appointment:

Members on this panel serve for two-year staggered terms. Initially, half of the members will be appointed for a period of one year. New members are selected in late spring. The term of office concludes at the end of the academic year in late August.

Operating Procedures:

The review panel selects a chair for a two-year period who is responsible for all communications with the faculty and administration. The review panel considers requests, justification and evidence submitted by full-time or part-time faculty members who have authored a textbook and wish to assign that textbook to students in courses they teach at the university. After considering all appropriate materials, the review panel rules and can approve requests if the requests meet one or both of the following requirements:

- a. the text is recognized as the standard in the field, or
- b. offers a unique perspective on the topic of study

The panel informs the faculty member in writing of its decision indicating the reason for approval or disapproval, no later than 30 days from the day the request is received by the panel. A copy of the decision is transmitted to the Vice President for Academic Affairs. All decisions require a majority vote. A panel member who represents the department of the faculty member whose request is under consideration may not vote on that request.

All materials submitted to the panel and any other materials produced by the panel will be appropriately archived within the university at the end of each academic year.

Failure to comply with this Policy constitutes a violation of the State Ethics Code and University policy and subjects the faculty member to an enforcement action by the State Ethics Commission and disciplinary procedures by the University.

Computer Use Agreement for Instructional Faculty, Administrative Faculty and Exempt Professionals

All professional staff, management, unclassified confidentials, instructional faculty and administrative faculty are deemed to have authorization to use Connecticut State University computer equipment for private academic research and writing on their own time when such use does not interfere with the needs of the University and subject to all other conditions of access to University computer facilities as may be established from time to time, on the following basis:

1. University computers may not be used at any time for the conduct of a private business enterprise.
2. The University shall make no claim for recompense for use of University computer equipment for word processing and preparation of manuscripts.
3. Computer software products created by an employee specifically assigned to that task shall be the property of the University and the State of Connecticut. Said assignments may be the regular duty of the employee, or in lieu of such regularly assigned duties, or by special compensation under the applicable collective bargaining agreement. The employee who created the computer software product shall assign all copyright and/or patent rights to the University.
4. Computer software products created for disciplinary research and/or instructional use, not covered by 3 above, shall belong to the creator subject to the following restrictions:
 - Such software products and all documentation shall be available at no cost to the University for instructional and administrative use.
 - Sale of computer software products to the author's students shall not result in profit, royalty or like payment to the author.
5. Other computer software products created using University computer equipment, not covered by 3 and 4 above, shall be provided to the University for its perpetual use at no cost. The creator of such computer software products shall provide the University one copy, complete with documentation, of the creation.
6. Disputes concerning the meaning or application of this agreement shall be referred to step 3 of the applicable collective bargaining agreement.

The parties to this agreement encourage all employees to aid and participate in the development and effective use of the University's computer system.

Delayed and Cancelled Classes: Protocol Regarding Public Dissemination of Delayed Openings, Cancellation of Classes or Closing of All Operations

Authorization

The President or the University executive officer designated by the President is authorized to delay the start of classes or to cancel classes. In extreme emergencies, the President or designated University executive officer may order the closing of all University operations. In such cases, all classes are canceled and all special events and other activities are canceled or postponed.

Timing

The timing for the decision to cancel classes or delay the start of classes is as follows:

1. by 5:30 a.m. for weekday classes and Saturday morning classes.
2. by 2:00 p.m. for evening classes.

When the start of classes is delayed due to inclement weather, only courses that begin after the delay should meet. For example, for a two-hour delay, only classes that begin at or after 10:00 a.m. should meet.

Any exceptions to this policy should be clearly explained in the course syllabi, and instructors should attempt to reach students to remind them of such exceptions. For example, teachers of longer classes or classes that meet infrequently may want students to attend for the remainder of a course that begins before the delay is over. For example, teachers of three-hour courses that begin at 8:00 a.m. may expect students to attend class at 10:00 a.m. following the end of a two-hour delay.

Only class cancellation information will be given to the media. All other information may be obtained on the CCSU website or by calling the "snow" phone (832-3333). The following staff information should be noted:

1. If day classes are canceled, announcements shall note if "essential" employees are expected to report for duty.
2. If the Governor closes all state offices, CCSU will follow all directives emanating from the Governor's office.

Department Chair Selection

The department has the principal responsibility for selecting the Department Chairperson and shall conduct the election for chairperson before the end of the fourth semester of the incumbent's term of office. The faculty of a department shall select, by secret ballot, a nominee from the tenured faculty of the department. Nominating and voting procedures shall be specified in department by-laws. The name of the selected nominee will be submitted to the Dean for recommendation to the President. Within two months from the date of nomination, the President shall appoint the selected nominee.

In the rare case that the nominee is not acceptable to the President, the President and the Dean shall meet with the Department to determine a chairperson acceptable to both the President and the Department.

If the President and the Department cannot reach an agreement within two months from the date of the rejection of the original nominee, the Department shall notify the Faculty Senate. The Senate shall form an Ad Hoc Committee to conduct a review and, within two months from the date of notification, recommend a chairperson to be appointed by the President.

All deliberations and decisions must occur within an academic calendar year.

The term of office for Department Chairpersons shall be three years and shall start on the first day of the academic year.

Investigator Financial Disclosure Policy- **(From the Office of Grants and Funded Research)** (Applicable to all Sponsored Project Proposals)

What is required?

Federal regulations require institutions to have policies and procedures in place that ensure that investigators disclose any significant financial interest that may present an actual or potential conflict of interest in relationship to externally sponsored projects. Such disclosures must be made prior to the submission of a proposal for funding (if a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required), and institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced, or eliminated prior to the expenditure of any funds on an award.

Who is covered?

"Investigator" means the principal investigator/project director, co-principal investigators, and any other person at the University who is responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding by an external sponsor. In this context, the term "Investigator" includes the investigator's spouse and dependent children.

What must be disclosed?

Each Investigator shall disclose all significant financial interests:

- (I) that would reasonably appear to be affected by the research, educational, or service activities or proposed for funding, by an external sponsor; or
- (II) in entities whose financial interests would reasonably appear to be affected by such activities.

What is covered?

"Significant Financial Interests" mean anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:

- (1) Salary, royalties, or other remuneration from Central Connecticut State University;
- (2) Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- (3) Income from service on advisory committees or review panels for public or nonprofit entities;
- (4) An equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value determined through reference to public prices or other reasonable measures of fair market value, or constitute more than a 5 percent ownership interest in any single entity; or

(5) Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed \$10,000.

Disclosure Procedures:

(1) All Investigators must disclose their significant financial interests utilizing this form and attaching all required supporting documentation. The completed form and packet must be submitted with the proposal and the CCSU Internal Administrative Routing Sheet to the Office of Grants and Funded Research. Supporting documentation should be submitted in a sealed envelope marked "confidential."

(2) In accordance with Federal regulations, a complete disclosure must be made by Investigators prior to the submission of the proposal.

(3) Resolutions to conflicts of interest will be incorporated into a Memorandum of Agreement (MOA) between the Investigator(s) and the University [signed by Investigator(s) and the authorized University Certifying Official] prior to expenditure of any award funds.

Investigator significant financial interest disclosure policy for sponsored projects

In order to protect the credibility and integrity of CCSU's faculty and staff and to ensure public trust and confidence in the University's sponsored activities, it is the policy of Central Connecticut State University that investigators disclose any significant financial interest that would reasonably appear to be affected by sponsored research. In response to Federal regulations requiring universities to formulate a policy regarding investigator financial conflict of interest, CCSU has assumed the responsibility to manage, reduce, or eliminate any actual or potential conflicts of interest that may be presented by a financial interest of an investigator.

Definitions

Potential conflict of interest - exists when there is a divergence between an individual's private interests and his or her professional obligations to CCSU such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise.

Actual conflict of interest - exists when the University, through procedures described herein, reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of sponsored projects.

Investigator - the principal investigator/project director, co-principal investigator, and any other person who is responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding, by an external sponsor. In this context, the term "Investigator" includes the investigator's spouse and dependent children.

Procedures

1. Each Investigator is required to disclose the following Significant Financial Interests:

(I) Any Significant Financial Interest of the Investigator that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor; or

(II) Any Significant Financial Interest of the Investigator in an entity whose financial interest would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor.

Regardless of the above minimum requirements, a faculty or staff member, in his or her own best interests, may choose to disclose any other financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest. Disclosure is a key factor in protecting one's reputation and career from potentially embarrassing or harmful allegations of misconduct.

2. Each Investigator who has Significant Financial Interest requiring disclosure shall complete a Significant Financial Interests Disclosure Form and attach all required supporting documentation. The completed Disclosure Form must be submitted with the proposal and the CCSU Internal Administrative Approval Form to the Office of Grants and Funded Research. Supporting documentation that identifies the business enterprise or entity involved and the nature and amount of the interest should be submitted in a sealed envelope marked "confidential" and accompany the Disclosure Form.

3. As required by Federal regulation, all Significant Financial Interests must be disclosed prior to the time a proposal is submitted. All financial disclosures must be updated by Investigators during the period of the award as new reportable Significant Financial Interests are obtained.

4. The Director of the Office of Grants and Funded Research will forward the Disclosure Form to the Dean of Graduate Studies who shall conduct an initial review of all financial disclosures. If the initial determination is made that there may be a potential for conflict of interest covered by this policy, then the Disclosure packet will be referred to the University Conflict of Interest Review Committee (CIRC). Committee members are appointed by the Dean of Graduate Studies and will be comprised of a minimum of three faculty members representing a cross section of academic disciplines. A conflict of interest exists when the CIRC reasonably determines that a Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of the proposed sponsored project. The CIRC shall then determine what conditions or restrictions, if any, should be imposed by the institution to manage actual or potential conflicts of interest arising from disclosed Significant Financial Interests.

5. Upon receipt of the CIRC recommendations, the Investigator will propose a Conflict of Interest Resolution Plan that details steps that will be taken to manage, reduce, or eliminate any actual or potential conflict of interest presented by a Significant Financial Interest. At a minimum, the Resolution Plan shall address such issues as:

- (1) Public disclosure of significant financial interests;
- (2) Review of research protocol by independent reviewers; and
- (3) Monitoring of research by independent reviewers.

The CIRC shall review the Resolution Plan and approve it, add conditions or restrictions, including the following:

- (1) Modification of the research plan;
- (2) Disqualification from participation in all or a portion of the research funded;
- (3) Divestiture of significant financial interests; or
- (4) Severance of relationships that create actual or potential conflicts of interest.

If the CIRC determines that imposing the above referenced conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the CIRC may recommend that, to the extent permitted by Federal regulations (PHS policy does not permit such an action), the research go forward without imposing such conditions or restrictions. In these cases, the Dean of Graduate Studies shall make the final decision regarding resolution.

6. The approved Resolution Plan shall be incorporated into a Memorandum of Agreement (MOA) between CCSU and the Investigator that details the conditions or restrictions imposed upon the Investigator in the conduct of the project. The MOA shall be signed by the Investigator and the authorized University Certifying Official (President, Chief Administrative Officer, or Vice President for Academic Affairs). Actual or potential conflicts of interest will be satisfactorily managed, reduced, or eliminated in accordance with these Guidelines and all required reports regarding the conflict of interest submitted to the sponsor prior to expenditure of any funds under an award. (For example, PHS requires the University to report to the PHS Awarding Component the existence of a conflicting interest [but not the nature of the interest or other details] found by the University and assure that the interest has been managed, reduced or eliminated. NSF only requires the University to report conflicts which cannot be satisfactorily managed, reduced or eliminated).

7. Records of investigator financial disclosures and of actions taken to manage actual or potential conflicts of interest, shall be retained by the Office of Grants and Funded Research until three years after the later of the termination or completion of the award to which they relate, or the resolution of any government action involving those awards.

8. Whenever an Investigator has violated this policy or the terms of the MOA, the CIRC shall recommend to the Vice President for Academic Affairs that disciplinary actions be taken in accordance with the provisions of Article 16 of the CSU-AAUP Collective Bargaining Agreement. In addition, the University shall follow Federal regulations regarding the notification of the sponsoring agency in the event an Investigator has failed to comply with this policy. The sponsor may take its own action as it deems appropriate, including the suspension of funding for the Investigator until the matter is resolved. |

9. Collaborators/subrecipients/subcontractors from other academic or not-for-profit institutions must either comply with this policy or provide a certification from their institutions that they are in compliance with Federal policies regarding investigator significant financial interest disclosure and that their portion of the project is in compliance

with their institutional policies. Subcontractors from commercial firms need not make a certification, except when the prime award is from PHS. The PHS requires a certification from any subcontractor, including commercial firms, stating that it is in compliance with Federal policies regarding investigator significant financial interest disclosure and that its portion of the project is in compliance with company policies.

Nothing in this policy shall be taken to contradict Article 10.14 of the CSU-AAUP Collective Bargaining Agreement which references members' responsibility for complying with conflict of interest provisions as defined by Connecticut General Statutes 1-84-85.

Misconduct in Research and Scholarship *

I. INTRODUCTION

Central Connecticut State University recognizes that it has an important responsibility to support the scholarship and research activities of faculty. Implicit in this responsibility is the requirement that the University make every effort to ensure that high ethical standards are maintained in research that is performed under its auspices. The policies and procedures described and defined below are intended to maintain the integrity of the research process. They form the basis for uniform procedures to deal with those rare instances of alleged or apparent misconduct in research done at CCSU.

II. DEFINITIONS

"MISCONDUCT" is defined as:

(1) Fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, conducting, or reporting results from research. This definition does not include honest error or honest differences in interpretations or judgments of data.

(2) Retaliation of any kind against a person who reported or provided information about suspected or alleged misconduct and who has not acted in bad faith.

(3) The act of submitting a wrongful and malicious report of misconduct against another individual.

An "INQUIRY" consists of information gathering and initial fact finding to determine whether an allegation or apparent instance of misconduct warrants an investigation.

An "INVESTIGATION" is a formal examination and evaluation of all relevant facts to determine if an instance of misconduct has taken place. If misconduct has already been confirmed, an investigation may proceed to determine the extent of any adverse effects resulting from the misconduct.

III. POLICIES

It is the responsibility of all employees at CCSU to ensure the following:

1. Affected individuals will receive confidential treatment to the maximum extent possible, a prompt and thorough investigation, and an opportunity to comment on the allegations and findings.

2. In cases where a formal investigation is warranted, Public Health Service's (PHS) Office of Scientific Integrity (OSI) will be notified if mandated by the grantor.

3. Appropriate interim administrative actions will be taken to protect federal funds.

4. Efforts to restore the reputation of people will be taken if the allegations are not confirmed.

5. If allegations are substantiated, appropriate sanctions will be taken.

6. OSI will be notified of final outcomes with a written report documenting the investigative process and findings when mandated.
7. The coordination of the above policies will be overseen by the Director of the Office of Grants and Funded Research.
8. In the event of suspected misconduct, a written allegation should be submitted to the Chair of the CCSU Human Studies Council (HSC). The HSC Chair then informs the Director of the Office of Grants and Funded Research, who in turn contacts the appropriate Vice President. The HSC Chair convenes a Commission on Misconduct in Research to review the charges and fulfill the responsibilities listed in Section IV of this document. Membership of the Commission on Misconduct in Research will include one member each from the Human Studies Council and the Institutional Animal Care and Use committee, two appointees chosen from a panel of tenured professors in appropriate disciplines, and a tenured professor selected by the person against whom the charges have been brought.
9. As explained in Article IV, the Commission on Misconduct in Research will, at the conclusion of its investigation, present a report of its findings to the President. Such a report may constitute the basis for discipline under the appropriate articles of the CSU-AAUP Collective Bargaining Agreement, the CSU-AFSCME Collective Bargaining Agreement, or the CSU-BOT Personnel Policies for Management and Confidential Employees.

Central Connecticut State University's Policy on Misconduct in Research and Scholarship complies with standards and regulations outlined by the National Science Foundation at 45 CFR 689 and Public Health Service regulations at 42 CFR Part 50, Subpart A which mandates that each institution which receives or applies for a PHS research, research-training, or research-related grant or cooperative agreement must have established administrative policies for responding to allegations of research misconduct and certify that it will comply with those policies. Additionally, institutions must inform their research and administrative staff about those policies and procedures.

*For the complete text of this policy, please contact the Office of Grants and Funded Research. All faculty and staff are required to be familiar with and abide by the full terms of this policy.

New and Non-Traditional Programs

In light of the University's changing needs and resources, all programs falling out of the normal delivery of academic course work and involving external funding or non-tuition student support must conform to these procedures. The person developing the program must:

1. Develop a preliminary statement of scope and purpose with a schedule and trial budget. The budget must show both revenue and expense and ALL costs. Budgets must be by fiscal year and if institutional resources are required, the source must be indicated.
2. Discuss the proposal with the appropriate Dean or in some cases the Vice President for Academic Affairs.
3. Have the program reviewed by the Director of Continuing Education and, if appropriate, by the Director of Community Engagement and/or of International Studies. Such review is primarily to avoid misunderstandings involving CEUs, part-time personal service money, outside contracts or other restrictive aspects of state regulations, and to identify sources of administrative support.
4. After the proposal has been initially reviewed, it should be returned to the appropriate Dean or Provost for review or revision and signature approval.
5. Accounts should be supervised carefully. Project directors and deans or directors are responsible for contract compliance. Budget changes and shifts in program must be reported promptly. If start-up costs are facilitated by a grant, then, the Director of Continuing Education or the Director of International Studies will assist in the supervision of the grant once received.

The University cannot accept responsibility for projects which do not follow these guidelines.

P-Card Policy

The Purchasing Card is designed to be used for University business related purchases only. Use of the card for personal purchases is strictly prohibited. The Purchasing and Accounts Payable departments are responsible for monitoring the effectiveness of the Purchasing Card Program and user compliance with the procedures outlined in the manual.

The Purchasing Card Manual in its entirety can be found on website:
<http://www.finance.ccsu.edu/PurchasingCard/index.htm>

Questions regarding the Purchasing Card program can be directed to:

- Jo-Ann Myers, myers@ccsu.edu, Purchasing Card Member Services Coordinator at 832.2501 to request/cancel a purchasing card, discuss the needs of your department for determining limitations on card.
- Tom Brodeur, brodeur@ccsu.edu, Purchasing Manager at 832.2531 regarding the appropriateness of purchasing an item, and to receive information on a contract vendor and pricing.
- Kathy Kuziak, kuziak@ccsu.edu, CCSU OfficeMax Enterprise Solutions Coordinator at 832.2534 to arrange a log on to use the OfficeMax On-line service and to discuss the functionality of the on-line system.
- Rose Harrington, harrington@ccsu.edu, Accounts Payable Audit Team Coordinator at 832.2509 to discuss and schedule an audit.
- Debbie Peterson, peterston@ccsu.edu, Travel Audit Team Coordinator at 832.2549 to discuss and schedule a travel audit.

The members of the Purchasing Card Team are located in Marcus White Annex 006.

How it Works:

The Purchasing Card simplifies the procurement and disbursement process by facilitating point-of-demand procurement. Purchasing authority is delegated to the ordering departments enabling the authorized cardholders to place an order directly with the suppliers. Use of the Purchasing Card will, in no way, affect or change your personal credit history.

Benefits to the Cardholder/Department:

- Obtain goods and services faster and easier.
- Significantly reduces the workload related to the purchase and payment of goods and services.
- No purchase order is required; therefore, no typing and tracking of individual purchase requisitions and receiving reports are required.
- Receive orders within days instead of weeks.
- Significantly reduces the clerical and approval processing time.
- Provides end users with greater autonomy.

Reproducing Copyrighted Materials

Members of the faculty and departmental secretaries are reminded that federal copyright laws are in effect and must be followed. The new guidelines for reproducing copyright materials for instructional purposes are quoted below. The Copy Center is obliged to respect these guidelines.

I. Single Copying for Faculty and Administration

A single copy may be made of any of the following by or for a faculty member or administrative professional at his or her individual request for his or her scholarly research or use in teaching or preparation to teach a class:

- A chapter from a book;
- An article from a periodical or newspaper;
- A short story, short essay or short poem, whether or not from a collective work;
- A chart, graph, diagram, drawing, cartoon, or picture from a book, periodical or newspaper.

II. Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by or for the teacher giving the course for use or discussion provided that:

- The copying meets the tests of brevity and spontaneity as defined below;
- Meets the cumulative effect test as defined below;
- Each copy includes a notice of copyright.

Definitions:

Brevity

1. Poetry:

- A complete poem if less than 250 words and if printed on not more than two pages or,
- From a longer poem, an excerpt of not more than 250 words

2. Prose:

- Either a complete article, story, or essay of less than 2,500 words or,
- An excerpt from any prose work of not more than 1,000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words. [Each of the numerical limits stated in “1” and “2” above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.]

3. Illustration:

- One chart, graph, diagram, drawing cartoon or picture per book or per periodical issue.

4. “Special Works”:

- Certain works in poetry, prose or in “poetic prose,” which often combine language with illustrations and which are intended sometimes for children and at other times for a more general audience fall short of 2,500 in their entirety. Paragraph “2” above notwithstanding such “special works” may not be reproduced in their

entirety; however, an excerpt comprising not more than two of the published pages of such special work and containing not more than 10% of the words found in the text thereof, may be reproduced.

Spontaneity:

- The copying is at the instance and inspiration of the individual teacher.
- The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

Cumulative Effect:

- The copying of the material is for only one course in the school in which the copies are made.
- Not more than one short poem, article, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term.
- There shall not be more than nine instances of such multiple copying for one course during one class term. [The limitations stated in “2” and “3” above shall not apply to current new periodicals and newspapers and current news section of other periodicals.]

III. Prohibitions as to I and II Above

Notwithstanding any of the above, the following shall be prohibited:

- Copying shall not be used to create or to replace or substitute for anthologies, compilations or collective works. Such replacement or substitution may occur whether copies of various works or excerpts are accumulated or reproduced and used separately.
- There shall be no copying of or from works intended to be “consumable” in the course of study or of teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets and like consumable material.

Copying Shall Not:

- Substitute for the purchase of books, publishers’ reprints or periodicals;
- Be directed by higher authority;
- Be repeated with respect to the same item by the same teacher from term to term.
- No charge shall be made to the student beyond the actual cost of photocopying.

Research or Consulting with Outside Public or Private Entity, Policy on Reporting of

(BOT policy BR#07-55)

Faculty professional activities such as consulting or engaging in a research project for a public or private entity often is useful in maintaining and enhancing the faculty member's academic scholarship and competence. However, the primary responsibility of full-time faculty during the academic year is to the Connecticut State University System and their respective universities. The value of these outside activities is recognized both by the Collective Bargaining Agreement between the Board of Trustees and the CSUS-AAUP and by statute and regulation.

For the purposes of this policy, consulting shall be defined as the provision of services for compensation to a public or private entity by a member of the faculty or member of the faculty bargaining unit: (I) when the request to provide such service is based on such member's expertise in a field or prominence in such field, and (II) while such member is not acting in the capacity of a state employee.

For the purposes of this policy, research shall be defined as a systematic investigation, including, but not limited to, research development, testing and evaluation, designed to develop or contribute to general knowledge in the applicable field of study.

Faculty are expected to comply with the applicable provisions of the aforementioned Collective Bargaining Agreement, state statute and regulation. *As* such, no faculty member may engage in consulting agreement or research project that (A) inappropriately uses university proprietary information in connection with such agreement or project; (B) interferes with the proper discharge of his or her employment with the university; and/or (C) inappropriately uses such member's association with the university in connection with such agreement or project.

Each university shall establish internal operating procedures that shall ensure, to the extent possible: (i) the disclosure, review, and management of conflicts of interest relating to any such agreement or project; (ii) the approval of the chief academic officer of the university prior to any such member entering into any such agreement or engaging in any such project; and (iii) the referral of any failure to comply with the provisions of this policy or university procedure to the applicable disciplinary process outlined in the Collective Bargaining Agreement. Each university shall provide a report to the Office of the Chancellor of any such approved activities on or before May 1 and November 1 of each year. In addition, the Director of Internal Audit for the Connecticut State University System shall audit each university's compliance with the established internal procedures and this policy semiannually.

Central Connecticut State University
Office of the Provost and Vice President for Academic Affairs

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

Procedure:

1. This form must be submitted by full-time AAUP members for review by the Provost prior to engaging in outside consulting or research, in accordance with BOT policy BR#07-55.
2. A copy of the form indicating whether the outside activity is “in compliance” or “not in compliance” shall be returned to the faculty member.
3. A copy of this form shall be placed in the faculty member’s personnel file.

Name: _____

Academic Rank: _____

Department: _____

Description of Consulting Service or Research Project (attach additional pages if needed):

Name of Public/Private Entity

_____ **Dates of**

Engagement: _____ **to** _____

_____ **Faculty member’s Signature**

_____ **Date**

Provost/VP for Academic Affairs Approval: _____ **In Compliance/Not in Compliance**

_____ **Provost/VP for Academic Affairs Signature**

_____ **Date**

Sabbatical Leave

Information regarding the Sabbatical Leave Committee and its responsibilities and membership can be found elsewhere in this Handbook. However, this statement about the expectations of and criteria for a sabbatical leave proposal can answer questions about important considerations when composing a proposal.

A few points to consider are as follows:

Statement of purpose:

The purpose of sabbaticals are to allow faculty, counselors, and librarians to explore their interests, but that as stated in the Contract, the work proposed must be linked to a benefit for the University and must be scholarly or creative. Thus, it should be clear in the proposal that the applicant is intellectually interested in the proposed project and that the work proposed is "scholarly" or "creative."

It should also be clear why a whole semester's, or year's, sabbatical is necessary to do the project. A schedule of how the time will be spent is very helpful to indicate that the applicant has a well-considered plan. If the applicant is proposing to do research at another institution, it is helpful to append a letter or letters of invitation from faculty colleagues or directors of facilities at that institution. Letters of support from collaborators are also useful. Indeed, any supporting documentation included by applicants are read and considered carefully by the committee during their deliberations.

Statement of existing knowledge:

Applications should reflect typical standards for the professional writing of academics: citations to sources, reference lists, etc. Demonstrating awareness of previous research/work and placing the work proposed in the context of one's own previous and on-going scholarly and creative activities helps establish credibility and encourages the reviewers to make a judgment that the work described will be accomplished.

It should be clear that the applicant is academically qualified to carry out the proposed project. Related previous research or other experience should be mentioned, and if this is a new area of endeavor, it should be clear how it relates to the applicant's academic interests.

A statement should be made of the potential value of the study or project to one's professional growth and its potential value to the University, or its contribution to a particular field of knowledge.

Sabbatical proposals that include some tangible, scholarly and/or creative outcome tend to be ranked more highly than those that do not. This tangible outcome could be the development of new materials or information to be used in teaching, counseling, or by librarians in their work with the CCSU community. If the application includes a tangible outcome, it is helpful for the applicant to make it very clear exactly how these materials or information would be used in their teaching or other work. In the case of anticipated

publication, it is helpful to indicate with reference to the statement on existing knowledge how the proposed work is likely to constitute a publishable contribution, and to name specific scholarly journal(s) to which the research will be submitted, or to specify a publisher that has proffered a book contract.

While these considerations express the importance of adequate planning for the sabbatical leave, it is clear that valid sabbatical experiences do not always have a predictable, tangible outcome. Yet, if there are more proposals than can be approved, those with the strongest documentation of anticipated outcomes are likely to be ranked higher than those without such documentation.

Additional information:

None of the above statements is likely to fit in the space allocated on the sabbatical leave request and recommendation form. Most applicants append additional pages with these statements, or simply write "see attached" on the form and append the proposal.

Also, it is necessary that the application be reviewed by a departmental committee, and that the committee writes an appraisal of the value of the work. This is particularly important for faculty who are proposing to develop new courses or new programs during their sabbatical. The departmental committee should indicate how these courses or programs will serve the needs of the applicant's department, and how the department will support them. *Can the department accommodate the new courses? What faculty and facilities will be allocated to new programs? Are the proposals consistent with department, school, and University plans?* It may also be helpful to provide evidence of support from the applicant's academic school for the proposed courses and/or programs, and to explain how these will serve the needs of the school.

University Policies

Acceptance of Gifts

From time to time valuable gifts of money, real property, and personal property are offered to the University. The following statement is derived from the Board of Trustees Resolution #02-03 and establishes the policies and procedures you should follow when accepting a gift to the University.

All faculty and staff are required to report any gift to the Vice President for Institutional Advancement for acceptance in compliance with Board of Trustees Resolution #02-03.

The following procedure is established for acceptance of gifts to Central Connecticut State University:

1. All gifts of money of \$25,000 or less (including all forms of negotiable instruments or securities valued by the donor or, in the absence of valuation by the donor, by the university president at \$25,000 or less) may be accepted on behalf of the Trustees by the university president provided that in accordance with Section 10a-150 of the General Statutes such gifts are reported to the State Treasurer with a copy to the Chancellor or Chair of the CSU Board of Trustees.
2. All gifts of money of more than \$25,000 (including all forms of negotiable instruments or securities valued by the donor or, in the absence of valuation by the donor, by a university president at more than \$25,000) must be submitted to the Board of Trustees for acceptance and for notification of the State Treasurer as provided in Section 10a-150 of the General Statutes.
3. Any gift of personal property valued by the donor or, in the absence of evaluation by the donor, by a university president at \$25,000 or less may be accepted on behalf of the Trustees by the university president.
4. Any gift of personal property valued by the donor or, in the absence of evaluation by the donor, by a university president of more than \$25,000 or more shall be presented to the Trustees for acceptance.
5. In the case of gifts of personal property, pertinent to 3 & 4 above, value shall be confirmed by an appraisal by an independent and reputable appraisal organization or stipulated by the receiving university in the appropriate IRS tax document. In conformance with IRS regulations, no appraisal shall be required if the gift, as valued by the donor, is less than \$5,000. A university-generated receipt shall acknowledge the gift and the donor value.
6. All gifts of real property must be presented to the Trustees for acceptance after approval by the Commissioner of Public Works and the State Properties Review Board as required in Sections 4b-23 and 10a-150 of the General Statutes.

7. Any gift from a foreign source having a value of \$100,000 or more shall be reported by the CSU Chancellor to the Commissioner for Higher Education as required by the provisions of Section 10a-150b of the General Statutes.

ADA Reasonable Accommodation Procedure

The Americans with Disabilities Act of 1990 requires employers to provide “reasonable accommodation” to qualified individuals with disabilities who are employees or applicants unless to do so would cause an “undue hardship.” The term reasonable accommodation generally is any change in the work environment or in the way things are customarily done that enables a disabled employee to enjoy equal employment opportunities. The University must analyze each request for accommodation on a case-by-case basis and make a good faith effort to reasonably accommodate a qualified employee or applicant with a disability. As a general rule, the individual with a disability must inform the employer that an accommodation is needed since employers are only obligated to provide reasonable accommodation of known disabilities. Under the ADA, the employer and the employee must engage in an informal interactive process to clarify what the individual needs and identify the effective reasonable accommodation. The employer may ask questions about the nature of the disability and the individual’s functional limitations in order to identify an effective accommodation. Further, if the disability and/or need for an accommodation are not obvious, the employer may ask for more information including documentation to establish that the person has a disability and that it necessitates a reasonable accommodation. At its discretion, the University may require that the documentation about the disability and the functional limitations come from an appropriate health care or rehabilitation professional.

The employer is not required to provide the reasonable accommodation that the individual requests. Rather, the employer may choose among reasonable accommodations as long as the chosen accommodation is “effective,” i.e., it would remove a workplace barrier, thereby providing the individual with an opportunity to perform the essential functions of the position. The employer may choose a less expensive or burdensome accommodation among available effective reasonable accommodations.

Reasonable accommodation process

1. Initiation of the Request for Reasonable Accommodation

In order for the University to analyze each request for accommodation, the requesting employee or job applicant should complete the attached two forms, the “**Reasonable Accommodation Request Form,**” and the “**Health Care Provider Release Form.**” When deemed necessary by the University, the employee or job applicant must provide current documentation from a health care provider regarding the nature of the disability and need for accommodation.

The employee/job applicant seeking a reasonable accommodation must complete these forms and provide them directly to the University’s ADA Coordinator: **Moises Salinas, Chief Diversity Officer, 1615 Stanley St., New Britain, CT 06050, (860) 832-3104, salinasm@ccsu.edu.**

The request for accommodation should include current documentation from a health care provider (if required by the University) that:

- States the nature of the disability in order to establish that the individual has a mental or physical impairment that substantially limits a major life activity, has a record of such an impairment, or is regarded as having such an impairment.
- Explains the functional limitations the employee has as a result of their disability as it relates to the job duties.
- Suggests accommodations that would remove the barriers to the employee/applicant's ability to perform the essential functions of the job.

2. Essential Job Function Analysis Conducted by the University and Determination of the Request for Reasonable Accommodation

The ADA Coordinator will contact the Department or Unit and conduct an essential job function analysis. The University retains the right to establish the essential job functions of the position for which a request for accommodation has been made.

After the above information has been received, the following steps will be taken:

- A review by a University-designated health professional may be required to substantiate that the employee has a disability and needs a reasonable accommodation.
- If appropriate, a meeting may be held with the employee, ADA Coordinator, and management/supervisory personnel from the department to discuss the employee's limitations as they relate to the essential functions of the job and to discuss various options in regard to accommodating the employee.
- The University Administration retains discretion to select an accommodation which is deemed to be effective in removing the workplace barrier that is impeding the individual with a disability giving due consideration to the preferences of the employee or applicant.

Any questions regarding this process should be directed to the University's ADA Coordinator.

[References: 42 U.S.C. §12101 *et seq.*; .29 C.F.R. § 1630.9]

Complaint Procedure

For complaints of alleged violations of the Americans with Disabilities Act, employees should refer to the CCSU internal complaint procedure established through the Office of Diversity and Equity at <http://www.ccsu.edu/AffAction/complaints.html> Revised October 2008

Confidential reasonable accommodation request form

To be completed by employee or job applicant requesting an accommodation. Send to: Moises Salinas, Chief Diversity Officer, Office of Diversity and Equity, Davidson Hall, Room 102, 1615 Stanley Street, New Britain, CT 06050

This form must be used by university employees and/or applicants for employment who believe they have a disability and wish to request a reasonable accommodation under the Americans with Disabilities Act (ADA) or other applicable State and Federal civil rights laws. By considering this request, the University does not consider or regard the person making the request as having a disability as defined by the ADA, the Connecticut Fair Employment Practices Act, or any other applicable law.

The purpose of this form is to assist the University in determining whether, or to what extent, a reasonable accommodation is appropriate for an employee or applicant for employment. This form **must** be maintained separately from the employee's personnel file and is a **confidential** document.

Fill out all sections that apply to you.

Name: _____ Date of Request _____

Job Title/Classification: _____ Phone #: _____

Supervisor's Name: _____ Phone #: _____

Department/Unit: _____

If job applicant, for what position are you applying? _____

1. Identify the physical and/or mental impairment(s) for which you are requesting an accommodation and expected prognosis/duration of the impairment(s).

2. Explain how the impairment(s) listed in #1 affects your ability to perform the essential function(s) of the job/job applying for.

3. List the accommodation(s) you are requesting.

4. Medical verification of impairment from my physician or health care provider (check the appropriate box):

I have enclosed the documentation for this request.

The disability and the need for reasonable accommodation is obvious and no medical documentation is needed. Explain:

I, _____, give Central Connecticut State University permission to explore coverage and reasonable accommodations under the Americans with Disabilities Act of 1990, and all applicable State and Federal laws. I understand that all information obtained during this process will be maintained and used in accordance with the ADA, including its confidentiality requirements.

Signature of Requestor

Date

To Be Completed By the ADA Coordinator

Accommodation Request is: Approved ____ Denied ____ Modified ____ (Explain below)

Comments:

Signature of ADA Coordinator

Date

Reviewed by:

Date:

Revised October 2008

HEALTH CARE PROVIDER RELEASE FORM

I, _____ (employee/applicant), give Central Connecticut State University permission to contact _____ (health care provider). I understand the reason for this contact is to advise the University about my functional abilities and limitations in relation to my job functions. I understand that the University will provide _____ (health care provider) with specific information about the position, including the essential functions and specific requirements. All information obtained from employee medical examinations and inquiries will be job-related and consistent with business necessity. All information obtained will be maintained and used in accordance with the Americans with Disabilities Act of 1990 confidentiality requirements, and all other applicable State and Federal laws.

Employee/Applicant Signature

Date

Affirmative Action/Equal Employment Opportunity Policy Statement

It is the intellectual and moral responsibility, but more importantly, the policy of the leadership of Central Connecticut State University to advance social justice and equity by exercising affirmative action to remove all discriminatory barriers to equal employment opportunity and upward mobility. Accordingly, the University, through this plan of affirmative action, will, with conviction and effort, undertake positively to overcome the present effects of past practices, policies or barriers to equal employment opportunity and to achieve the full and fair participation of women, African-Americans, Hispanics, and any other protected group found to be underutilized in the workforce or adversely affected by system policies or practices.

Thus, Central Connecticut State University will consistently review its personnel policies and procedures to ensure that barriers that unnecessarily exclude protected classes and practices that have an illegal discriminatory impact are identified and eliminated. The University will explore alternative approaches if any personnel practice is found to have a negative impact on protected classes and establish procedures for any extra efforts that may be necessary to achieve labor market parity.

Equal opportunity is employment of individuals without consideration of race, color, religious creed, age, sex, marital status, national origin, ancestry, mental retardation, genetic information, sexual orientation, physical disability, learning disability, past or present history of a mental disability, or criminal record, unless the provisions of Sections 46a-60 (b) or 86a-81 (b) of the Connecticut General Statutes are controlling or there is a bona fide occupational qualification excluding persons in one of the above protected groups. Equal employment opportunity is the purpose and goal of affirmative action under Sections 461 - 68-31 through 46a-68-74. The University will consistently review all practices and procedures to ensure full compliance with the spirit and letter of Section 46a-68j21 through 46a-68j-43 of the Administrative Regulations of State Agencies regarding Contract Compliance.

The Affirmative Action Plan provides a list of federal and state constitutional provisions, laws, regulations, guidelines and executive orders prohibiting or outlawing discrimination and identifying classes of persons protected based on race, color, religious creed, age, sex, marital status, national origin, ancestry, present or past history of mental instability, mental retardation, learning disability, or physical disability, including but not limited to blindness, except for a bona fide occupational qualification.

The role of affirmative action in each step of the employment process with regard to employment applications, job qualifications, job specifications, recruitment practices, personnel policies, job structuring, orientation training, counseling, grievance procedure, evaluation, layoffs and termination is detailed at the CCSU Office of Diversity and Equity website: <http://www.ccsu.edu/page.cfm?p=1333>. Clearly affirmative action and equal employment opportunity are immediate and necessary agency objectives for Central Connecticut State University. Additionally, we shall administer all terms, conditions and

benefits of employment in an equitable manner. We also recognize the continued underrepresentation of persons with disabilities and older persons in the work place, and will undertake measures to overcome the present effects of past discrimination, if any to achieve the full and fair utilization of such persons in the work force.

This policy of non-discrimination will not be limited to employment practices but will extend, as well, to services and programs provided by the University.

It is the policy of Central Connecticut State University that unlawful discrimination be prohibited. Consequently, it shall be a violation of University policy for any member of the University community to discriminate against any individual with respect to any terms, conditions, or privileges relating to employment or attendance at the University because of such individual's race, color, religious creed, sex, national origin, age, or any other conditions established by the law.

All executive, administrative, and supervisory personnel are expected to discharge their affirmative action responsibilities, in word and deed, consistent with this agency's objective of establishing and implementing affirmative action and equal employment opportunity.

The Affirmative Action Officer responsible for overseeing affirmative action and equal employment opportunity is Dr. Moises Salinas, Chief Diversity Officer, at Central Connecticut State University, Davidson Hall, Room 102, 1615 Stanley Street, New Britain, CT 06050 - Telephone No: (860) 832-1653.

Assurances Regarding Complaints of Discrimination and Sexual Harassment

CCSU assures any employee, applicant for employment, student, applicant for admission or any other person, including visitors, who feels aggrieved by some conduct on the basis of race, color, religious creed, age, gender, sexual orientation, national origin, ancestry, physical disability, learning disability, past or present mental disability, or criminal record, that through its Office of Multicultural Affairs, it will promptly address the complaint and make reasonable efforts to expeditiously effect a satisfactory resolution. In the same manner, prompt attention is assured any employee, applicant for employment, student, applicant for admission or any other person, including visitors, who feels aggrieved by some conduct that may constitute sexual harassment. The investigation of such complaints will be managed with appropriate sensitivity.

Retaliation is illegal. No individual who opposes an allegedly discriminatory act or practice shall suffer retaliation as a result of such participation. Complaints of retaliation may be filed within a reasonable time of the alleged retaliatory act with the Coordinator of Chief Diversity Officer or any manager not directly involved in the alleged retaliation who will then notify the Office of Diversity and Equity.

Bias Incident Response Procedure

The purpose of the Bias Incident Response Plan is to provide a timely and effective response to incidents of bias and prejudice; to improve the campus climate; to ensure accountability, and to provide advocacy for persons affected by bias motivated incidents. This procedure is not intended to violate the individual rights of any persons, including the rights guaranteed by the First Amendment to the United States Constitution.

Important: If you or another are injured or in any immediate danger, call 911 for assistance. If you witness or are the victim of a crime, notify the police at once (CCSU Police 832-2375).

I. Definitions

Bias Incident - an act of discrimination^[i], hate speech^[ii], harassment^[iii], or retaliation^[iv] by known or unknown offenders that occurs on the CCSU campus or property, and that one could reasonably conclude is directed at a member or group of the Central Connecticut State University community because of that individual's or group's actual or perceived age, color, creed, disability, ethnicity, ex-offender status, gender, gender identity/presentation, marital status, national origin, race, religion, sexual orientation, veteran status, or any combination of these or other related factors.

Critical incident - Critical incidents are those situations that might present a risk of significant bodily harm, property damage, legal issues, or media notification, and that require immediate action beyond the scope of a normal bias investigation.

Hate Crime - Connecticut's hate crime laws are in two broad categories. First, there are a number of laws aimed specifically at hate (e.g., Deprivation of rights. Desecration of property. Cross burning). However, other actual *criminal offenses* may also be hate crimes if motivated, in whole or in part, by the offender's bias toward the affected individuals' status. Various elements, alone or in combination, determine whether or not a crime is a hate crime. All hate crimes are bias incidents, but not all bias incidents are hate crimes. The CCSU Police Department is responsible for investigating all reports of crimes - including alleged hate crimes. The CCSU Police may also involve other police agencies at the state or federal level depending upon the seriousness of the crime. The Office of Student Conduct will also investigate if the alleged offender is a student.

Victim/Person Affected - Not all persons affected by an incident will consider themselves victims. Many will, however, so the terms are interchangeable depending on the situation. Individuals affected by a bias incident are not always limited to those individuals or institutions directly targeted by the crime. For example, racist graffiti or vandalism on campus may target an entire population without actually damaging any of their individual property. While in this case, damaged university property belongs solely to the institution, indirect affected persons of such incidents are also the individuals whose status is evoked in the racist message. This Plan will advocate for persons affected by bias incidents, and also track bias incidents that are not perpetrated against any particular individual if such

incidents generate an indirect, but unequivocal impact on the individuals or populations at risk (e.g., defacing of public property, burning down of student property, destroying certain books in a library, altering of road-side signs).

Complainant - Any individual reporting an alleged bias incident.

Report Recipient - Any faculty or staff member who receives a report or becomes aware of a bias incident.

II. Reporting an incident

There are three ways that incidents can be reported: 1) by the affected individual(s); 2) by a Third Party; 3) by a Report Recipient.

1) Report by the affected individual(s): CCSU encourages all members of the campus community who believe they are affected individual(s) of a bias motivated incident or crime to immediately report the incident to the Office of Diversity and Equity and, in the case of hate crimes, to the University Police Department. Although reporting is not required, it is strongly encouraged. Immediate reporting is an important factor in successful investigation and in order to take prompt corrective actions. When the report is made, the affected individual(s) must complete a Bias Incident Report Form (Attachment A). As soon as is practically possible, the Chief Diversity Officer or his designee will initiate the Bias Incident Report protocol (See flowchart, Attachment B).

2) Report by a Third Party: Any member of the university community can file a third party report to the ODE regarding a potential bias motivated incident, or, the case of a hate crime, to the CCSU Police. Even if the affected individual(s) does not wish to come forward, a report is encouraged, as it can provide useful information for protecting the community-at-large and connecting similar reports while protecting the affected individuals' anonymity.

3) Report Recipient: When the affected individual(s) or a witness to a bias incident reports it to a faculty or staff member or another student, that person becomes a **Report Recipient**. He or she should contact the Office of Diversity and Equity and complete a Bias Incident Report Form (Attachment A). As soon as is practically possible, the Chief Diversity Officer or designee will initiate the Bias Incident Report protocol (See flowchart, Attachment B). The Report Recipient may also determine that it is appropriate to contact others, such as a Department Chair, or the University Police in the case of an alleged hate crime.

III. The bias incident response protocol

The Bias Incident Response Protocol provides a means for responding in a timely and effective manner to bias motivated incidents at CCSU. The Office of Diversity and Equity (ODE) manages this process.

When a bias incident or hate crime is reported, the ODE will determine if it constitutes a **critical incident**, and immediately notify the Office of the President, the Executive Committee and the Marketing and Communications Office. Marketing and Communication shall issue a communiqué as soon as possible to notify members of the CCSU community and the media about the incident. *All questions from the media regarding bias incidents or hate crimes are coordinated by the Office of Marketing and Communications.*

The ODE will then notify those university offices/officials deemed appropriate. These may include:

- University Police Department
- Counseling and Wellness Center
- University Ombudsperson
- Office of Student Affairs
- Human Resources
- Office of Student Conduct
- Faculty Senate
- Student Government Association officers
- Women's Center

Within 24 hours of receipt of a Bias Incident Report, the Chief Diversity Officer will convene an Ad Hoc Response Committee, to include the Director of Marketing and Communications, the University Ombudsperson, and other appropriate university officials determined on a case by case basis. The Response Committee will determine the appropriate action, including the development of an Action Plan, if needed. In the case of Critical Incidents, action plans must be approved by the President. Depending on the circumstances, investigations of the incident might be carried out by the ODE, the Office of Student Conduct, and/or the CCSU Police Department.

The ODE will notify the person who filed the report of the recommended action by the ad hoc committee.

The University Ombudsperson will be the main contact person for the affected individual(s) in the incident.

IV. Assistance for affected individual(s)

The University's highest concern is for the emotional and physical well being of persons affected by a bias motivated incident or hate crime. The person(s) affected shall have access to all university services that can help them maintain emotional and psychological well-being and provide for their safety. For example, affected students may require assistance in changing their academic program or living arrangements if these changes are reasonably

available. The ODE (2-1653) will be the first official point of contact for facilitating affected individual(s) access to all needed services.

Role of the ombudsperson

The University Ombudsperson will neither investigate nor adjudicate complaints relating to a bias motivated incident or hate crime. In the event of a bias incident report, the University Ombudsperson will be notified by the Office of Diversity and Equity, and will serve as the direct contact between the affected individual(s) of the incident and the Ad Hoc Response Committee. The ombudsperson will make every effort to contact the affected individual(s) within 24 hours and, while respecting whatever decision they have made, he will encourage them to get some type of assistance.

The Ombudsperson will also ensure that other appropriate services are made available to the affected individual(s). These may include, but are not limited to:

- * Informal mediation efforts as appropriate.
- * Referral to the Counseling and Wellness Center to meet with a counselor who will provide additional emotional support and assist the affected individual(s) in sorting out feelings associated with the incident.
- * If Appropriate, referral to the Women’s Center
- * Appropriate medical referral, if needed.
- * Referral to the appropriate university offices for advice on discrimination complaint procedures, contractual remedies, alternative housing assignments, or academic assistance.

Contacts

Office of Diversity and Equity.....	832-1653
CCSU Police.....	832-2375
Counseling and Wellness Center.....	832-1945
Office of the Ombudsperson.....	832-2216
Human Resources.....	832-1751
Office of Student Conduct.....	832-1667
Academic Affairs.....	832-2228
Student Affairs.....	832-1601
Chief Administrative Officer.....	832-1776
Student Government Assoc.....	832-3740
Women’s Center.....	832-1655

Bias Incident Report

Instructions: If you have been a person affected by or a witness to a bias incident, please complete and submit this Report to the Office of Diversity and Equity. The filing of a Bias Incident Report is taken seriously, and by submitting a report, you are attesting that the information provided is true and correct to the best of your knowledge. Submitting information about bias incidents is important. It provides the notice necessary for CCSU to accurately monitor and appropriately respond to activity that negatively impacts the climate and well-being of our academic community. Thank you for taking the time to complete and submit this report.

1. Individual reporting alleged bias incident (Complainant):

Name Department or Residence Hall Race/Sex

Campus address

Telephone Number E-mail address (Optional)

Are you the affected individual(s)? Yes _____ No _____

If No, please identify the affected individual(s) (if known) _____

2. University status of Complainant (s):

Student Faculty Staff
Consultant/Contractor Visitor

University status of Affected individual(s) (if known):

Student Faculty Staff
Consultant/Contractor Visitor

3. Date and time of alleged bias incident:

----- a.m./p.m.
 (month/day/year) (time of day)

4. Location of alleged Bias Incident (be specific) -----

5. Information about suspected offender (if known):

Name(s):

Address:

Telephone:

Relationship to affected
 individual(s):

University Status of suspected offender:

Other: -----

6. Type of Bias Incident (indicate all that apply):

Physical Attack

Verbal Attack

Graffiti

Intimidation

Vandalism

Property Damage

Discrimination

Sexual Harassment

Other: -----

7. Suspected Motivation of Bias Incident (indicate all that apply):

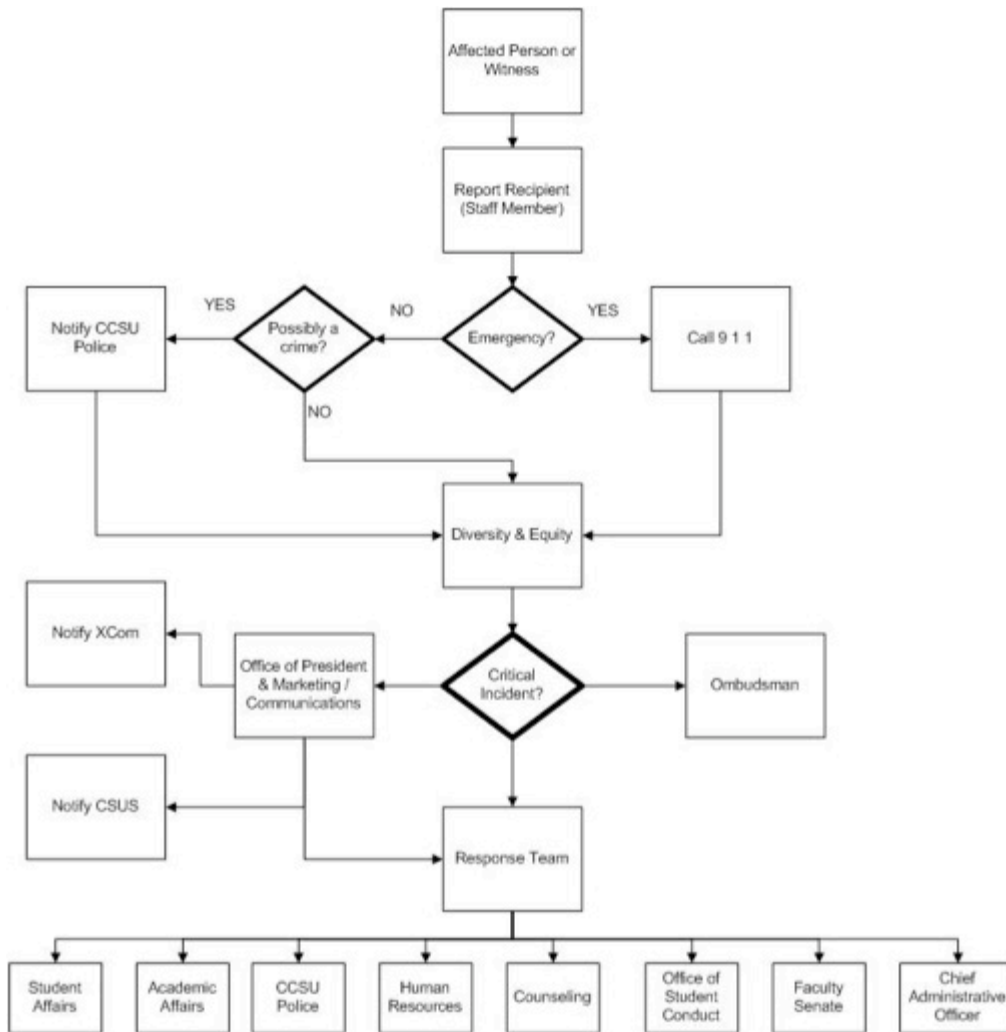
- | | | |
|--------------------|----------------|-------------------------------|
| Age | Marital Status | Retaliation |
| National Origin | Ethnicity/Race | Gender |
| Religion/Creed | Veteran Status | Ex-Offender Status |
| Sexual Orientation | Disability | Gender Identity or Expression |
- Other (please identify): _____

8. Summary of Bias Incident (Attach additional sheets as needed):

I affirm that the above information is true and correct to the best of my knowledge.

Signature of complainant _____ Date _____

FLOWCHART



[i] An act of discrimination is the treatment or consideration of, or making a distinction in favor or against, a person or thing based on the group, class or category in which that person or thing belongs rather than on individual merit.

[ii] Hate speech or fighting words are those personally abusive epithets which, when addressed to the ordinary citizen, are, as a matter of common knowledge, inherently likely to provoke a violent reaction. They are words that are directed to the person of the hearer, and which by their very utterance tend to incite an immediate breach of the peace. (See

Opinion of the Office of the Attorney General of Connecticut directed to David G. Carter, Sr. Chancellor, Connecticut State University System and dated November 1, 2007.)

[\[iii\]](#) Harassment is the chronic unwanted and unwelcome treatment of another that has the effect of interfering with an individual's work, educational performance or status or creates a hostile environment. It must include something beyond the mere expression of views, words, symbols or thoughts that some person finds offensive. The conduct must also be considered sufficiently serious to deny or limit a student's ability to participate in or benefit from the educational program or must be sufficiently severe so as to substantially interfere with a person's employment opportunities.

[\[iv\]](#) Retaliation is discrimination against an individual or group that has opposed any practice made unlawful or because the person or group has made a charge, testified, assisted or participated in any manner in an investigation, proceeding or hearing regarding another person or group's unlawful conduct.

Consensual Relationships between Employees of CSUS

The University's educational mission is founded on an atmosphere of mutual trust and respect between all members of the academic community. Faculty members, as well as those individuals upon whom the University confers managerial, supervisory, or evaluative responsibilities, carry a special responsibility to adhere to the highest ethical and professional standards and to avoid any actions that may appear to undermine this atmosphere of trust and respect and thereby hinder the University's educational mission.

Because of the inherent imbalance of power and need for trust, faculty members, supervisory staff, and those with evaluative authority should be aware that dating or sexual relationships that might be appropriate in other circumstances have inherent dangers when they occur between a supervisor and employee. Such relationships are susceptible to an appearance of exploitation and can impair the trust and integrity of the employment relationship. In addition, although these relationships may begin and remain consensual, they may easily be later characterized as non-consensual and could potentially lead to sexual harassment charges.

Connecticut State University strongly discourages romantic, dating or sexual relationships between employees with supervisory or evaluative authority and the employees that they supervise or evaluate. If a romantic or sexual relationship exists or develops between such individuals, the employee with supervisory or evaluative authority is required to excuse his or herself from participating in any supervisory or evaluative decisions regarding said employee. If that is not practical, then the employee with supervisory or evaluative authority is required to consult with the first appropriate manager in the chain of command who is not in any bargaining unit. The manager shall make arrangements for the unbiased supervision and evaluation of the employee. A case-by-case review shall be made by the manager and, in some circumstances, an employee may be transferred or reassigned.

Consensual Relationships between Employees and Students of CSUS

The University's educational mission is founded on an atmosphere of mutual trust and respect between all members of the academic community. Faculty members, as well as those individuals upon whom the University confers managerial, supervisory, or evaluative responsibilities, (including graduate assistants or undergraduate teaching assistants) carry a special responsibility to adhere to the highest ethical and professional standards and to avoid any actions that may appear to undermine this atmosphere of trust and respect and thereby hinder the University's educational mission.

Because of the inherent imbalance of power and need for trust, Codes of Ethics for most professional associations forbid professional-client sexual relationships. Similarly, faculty members, supervisory staff, and those with evaluative authority should be aware that dating or sexual relationships that might be appropriate in other circumstances have inherent dangers when they occur between a staff member and a student. Such relationships are susceptible to an appearance of exploitation and can impair the trust and integrity of the teaching, coaching, or other supervisory or evaluative relationship and may cause a perception of favoritism or bias on the part of the staff member. In addition, although these relationships may begin and remain consensual, they may easily be later characterized as non-consensual given the inherent power differential between the parties, and such relationships could potentially lead to sexual harassment charges.

Romantic, dating, or sexual relationships between an employee and a student over whom said employee exercises supervisory or evaluative authority is prohibited at the Connecticut State University.

In addition, Connecticut State University strongly discourages romantic, dating or sexual relationships between employees and students over whom said employee does not have supervisory or evaluative authority. Such relationships are not only susceptible to future conflicts of interest, but also may present the appearance of impropriety.

Drug-Free Workplace Policy

Central Connecticut State University is concerned about the health and welfare of all members of the academic community. Since our students represent Connecticut's most important resource, we want them to learn and study in an environment that encourages and supports a healthy lifestyle. We also have an obligation to provide support and encouragement so that our students, faculty, and staff can lead healthy and productive lives. It is important, therefore, to reiterate the University's policy on the use and abuse of drugs and alcohol, in accordance with the Federal Drug Free Schools Act and the Federal Drug Free Workplace Act.

- The University is strongly committed to a campus environment that supports the development of a healthy lifestyle for all members of its community.
- The abuse of alcohol and other drugs is inconsistent with the goals and values of Central Connecticut State University.
- The misuse of alcohol and other drugs leads to many other health risks. It is important to be fully aware of these risks. Materials on the health risks associated with alcohol and drug abuse are available at the Counseling and Wellness Center, University Health Services, and through The Lexington Group employee assistance program.
- The University provides support, information, and assistance for employees and students through a network of informal and formal services, including the Counseling and Wellness Center, University Health Services, Campus Ministries, the student Natural Helpers, and The Lexington Group employee assistance program.
- In accordance with the Federal Drug-Free Workplace Act, it is the policy of the University that while on the job or in the workplace, employees shall not unlawfully manufacture, distribute, dispense, possess, or use a controlled substance, or be under the influence of a controlled substance not prescribed by a physician. In accordance with the Act, employees must notify the Chief Human Resources Officer within five (5) days of a conviction of a criminal drug statute if the violation occurs in the workplace.
- The legal consumption of alcohol is permitted only in designated sites on the campus and in accordance with University policy. Alcohol consumption is prohibited in faculty and staff offices.
- Students are prohibited from using, possessing, purchasing, selling, or distributing alcoholic beverages in buildings or on the grounds of the campus, except as expressly permitted by law and University regulations.
- Illegal (underage) consumption of alcohol is prohibited in buildings or on the grounds of the campus.

Employees and students who violate these policies are subject to University sanctions, disciplinary action, and/or civil and federal penalties. Copies of state and federal penalties

for possession and distribution of controlled substances are available at the Counseling and Wellness Center, the Human Resources Office, or the Public Safety Department. The Counseling and Wellness Center (Marcus White Hall, Room 205, x21945) serves as the primary campus resource for students seeking information and personal assistance for substance abuse. Employees should contact CCSU's employee assistance provider, The Lexington Group, Inc. at 1-800-676-4357.

Electronic Monitoring Policy

There are several information technology devices in use in the CSU System. These devices are the property of the State of Connecticut and use thereof by the user is restricted to the performance of official State business or activities approved through the collective bargaining process. Information related to usage and utilization of these devices and the overall CSU system technological environment is constantly being collected.

The Connecticut State University System information technology infrastructure includes a telephone system, a communications network, Internet access, computer servers and computer workstations. Information related to the usage of this infrastructure is collected and logged. All users of these devices are hereby advised and notified that these devices produce data and reports related to information stored, sent and retrieved for the purposes of recording usage and utilization. While system personnel do not review the contents of this material except when necessary in the course of the discharge of official duties and as permitted by law, each user should know and is hereby notified that all such information is subject to subpoena, discovery, the Connecticut Freedom of Information Act and such other disclosure processes as may be authorized by law.

This notice is issued pursuant to the provisions of Public Act 98-142.

State of Connecticut Electronic Monitoring Notice

Pursuant to the requirements of Public Act 98-142, An Act Requiring Notice to Employees of Electronic Monitoring by Employers, state employees should recognize that their work activities and communications may be subject to electronic monitoring.

“Electronic monitoring” is defined by the Act as “the collection of information on an employer’s premises concerning employees’ activities or communications by any means other than direct observation, including the use of a computer, telephone, wire, radio, camera, electromagnetic, photo-electronic or photo-optical systems, but not including the collection of information for security purposes in common areas of the employer’s premises which are held out for use by the public, or which is prohibited under state or federal law.”

Employees may be subject to electronic monitoring or recording (including sound, voice or video devices) while in State facilities and other locations where State business is conducted, except that employees will not be subject to any such monitoring or recording in areas designed for the health or personal comfort of the employees or for safeguarding of their possessions, such as rest rooms, locker rooms or lounges.

Employees should understand that their activities involving State computer equipment and computer and/or electronic documents, data and communications, including e-mail and internet usage, are subject to being monitored, recorded and reviewed. Employees should be aware that the fact that a document, data or

communication has been “deleted” by the employee does not mean that the item cannot be monitored or retrieved and reviewed.

Employees will not be subject to electronic monitoring or recording of the content of their direct telephone conversations, except as may be permitted under state and federal law. (10/98)

Email as an Official Correspondence Policy

A. Purpose of this Policy There is an expanding reliance on electronic communication among students, faculty members, and other employees throughout the CSUS motivated by the convenience, speed, cost-effectiveness, and environmental advantages of using email rather than printed communication. Because of this increasing reliance and acceptance of electronic communication, email will, from this point forward, be considered an official means for communication within the CSUS. Therefore, official notifications may be communicated via email.

No section of this policy is intended to supersede language or agreements reached pursuant to existing collective bargaining agreements.

B. Scope This email policy is not inclusive of all aspects of email, rather it provides guidelines regarding email as an official means of communication including:

- University and CSUS office use of email;
- Assignment of email addresses;
- Use of and responsibilities associated with assigned email addresses; and
- Expectations regarding use of email.

C. Policy

1. *University and CSUS office use of email:* E-mail is an official means for communication within the CSUS. Therefore, the universities and the System Office will send communications to students, faculty, and other employees via email and will expect that those communications will be received and read in a timely fashion.

2. *Assignment of email addresses:* The information technology department at each CSUS university and at the System Office will assign each system employee and student an official email address. It is to this official address that the universities and the System Office will send email communications. This official address will be the address listed in the University's Global Address List found in the Exchange/Outlook Address Directory and will be the official email address included with personal information within the administrative computing system.

3. *Redirecting of email:* Faculty and staff members will not be allowed to enable automatic email redirection to another email address. Those persons who use manual email redirection from their official address to another email address (e.g., @aol.com, @hotmail.com) do so at their own risk. It is the responsibility of the individual faculty or staff member to take whatever steps may be necessary with his or her personal email account to allow for the receiving of email forwarded from the official CSUS email account. These steps may include, but are not necessarily limited to, adding the official email address to a „safe-senders“ list and/or adjustment of any spam filters. Redirecting email does not absolve anyone of any responsibilities associated with communications sent to his or her official email address. The University will not be responsible for the handling of email by outside email providers.

4. *Expectations regarding use of email:* It is recommended that faculty members check their email at least as often as their most frequent class meets, in recognition that certain communications may be time-critical. Other employees should check their email regularly consistent with their work patterns.

5. *Educational uses of email:* Faculty members may determine how email will be used in their classes. It is strongly recommended that if faculty members have email requirements and expectations, they communicate such to their students by specifying these requirements in their course syllabi.

6. *Appropriate use of email:* In general, email is not appropriate for transmitting sensitive or confidential information unless an appropriate level of security matches its use for such purposes.

- The confidentiality of student records and information is protected under several federal and state laws, including the Family Educational Rights and Privacy Act of 1974 (“FERPA”), the Gramm-Leach-Bliley Act (“GLBA”), and various statutory protections relating to health and counseling records. All use of email, including use for sensitive or confidential information, must be consistent with applicable law.
- While members of the CSUS community are encouraged to utilize electronic mail, it is expected that email will be utilized in a responsible manner, and that users will exhibit common sense, common decency, and civility. While debate concerning controversial issues is to be expected and encouraged, email discourse should not become a vehicle for intimidation and harassment.
- Users of electronic mail should be aware that CSUS is a public agency subject to the Connecticut Freedom of Information Act and draft their email communications accordingly.
- Other forms of communication will be utilized if required by law or operationally preferred.

Future reviews The Council on Information Technology will review and revise this policy as needed. Staff and faculty members having questions or comments about this policy should contact the Chief Information Officer at their respective university or the System Office.

Effective Date: 08/01/2009

Ethics Code for Public Officials/State Employees

The Code of Ethics for Public Officials is set forth in Chapter 10 of the Connecticut General Statutes. Should you have a question regarding whether certain conduct constitutes a violation of the Code of Ethics, you should consult with your immediate supervisor, the Ethics Officer at your institution, or the Office of State Ethics. The Office of State Ethics is located at 18-20 Trinity Street, Suite 205, Hartford, Connecticut 06106-1660. The Office of State Ethics may be contacted by telephone at (860) 566-4472, by facsimile at (860) 566-3806, and by e-mail at ose@ct.gov. The Office of State Ethics maintains a website at "<http://www.ct.gov/ethics>."

A Guide to the Code of Ethics for Public Officials and State Employees is available at:

http://www.ct.gov/ethics/lib/ethics/publications/public_officials_guide_09_final.pdf

Ethics Statement of the Connecticut State University System (April 2006)

Purpose

It is important that members of the Board of Trustees of the Connecticut State University System and all Connecticut State University System employees conduct themselves with the highest degree of honor and integrity and understand that public service is a public trust. Ethical conduct in our relationships with each other, members of the public, our students, other state agencies, and private entities is of critical importance.

This Ethics Statement has been prepared pursuant to Section 1-83 of the Connecticut General Statutes, which mandates the development and implementation of an Ethics Statement by each state agency. It applies to the members of the Board of Trustees and to all employees of the Connecticut State University System. This Statement is intended to serve as a general guide to assist you in identifying and avoiding prohibited conduct. It does not contain a complete listing of prohibited conduct nor is it intended to replace or supersede the Code of Ethics for Public Officials (set forth in Chapter 10 of the Connecticut General Statutes), other applicable sections of the Connecticut General Statutes, or the regulations of the Office of State Ethics.

It is your responsibility to become familiar with the provisions of this Statement and comply with them. It is also your responsibility to maintain high ethical standards and alert your supervisor of any suspected violation of ethical standards, whether or not specifically described in this Ethics Statement. You should be aware that violations may result in the imposition of sanctions by agencies or systems external to the Connecticut State University System. Whether this occurs or not, the System retains the right to independently review and respond administratively to violations.

Definitions

1. A "business with which you are associated" means any sole proprietorship, partnership, firm, corporation, trust or other entity through which business for profit or not-for-profit is conducted in which you or a member of your immediate family is a director, officer, owner, limited or general partner, beneficiary of a trust, or holder of stock constituting five per cent (5%) or more of the total outstanding stock of any class. Neither you nor a member of your immediate family will be deemed to be associated with a not-for-profit entity solely by virtue of the fact that you or a member of your immediate family is an unpaid director or officer of such entity. The term "officer" refers only to the president, executive or senior vice president, or treasurer of such business.

2. A "gift" is defined as anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. Among the sixteen (16) exceptions to the definition of "gift" set forth in Section 1-79 of the Connecticut General Statutes, a "gift" does not include:

(a) A certificate, plaque or other ceremonial award costing less than one hundred dollars (\$100.00);

- (b) A rebate, discount or promotional item available to the general public (items such as pencils, ball point pens, note pads and similar items used as advertisement "give-aways" fall within this category);
- (c) Food or beverage or both, costing less than fifty dollars (\$50.00) in the aggregate in a calendar year, and consumed on an occasion or occasions at which the person paying, directly or indirectly, for your food or beverage, or his representative, is in attendance;
- (d) Admission to a charitable or civic event, including food and beverage provided at such event (but excluding lodging or travel expenses), at which you participate in your official capacity, provided such admission is provided by the primary sponsoring entity; and
- (e) Anything having a value of not more than ten dollars (\$10.00), provided the aggregate value of all things provided by a donor to you under this subsection in a calendar year does not exceed fifty dollars (\$50.00).

3. Your "immediate family" consists of your spouse, your children, and any dependent relatives who reside in your household.

4. "Necessary expenses" are necessary travel expenses, lodging for the nights before, of and after an appearance, speech or event, meals, and any related conference or seminar registration fees.

5. A "person" means an individual, sole proprietorship, trust, corporation, limited liability company, union, association, firm, partnership, committee, club or other organization or group of persons.

6. You have an interest that is in "substantial conflict" with the proper discharge of your duties as a public official or state employee if you have reason to believe or expect that you, your spouse or dependent child, or a business with which you are associated, will derive a direct monetary gain or suffer a direct monetary loss, by reason of your official activity.

You do not have an interest which is in substantial conflict with the proper discharge of your duties as a public official or state employee, if any such gain or loss accrues to you, your spouse or dependent child, or a business with which you, your spouse or dependent child is associated, as a member of a profession, occupation or group to no greater extent than any other member of such profession, occupation or group.

7. You have a "potential conflict of interest" when you would be required to take an action that would affect a financial interest of yours, your spouse, parent, brother, sister, child or child's spouse, or of a business with which you are associated (other than an interest of a de minimis nature), an interest that is not distinct from that of a substantial segment of the general public, or an interest in substantial conflict with the performance of your official duties.

Prohibited Activities

As a public official or state employee you may not:

1. Knowingly accept any gift from any person who: (a) is known to be a registered lobbyist or a lobbyist representative; (b) is doing business with or seeking to do business with the

System, your university or your department; (c) is engaged in activities which are directly regulated by the System, your university or your department; or (d) is a contractor prequalified under section 4a-100 of the Connecticut General Statutes. (A list of registered lobbyists may be found on the website maintained by the Office of State Ethics.) If an employee is offered a benefit from someone who is not a prohibited donor as described above (that is, a non-regulated donor), and the benefit is offered because of the employee's position with the System, the total value of benefits received from one source in a calendar may not exceed \$100.00.

2. Knowingly accept, directly or indirectly, any gift costing one hundred dollars (\$100.00) or more either from a state employee under your supervision or from your supervisor. Nor may you knowingly give such a gift. The prohibition against accepting such gifts applies also to members of your immediate family.

Enter into a contract with the state, valued at one hundred dollars (\$100.00) or more (other than a contract of employment as a state employee), unless the contract has been awarded through an open and public competitive process. This prohibition applies also to members of your immediate family and businesses with which you are associated. According to the Office of State Ethics, an immediate family member may not be hired as an independent contractor through special payroll unless there has been an open and public process.

4. Accept a fee or honorarium for an article, appearance, speech, or for participation at an event in your official capacity. However, you may accept payment or reimbursement for necessary expenses incurred for any such activity. If payment or reimbursement is received for lodging or out-of-state travel or both, you must report the payment or reimbursement to the Office of State Ethics within thirty (30) days of receiving such payment or reimbursement, unless the payment or reimbursement is provided by the federal government or another state government. You may also accept admission to, and food and beverages provided by the sponsor of, an in-state event that you attend in your official capacity and as a principal speaker.

Generally, if you are asked to participate in an event, speak, appear or write an article primarily as a result of your official position or authority, then it will be deemed to be in your official capacity. If, however, you have developed an academic expertise in a particular field and you are asked to participate in an event, speak, appear or write an article as a result of such expertise, then you are not prohibited from accepting a fee or honorarium. Note that these situations are very fact specific and you are encouraged to contact the Office of State Ethics, as necessary, for clarification and guidance. Note also that services for which compensation is claimed must be provided on your own time.

5. Use your official position for personal financial benefit, or the financial benefit of a family member or a business with which you, or a family member, are associated. Further, you may not use state time, personnel or materials, including telephones, computers, e-mail systems, fax machines, copy machines, state vehicles, and any other state supplies, for personal, non-state related purposes. You may refer to the System Office or your university's Computer Use Policy, as applicable, for information relating to hardware and

software use.

6. Engage in partisan political activities while on state time or use state funds, supplies, materials, equipment, vehicles or facilities for such purposes.

Conflicts of Interest

1. You may not have a financial interest or engage in a business or professional activity that is in substantial conflict with the proper discharge of your duties as a public official or state employee, nor may you take any official action in connection with a matter in relation to which you have a substantial conflict.

2. You may not accept any other employment that will impair the independence of your judgment in carrying out your official duties or induce you to disclose confidential information acquired by you in the course of performing your official duties. Accordingly, you should never accept employment with any consultant, contractor, appraiser or any other organization or individual that has a contract or other agreement with the Connecticut State University System or any System university without full exploration of any potential conflicts of interest.

3. In accordance with the "CSU Policy Regarding Nepotism in Employment," you should not play any role in hiring, promotion, demotion, or other personnel action affecting your relative (defined to include your father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, wife, husband, domestic partner, grandmother, grandfather, grandson, granddaughter, father-in-law, mother-in-law, sister-in-law, brother-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother or half-sister), nor should you take any action, directly or indirectly, to coerce, command, or require a state employee to improperly obtain an appointment for any individual to a position in state service.

You should be aware that your signing of certain documents may result in a violation of the State Code of Ethics if such action results in a financial benefit being received by a relative. Examples of such documents include personnel forms (including performance appraisals) and vouchers. Caution should be exercised, so that unintended violations do not occur.

4. You may not disclose, for financial gain, confidential information acquired by you in the course of performing your official duties or use such information to obtain financial gain for yourself, your spouse, your child, your child's spouse, your parent, your sibling or for a business with which you are associated.

5. You may not solicit or accept anything of value (including a gift, loan or promise of future employment) based on an understanding that your official action will be influenced thereby.

Procedure Governing Conflicts of Interest

If, in the discharge of your duties, you are required to take any action that would present either a substantial or potential conflict of interest, you must prepare a written statement,

signed under penalty of false statement, describing the matter requiring action and the nature of the conflict and deliver a copy of the statement to your immediate superior, who will assign the matter to another employee, or, if you have no immediate superior, you shall take such steps as the Office of State Ethics shall prescribe or advise. You may not take any official action whatsoever on a matter with which you have a substantial conflict of interest.

With regard to members of the Board of Trustees, the Chairman of the Board shall determine whether a trustee with a substantial or potential conflict may simply recuse him or herself from the proceeding in question, or if reassignment to another committee is necessary. If the Chairman is personally faced with such a conflict, he or she should deliver a written statement to the Office of State Ethics for guidance as to how to proceed.

Post-employment Activities

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

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

Review by Audit Committee of the Board of Trustees

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

Indemnification of Faculty, Employees and Certain Volunteers and Students in Damage Suits; Expenses of Litigation

On occasion, law suits or other legal claims are made against the University, its faculty and staff. In general, if the faculty or staff member named in the action has acted within the scope of his or her duties and the subject conduct was not wanton, reckless, or malicious, State statute requires the State to provide for the faculty or staff member's defense. The following statement is an abridged version of the applicable statute.

Section 10-235 of the Conn. General Statutes in summary provides:

The board of trustees of each state institution shall protect and save harmless any member of such boards, or any teacher or other employee thereof or any member of its supervisory or administrative staff employed by it, from financial loss and expense, including legal fees and costs, if any, arising out of any claim, demand, suit or judgment by reason of alleged negligence or other act resulting in accidental bodily injury to or death of any person, or in accidental damage to or destruction of property, within or without the school building, or any other acts, including but not limited to infringement of any person's civil rights, resulting in any injury, which acts are not wanton, reckless or malicious, provided such teacher, member or employee, at the time of the acts resulting in such injury, damage or destruction, was acting in the discharge of his or her duties or within the scope of employment or under the direction of such board of education, the Board of Governors of Higher Education, board of trustees, state agency, department or managing board; provided that the provisions of this section shall not limit or otherwise affect application of section 4-165 concerning immunity from personal liability.

Legal fees and costs incurred as a result of the retention, by the board of trustees of any state institution or by a teacher or other employee or any member of the supervisory or administrative staff, of an attorney to represent his or her interests shall be borne by said State, board of trustees of such state institution employing such other employee or supervisory or administrative staff member, only in those cases wherein the attorney general, in writing, has stated that the interests of said board, board of trustees or state agency differ from the interests of such member, and has recommended that such member, teacher, other employee or staff member obtain the services of an attorney to represent his interests and such member, teacher or other employee is thereafter found not to have acted wantonly, recklessly, or maliciously.

Inventory Policies & Procedures

It is the responsibility of all state employees to safeguard all State Property. Employees are responsible for all equipment assigned to them or requisitioned by them. Section 4-36 of the Connecticut General Statutes states "Each agency shall establish and keep an inventory account in the form prescribed by the Comptroller..."

To accomplish this, Department Administrators (Heads and Chairs) are responsible for providing the name of a department liaison person to the Property & Inventory Control Office to assist them with the physical inventory of all campus assets valued at \$1000 or greater. These liaison persons will be responsible for issues related to the inventory in their areas. Department Administrators and liaison persons will be given advance written notice of scheduled inventory date(s) along with a copy of their current inventory to review prior to the actual physical inventory. The appropriate Vice President or Chief Officer will be copied on all correspondence.

No equipment is to be removed from its assigned location without first obtaining your Department Administrator's signature on an Equipment Inventory Change Request form (interactive: can be filled out on-line, printed, and then mailed to the Inventory Control Office) or Off-Campus Equipment Loan form and forwarding it to Property & Inventory Control. These printable forms can be accessed here (<http://www.ccsu.edu/admaffairs/forms.htm>) or by contacting the Property & Inventory Control Office. Additionally, you should contact this office when you have any equipment, furniture, etc. to be moved or to designate for surplus or disposal. In addition, no University property is to be donated without the permission of Property & Inventory Control.

Stolen items must be immediately reported to the Campus Police and to Property & Inventory Control. Items deemed as "missing" during physical inventory and not located within 10 days will be referred to the Campus Police for review and can result in a department's inability to purchase equipment.

If you have any questions, please contact Property & Inventory Control at Ext. 22321.

Lactation Rooms Policy

Public Act No. 01-182, An Act Concerning Breastfeeding in the Workplace, requires that employers make reasonable efforts to provide "lactation rooms" with privacy for employees.

To that end, the following locations on campus have been identified for this purpose:

- the Women's Center located in the Student Center, and
- the second floor faculty lavatory in DiLoreto Hall.

Small refrigerators and comfortable chairs have been placed in these areas. We have attempted to provide as much privacy as possible.

NCAA Rules and Regulations

Central Connecticut State University is responsible for insuring that its various constituencies (e.g., University staff and faculty, student-athletes, alumni and friends) abide by NCAA rules and regulations. NCAA rules indicate that all alumni, friends, and employees of the University are categorized as "representatives of Central Connecticut State University's athletics interests." The NCAA stipulates that once an individual has been identified as a representative or "booster" of the University's athletic programs, he or she retains this status forever, even if the individual is no longer associated with the athletics program.

A representative of CCSU's athletics interests (i.e., a booster) is an individual or a business that:

- Is or ever has been a contributor to the Alumni, CCSU or any of the sport specific support groups
- Is or ever has been an employee of the University or is the spouse of an employee of Central Connecticut State University
- Has ever made a donation of any kind to CCSU's men's or women's athletic programs, including the purchasing of season tickets for any of CCSU's athletic programs
- Has ever helped to arrange or to provide summer employment for enrolled student-athletes or for prospects who have signed a National Letter of Intent
- Has ever assisted or have been requested (by the athletics department) to assist in the recruitment of students in grades 9-12 to participate in any of CCSU's athletics programs.
- Has ever assisted in providing any benefit to a CCSU enrolled student-athletes or their families
- Has ever been involved otherwise in promoting CCSU's athletics programs.

Extra benefits - what is an "extra benefit?"

The NCAA defines an extra benefit as any special arrangement by an institutional employee or a representative of the institution's athletics interest ("booster") to provide a student-athlete (or a student athlete's relative or friend) a benefit that is not generally available to other CCSU students and their relatives and/or friends. Therefore, please be aware of the following:

1. A student-athlete cannot accept anything from an employee of CCSU, a donor or any other athletics representative (e.g., use of a car, hair cut, clothing, gifts, money, tickets for any kind of entertainment, payment of long distance telephone calls).
2. A student-athlete cannot accept free or reduced cost room and/or board from any CCSU employee or representative of CCSU's athletics interests. This includes in New Britain, in the student-athlete's home city or any other location.

3. A student-athlete may not accept free or reduced cost storage room for personal belongings for the summer months from any CCSU employee or a representative of CCSU's athletics interests.
4. A student-athlete cannot accept free or reduced merchandise or services from any merchant unless that free or reduced cost item is also available to the general public.
5. A student-athlete cannot eat at a restaurant as the guest of an athletics representative for athletics purposes. Example, if the student is part of a class that is invited or a group (non-athletes) in the class, this would be permissible. If the student is being offered because they won their conference tournament that would be impermissible.
6. Members of the Department of Athletics staff or an athletics representative are not permitted to complete papers or type reports, papers, letters, etc. for a student-athlete.
7. A student-athlete cannot receive a special discount, payment arrangement or credit on a purchase (e.g., airline ticket, clothing), or service (e.g., laundry, dry cleaning, legal service) from an employee of CCSU or an athletics representative.
8. A CCSU employee or a representative of CCSU's athletics interests cannot provide a student-athlete with a loan of money, a guarantee of bond, the use of an automobile or the signing or co-signing of a note to arrange a loan, or pay or provide other compensation for work not performed or at unreasonable levels for work performed.
9. A CCSU employee or a representative of CCSU's athletics interests may not pay or provide the expenses (e.g., lodging, meals, transportation) incurred by friends or relatives to visit an enrolled student-athlete.
10. A CCSU employee or a representative of CCSU's athletics interests may not give gifts of any kind (e.g., birthday, Christmas) to a student-athlete or his or her friends or relatives.

Additionally, an athletics representative is prohibited from arranging for another individual to provide benefits for an enrolled student-athlete (or the student-athlete's relatives or friends), inasmuch as such activity constitutes a special arrangement by an athletics representative to arrange for an extra benefit not authorized by NCAA legislation. In this scenario, the individual providing the benefit also becomes an athletics representative of the institution. For example, if you (who are an athletics representative of CCSU) were to give the name of a car dealer, who happens to be a very good friend of yours, to the brother of a CCSU student-athlete who was looking to purchase a car and the brother purchased a car from that dealer at a highly reduced cost, you would have provided an extra benefit to the brother of a student-athlete and the dealer would become a representative of CCSU's athletics interests. Central Connecticut State University appreciates your loyal support and continued interest in our athletics program, but we need to emphasize that an inappropriate or inadvertent action on your part could jeopardize the eligibility of our enrolled student-athletes (loss of ability to play in competitions, loss of team membership, loss of scholarship, etc). On the flip side, if ever you have an issue with

a student-athlete, we ask that you do as you would with any other student inasmuch as sending them to the Judicial Officer, contacting the Head Coach, etc.

Always remember to **ASK BEFORE YOU ACT**. If you have questions regarding extra benefits or any other issues relating to your involvement with our student-athletes, please call CCSU's Office of Athletic Compliance, Amy Strickland, Associate AD/Compliance at (860) 832-3019.

Nepotism Policy

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

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

It is the policy of the CSU that relatives of persons currently employed by CSU may be hired only if they will not be working under the supervision of a relative, either directly or indirectly, or supervising a relative.

If two existing employees of CSU work together in a supervisory relationship, and become related, as herein defined, a case-by-case review shall be made. In some circumstances, one of the employees may be transferred or otherwise reassigned. Existing employees should not ordinarily be transferred or reassigned into a supervisory relationship with a relative. Exceptions will only be made when there is a management plan approved by the Chancellor or the President that is designed to eliminate the conflict of interest or the opportunity for favoritism.

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

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

Parking Facilities and Privileges

The following are the parking and traffic regulations for the campus and facilities of Central Connecticut State University. These regulations have been developed by the Central Connecticut State University Parking & Traffic Regulations Panel (hereinafter called the Panel), and are authorized by the president. The authority of the president and the Panel stems from Connecticut General Statute's § 10a-92.

The traffic regulations of the city of New Britain, the town of Newington, and the state of Connecticut may apply to some areas of the campus and will be enforced where applicable.

Registration and Permits

Authority for the enforcement of these regulations rests with the director of public safety and/or his or her agents.

General Requirement: All vehicles operated or parked on the campus at any time must display valid CCSU registration decals or hangtags. This applies equally to visitors and all members of the University community -- whether their association is full or part-time -- including University administrative and teaching faculty, staff members, and students. It also applies to all employees of vendors who will be using parking facilities on an ongoing basis.

Alternate Vehicle: In the event a registrant must use another vehicle, e.g., one that is not registered with the University Police Department, the individual must obtain a temporary parking permit from the Campus Police to avoid penalties. This same process is necessary for hangtag users who fail to transfer the hangtag from one vehicle to another. Failure to do so will render the registered owner liable for all campus parking violation notices issued.

Fraudulent Registration or Improper use of Hangtag: Either of these acts may result in the loss or alteration of parking privileges on the University campus. These acts may also result in the towing of the fraudulently registered vehicle and the application of such criminal sanctions as are authorized in the Connecticut General Statutes.

Types of Permits

Faculty/Staff Parking Permits: Faculty and staff members must register individually with the University Police, rather than by vehicle. Any vehicle owned or operated by a faculty staff member must display the hangtag issued to that faculty or staff member. Only one hangtag will be issued for each faculty or staff member parking on campus. The faculty/staff parking hangtag entitles **ONLY** the registrant to park in all designated faculty, staff and student parking areas and any other legal parking areas that are not otherwise restricted. **NOTE:** Graduate Assistants and student employees are ineligible to receive these permits and must apply for Student Parking Permits. Cars parked in lots designated for faculty/staff parking that do not display a valid hangtag may be towed.

Faculty/Staff Parking Permits from all other Connecticut State University system institutions shall be honored on this campus.

Handicapped Permits: Either of the below listed Handicapped Parking Permits entitles the bearer to park in all spaces reserved for handicapped parking and in any legal parking space (except for Reserved spaces) in all parking lots, as long as they are physically able to exit the vehicle within the confines of the designated space.

Temporary: Any person, with a temporary disability, who requires special parking may obtain a Connecticut Temporary Handicapped Parking Permit and Impairment Certificate for a modest fee from the State Department of Motor Vehicles (DMV) as authorized under Section 14-253a of the Connecticut General Statutes and Public Act 86-103. These forms are available at the University Police Dept. and the permits are issued on the spot at the DMV (after required signatures are obtained).

Permanently disabled students, faculty or staff members with severe mobility problems may obtain State Handicapped Parking Permits from the Connecticut Department of Motor Vehicles.

Visitors: All visitors and guests must register with the University Police Department prior to parking on campus. A temporary parking permit will be issued. Similarly, vendors will be issued special temporary Vendor permits.

Where deemed appropriate, Campus Police may allow other departments to issue Visitor parking permits. Visitors should park in designated "visitor parking" spaces, if spaces are available.

Lost Decals or Hangtags: Lost or stolen decals or hangtags must be reported to the University Police Department immediately. The purposeful false reporting of any incident to the police (including the loss or theft of hangtags) is punishable under Connecticut law.

Transfer: Registration decals are issued for specific vehicles. They are not transferable. Hangtags, on the other hand, are issued to the individual and shall be displayed on the vehicle currently in use on the campus by the registrant.

Reserved Parking Policy:

Davidson Hall: Reserved parking for Davidson Hall is the responsibility of the Office of the President.

Individual Parking Spaces: Only those individuals holding the rank of Dean or above, as well as the Director of Public Safety and those public safety personnel approved by the Director (Police Lot only), are entitled to individual reserved parking spaces. Additionally, other individuals previously granted this privilege may retain it until they are no longer in their positions. At that time, these parking spaces shall revert to "general" parking. No other individual reserved parking spaces will be authorized.

Special Purpose Reserved Parking Spaces:- The Panel is empowered to assign reserved parking for certain vehicles or uses. Requests must be made in writing to the Director of

Public Safety and will be considered at the next Panel meeting. People are advised that the Panel will be extremely conservative in granting these requests.

Special Event Parking

General: The University Police are authorized to handle requests for special event reserved parking requiring twelve (12) or fewer parking spaces. Requests for a greater number of reserved parking spaces must be approved by the Office of the President.

Large Scale Events: Events scheduled by the Office of the President, as well as other large scale events scheduled through the Office of the Chief Administrative Officer, will be coordinated by event sponsors with the University Police.

Notice to University Community: Whenever time permits, the University Police will post notices of all reserved parking arrangements on the CCSU website (Parking) at least forty-eight (48) hours in advance of the function or event.

Definitions:

Motor Vehicle - Any vehicle so defined by Section 14.1 of the Connecticut General Statutes.

Owner - The owner of the vehicle, according to the Department of Motor Vehicles.

Registrant - The student, faculty member, or staff member to which a parking permit has been issued. This also refers to any co-registrants; for example, a registrant's spouse who is also employed at the University.

Snow Emergency - A situation in which winter weather conditions require snow removal and/or sanding operations on the campus. Under such conditions, parking will be banned in all open lots.

The responsibility to find a valid and lawful parking space rests with the vehicle operator. A lack of adequate parking space shall not constitute an excuse for violation of these regulations. Vehicles parked in violation of these regulations may be **TOWED AT THE OWNER'S EXPENSE.**

Pre-Employment Background Verification Policy

Introduction/Purpose

The Connecticut State University ("CSU") System and its four universities value their reputation for honesty and integrity. Therefore, in order to ensure the hiring of employees of the highest integrity and to maintain a safe university community, the CSU System and its four universities will conduct pre-employment background investigations on all individuals for whom employment is to be tendered. This policy sets forth the requirements and guidelines for performing such background investigations.

Policy

All regular, full-time and part-time external candidates for employment with a CSU university or the CSU System Office, as well as potential re-hires with a break in service, must undergo a pre-employment background investigation according to this procedure as part of the employment screening process. Full-time and part-time employees including University Assistants, Lecturers and other temporary and contracted employees are covered by this policy.

No external employment candidate may begin work for the University or the CSU System until the appropriate screenings have been completed. The background investigation may reveal certain information that may disqualify the candidate from further consideration for the position. Special circumstances may, on occasion, require an applicant to start work before all pre-employment background checks are completed. Such exceptions may occur only with prior approval by the Chief Personnel Officer at the University, or by the Chief Administrative Officer or Executive Officer for Human Resources at the CSU System Office. Written notification will be sent to the applicant that continued employment is contingent upon completion of a pre-employment background investigation acceptable to the university or the CSU System Office. Elimination of a candidate from consideration for hiring on the basis of information revealed by the background investigation must be reviewed and approved by the Chief Personnel Officer at the university, or by the Chief Administrative Officer or Executive Officer for Human Resources at the CSU System Office. Access to the background investigation shall be limited to the President and the Chief Personnel Officer or their designees at the University or the Chancellor, Chief Administrative Officer or Executive Officer for Human Resources at the CSU System Office.

Procedure

The CSU System has selected an approved background investigation vendor. All universities within the CSU System will utilize a background investigation vendor approved by the CSU System for pre-employment background investigations and shall comply with this procedure.

1. Notification & Authorization

Candidates will be informed during the pre-employment process that selection is subject to completion of a background investigation acceptable to the university or the CSU System Office. Applicants who have been designated as finalists for positions will be required to complete a consent form, which requests specialized information for use by the approved background investigations vendor, and an application for employment. The Chief Personnel Officer or designee at the university, or the Chief Administrative Officer or

Executive Officer for Human Resources at the CSU System Office, will initiate all background investigations.

2. Collecting Background Information

Before awarding the position, the University or CSU System Office will conduct the following pre-employment background check on all candidates:

- Social Security Verification;
- Prior Employment Verification;
- Education Verification (highest level);
- Residence Verification;
- Criminal Background Investigation - Local, State, & Federal;
- Sexual Offender Database Search.

In addition, candidates for designated positions may also be subject to the following additional types of checks, depending on the requirements of the position:

- Motor Vehicle Record;
- Professional Reference Checks;
- State/Federal Civil Litigation, Lien & Judgments;
- Credit Verification;
- Corporate Filing and Status Search;
- Media Search;
- Professional Licensing Check.

University and CSU System Office human resources departments will maintain a summary of job classifications and applicable categories of inquiry that may be amended as necessary by the university or CSU System Office as needs and requirements may evolve.

3. Use of Background Investigation Results

Listed below are examples of factors that may disqualify an applicant for employment (this is not an all inclusive list, merely examples):

- Inconsistency of information provided by the candidate versus that obtained by the background investigation. (Examples might include, but not be limited to, significant differences in prior employment dates, education obtained, or licenses held.)
- Omissions of significant information by the candidate. (Examples might include, but not be limited to, failure to disclose being dismissed for cause or loss of certifications qualifying the applicant for the position.)

Unsatisfactory information uncovered by the background investigation. (Examples might include, but not be limited to the following: Recent felony or misdemeanor convictions related to the position applied for; unsatisfactory job performance on a prior job; poor attendance or disciplinary problems on a prior job; record of moving violations (for a job requiring driving a University or state vehicle); credit history that would indicate an inability to manage finances or which would create undue personal financial pressure (for jobs handling management of significant financial resources).

4. Fair Credit Reporting Act ("FCRA") Compliance

The FCRA and the regulations promulgated there under are intended to give a candidate for employment the opportunity to correct any factual errors in his or her consumer report,

as defined in the FCRA, before an adverse employment action is taken. The candidate must be provided notice of any disqualifying information revealed by the consumer report, including, but not limited to, credit history information, and a reasonable period of time to correct discrepancies.

When the university or CSU System Office receives information in a consumer report that will disqualify a candidate from consideration, the university or CSU System Office will comply with the following FCRA protocol:

- The candidate shall be sent a letter notifying him/her that the University or CSU System Office has received disqualifying information from the consumer report.
- To the letter shall be attached a copy of the report and a summary of the candidate's rights under FCRA.
- The notification shall be sent to the candidate before any adverse employment action may be taken based on the consumer report.
- After five (5) business days, barring the receipt of any new information that changes or clarifies the consumer report and eliminates any discrepancies, the university or CSU System Office shall send the candidate a second letter rejecting his/her candidacy based on the disqualifying information generated by the consumer report.

5. Record Retention

All information obtained, as part of a background investigation, shall be held in strictest confidence. Documentation shall be retained for the appropriate retention period for employment records promulgated by the State of Connecticut and by university and CSU System Office personnel search policies and procedures. Such records shall not be included in an employee's personnel file. Unauthorized disclosure of information gathered through the background investigation will not be tolerated and may subject the discloser to disciplinary action.

6. Use/Review Criteria

a. Criminal Convictions: The universities and the CSU System Office will not knowingly hire applicants who have been convicted of job-related crime within the allowable reportable time period for reporting such offenses. This time period is normally seven (7) years. This also applies to those situations when the date of disposition, release, probation, or parole (whichever is most recent) relating to the crime occurred within the past seven (7) years.

Pursuant to Connecticut General Statutes Sections 46a-79 and 46a-80, in determining whether conviction of a criminal offense will disqualify an applicant for a particular position, the following factors will be considered:

- The nature of the offense and its relationship to the position;
- The degree to which the applicant has been rehabilitated; and
- The length of time elapsed since conviction.

Notification of rejection of employment will be sent via registered mail and will specifically describe the evidence presented and state the reason(s) for disqualification.

b. Pending Criminal Charges: If the university or CSU System Office becomes aware that the applicant has criminal charges that are currently pending, but no court disposition has yet been made, the university or CSU System Office shall assess the criminal charges on a case-by-case basis to determine if the charges are job-related.

Pursuant to Connecticut General Statutes Section 46-80(d), no record of arrest that was not followed by conviction, or record of conviction that has been erased, shall be considered in connection with an application for employment.

c. Accelerated Rehabilitation: The university or CSU System Office is not prohibited from considering accelerated rehabilitation or other alternative dispositions when evaluating an applicant. The university or CSU System Office shall consider the accelerated rehabilitation as it would a pending charge.

d. Motor Vehicle Records Check: Motor vehicle records which evidence a revoked or restricted driver's license, invalid driver's license, or traffic violations (including, but not limited to, alcohol-related violations) shall be reviewed as they relate to positions requiring driving duties and in conjunction with all other factors disclosed by the background investigation.

e. Credit History: An applicant's credit history shall be reviewed as it relates to jobs requiring financial responsibilities. An applicant's credit history shall be considered in conjunction with all other factors disclosed by the background investigation and alone shall not be a determining factor in denying employment.

Statutory/Administrative Regulation:

Fair Credit Reporting Act - Connecticut General Statutes, Sections 31-51i, 46a-79, 46a-80, 46a-80(d), 46b-146, 54-760, 54-142a

Responsible Function Area:

Office of Human Resources

Sexual Harassment Policy Statement

Central Connecticut State University is committed to providing a learning and working environment that emphasizes the dignity and worth of every member of its community, free from discriminatory conduct or communication. Sexual harassment in any form is inimical to this and will not be tolerated.

For the purpose of this policy statement, "Sexual Harassment" is defined as any repeated, unwelcome sexual advance, request for sexual favors or any conduct of a sexual nature when: 1) submission to or rejection of such conduct is made either explicitly or implicitly the basis, term, or condition of any individual's employment, or a factor in an individual's grade, evaluation, promotion or retention; or 2) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, offensive learning or working environment.

In determining whether alleged conduct constitutes sexual harassment, the University will look at the totality of circumstances, such as the nature of the sexual advances and the context in which the alleged incidents occurred. The determination of the legality of the particular action will be made from facts, on a case by case basis. The University will take immediate and appropriate corrective action based on the findings of each case.

It is the responsibility of the President of the University to maintain the University as a learning and working environment free of sexual harassment and intimidation. The Chief Diversity Officer has been designated as the coordinator of investigations of sexual harassment complaints. Deans, directors, department heads, chairpersons, and supervisors share responsibility for the implementation of the University policy in regard to sexual harassment in their units. Accountability for compliance with this policy, as with all other University policies, will be part of their regular performance evaluation.

All members of Central Connecticut State University's workforce are expected to conduct themselves in keeping with the policy of prohibiting sexual harassment.

Connecticut State University System Sexual Harassment Policy

SECTION 1. PURPOSE

The Connecticut State University System reaffirms and emphasizes its commitment to maintain a workplace and educational environment free from sexual harassment. Sexual harassment is reprehensible and subverts the mission of the university and will not be tolerated at the Connecticut State University System. It threatens the careers of employees, faculty and staff, and the educational experience of our students. The purpose of this policy is to prevent sexual harassment and to offer students and employees who believe they have been sexually harassed a means to redress any such claim with the goal of ending the harassment and providing an environment conducive to learning and working. Retaliation against an individual who complains about sexual harassment or who cooperates with an investigation of a complaint is unlawful and, if found to have occurred, will not be tolerated.

SECTION 2. STATUTORY AUTHORITY

Sexual harassment is prohibited by Title IX of the Education Amendments of 1972, Title VII of the Civil Rights Act of 1964, Section 46a-60 of the General Statutes of Connecticut and University policy. It is the intention of the CSU to take whatever appropriate action may be needed to prevent, correct, and if necessary, discipline behavior that violates this policy.

SECTION 3. POLICY STATEMENT

All members of the CSU community shall conduct themselves in an appropriate manner with concern, dignity and respect for others. The CSU community includes students, employees, and non-employees when they conduct business on CSU property. Sexual harassment may occur between staff and staff, staff and student, or student and student. Complaints of sexual harassment within the Connecticut State University System will be taken seriously and investigated. Any member of the CSU community who violates this policy is subject to the full range of disciplinary action. Sexual harassment, in some instances, need not be intentional to violate this policy.

In the event of a charge of sexual harassment, a defense based upon consent will be given little weight when the facts establish an employee/student or supervisor/employee relationship existed. Since any significant power differential between members of the CSU community makes voluntary consent questionable, members of the faculty and staff are expected to be aware of their professional responsibilities and avoid apparent or actual conflict of interest.

An individual with a complaint concerning sexual harassment has a right to be heard. By means of these procedures, the CSU ensures an opportunity for an individual (Complainant), without fear of retaliation, to express a complaint and to seek a prompt and equitable resolution while protecting the rights of the person against whom the complaint has been filed (Respondent). These procedures shall be available to any person who, at the time of the act complained of, was an employee, student, or applicant for employment or admission to the Connecticut State University System.

SECTION 4. DEFINITION OF SEXUAL HARASSMENT

"Any unwelcome sexual advance or requests for sexual favors or any conduct of a sexual nature when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of substantially interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working environment." In an academic setting, sexual harassment would also include any unwelcome sexual advances or requests for sexual favors or any conduct of a sexual nature when submission to or rejection of such conduct by an individual might affect academic or personal decisions that are subject to the influence of the person making the proposal.

The law currently recognizes three forms of sexual harassment:

1. Quid Pro Quo

Unwelcome sexual advances, request for sexual favors and other verbal or physical conduct of a sexual nature when:

- a. Submission to such conduct is made whether explicitly or implicitly a term or condition of an individual's academic work or employment; or
- b. Submission to or rejection of such conduct by an individual is used as the basis of employment or academic decisions affecting such individuals; and

2. Hostile Environment

a. Such contact affects or interferes with an individual's work or academic performance or creates an intimidating, hostile or offensive academic or working environment. Hostile environment sexual harassment involves speech or conduct that is directed at someone because of their gender and/or is conduct of a sexual nature. Such speech or conduct includes but is not limited to unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature.

b. Such speech or conduct is reasonably regarded as offensive and substantially impairs the academic or work opportunity of students, colleagues or co-workers. This policy shall not be interpreted so as to constitute interference with academic freedom.

3. Gender Harassment

a. Gender harassment is a form of sexual harassment, which consists of discriminatory behavior towards an individual based on gender. It includes the use of sexist language, illustrations, examples and gestures that demonstrate discriminatory behavior. Sexually related conduct forms the basis of a sexual harassment claim if a reasonable person of the same gender would consider the actions sufficient to interfere unreasonably with the academic and/or employment performance of the Complainant.

SECTION 5. EXAMPLES OF SEXUAL HARASSMENT

While it is not possible to list all conduct which may constitute sexual harassment, the following are some examples of conduct which may constitute sexual harassment depending upon the totality of the circumstances, including the severity of the conduct and its pervasiveness. Examples of sexual harassment may include but are not limited to:

1. Direct or unwanted proposition of a sexual nature.
2. Direct or implied threats that submission to sexual advances is a condition of employment, promotion, or advancement in grades, letters of recommendation, scholarships, or any related matter.

3. A pattern of conduct intentionally intended and/or which has the effect of humiliating another that includes examples of the following: comments of a sexual nature, sexually explicit statements, questions, anecdotes, jokes, pictures, or other written materials.
4. A pattern of conduct that would humiliate another (using the reasonable person standard) which would include the following: unnecessary touching, patting, hugging, or brushing against another's body, remarks of a sexual nature about a person's clothing or body, or remarks about sexual activity or speculations about sexual experiences.

SECTION 6. CONFIDENTIALITY

The Connecticut State University System is committed to taking corrective action when it becomes aware of a problem involving sexual harassment. Individuals are strongly encouraged to come forward with complaints regarding sexual harassment and to seek assistance from CSU officials. The CSU System cannot insure confidentiality upon receipt of a complaint of sexual harassment; however, dissemination of information relating to the case should be limited, in order that the privacy of all individuals involved is safeguarded as fully as possible to the extent permitted by law. The CSU System will enforce compliance with the non-retaliation provisions of this policy. A university or the System Office may proceed to investigate a complaint without the consent of the individual who originally filed the complaint.

The Student Affairs offices, Counseling Services or Women's Centers are available to provide assistance or referrals for individuals on the various CSU campuses who have complaints about sexual harassment. The designated administrators, counselors or staff members will support an individual with a concern regarding alleged sexual harassment to file a sexual harassment complaint but will, to the extent permitted by law, upon the individual's request, maintain the confidentiality of the information provided to the counselor.

SECTION 7. COMPLAINT PROCEDURES

The Connecticut State University System is committed to take reasonable care to prevent and correct any sexually harassing behavior or other forms of unlawful discrimination at the System Office and on its four university campuses. Complaints alleging a violation of this policy shall be resolved through established discrimination and sexual harassment procedures at each university and the System Office. Procedures for the handling of complaints involving claims of discrimination or sexual harassment are available through the Chief Diversity Officer at the university and the System Office. These procedures will allow for an informal resolution of the complaint. If the informal process is unsuccessful or if the Complainant wishes to bypass the informal process, he/she may file a formal complaint. Complaints should be lodged as soon as possible after the alleged incident, but not later than 180 days after said incident.

SECTION 8. ALTERNATIVE LEGAL REMEDIES

Nothing contained in the Policy is intended to deny any member of the Connecticut State University community the right to pursue other avenues of recourse in the event he/she believes that he/she has experienced sexual harassment. Such recourse may include filing

charges with a state or federal enforcement agency, or initiating civil or criminal action under state and federal law.

SECTION 9. DISSEMINATION OF POLICY

This Policy shall be conspicuously posted in the System Office. Each university shall ensure its dissemination in accordance with established practice. This policy shall appear in the student handbook and faculty handbook and shall be reviewed periodically for compliance with state and federal law.

FOR FURTHER INFORMATION ABOUT THIS POLICY OR INFORMATION REGARDING THE PROCESS FOR FILING A COMPLAINT, CONTACT THE Chief Diversity Officer.

Smoking Policy

Central Connecticut State University policy prohibits smoking in any building on campus. The sole exception to this policy is private residence hall rooms.

Members of the University community who wish to smoke may do so outside each building, yet must remain 25 feet from any doorway or corridor out of respect for non-smokers. Receptacles for smoking materials are provided.

Solicitation Policy

The University does not permit solicitation or sales of any nature on campus and is not responsible for any such representation. Solicitation by individuals, groups, non-campus organizations, including sales and the taking of orders for sales, except as related to the educational mission of the University or non-profit organizations authorized to solicit under Connecticut statutes in agencies of the state, is prohibited.

The University, its various departments, and recognized campus organizations are solely permitted to sponsor programs that may include solicitation and sales on the campus. The University shall stipulate conditions under which such solicitation/sales can take place. Students may request permission for solicitation/sales on campus from the Director of Student Activities and Leadership Development. All other requests for solicitation/sales on campus are to be directed to the Office of Institutional Advancement.

State Revenue Accounting

From time to time, or as part of your regular responsibilities with the University, you may receive cash or other forms of compensation for goods or services provided by the University. As an employee, you are obligated to comply with State statute which prescribes the time frames within which you must account for and deposit any receipts.

Connecticut General Statutes, Sec. 4.32 provides for the proper accounting of revenue received by state agencies. The statute reads:

Each state department, institution, board, commission or other state agency and each official and employee thereof, including the clerks of the Superior Court, receiving any money or revenue for the state, shall, within twenty-four hours of its receipt, account for and, if the total of the sums received amounts to five hundred dollars or more, pay the same to the Treasurer or deposit the same in the name of the state in depositories designated by the Treasurer under such regulations as the Treasurer prescribes. Total daily receipts of less than five hundred dollars may be held until the total receipts to date amount to five hundred dollars, but not for a period of more than seven calendar days. The Treasurer is authorized to make exceptions to the limitations herein prescribed upon written application from the head of any state department, institution, board, commission or other state agency stating that compliance would be impracticable and giving the reasons therefore. The Treasurer shall make a written statement of any such exception and shall file copies thereof with the Comptroller and the Auditors of Public Accounts.

All deposits are to be submitted to the Bursar's Office. The deposit must be accompanied by a completed Departmental Deposit Form. This form is available on Central's website at <http://www.bursar.ccsu.edu/forms.htm>

Travel Policies

There are a wide array of CCSU travel-related policies and procedures. These are available for viewing on the University Travel Office's website at http://www.finance.ccsu.edu/Travel_Office/policies/default.htm . If there are additional questions regarding the University's travel policies, the Travel Office can be contacted at 832-2548.

Workplace Injury Reporting

GAB Robins North America, Inc./MedInsights administers the State of Connecticut's Workers' Compensation Program.

GAB Robins provides a twenty-four hour Injury Hotline, telephone case management, utilization review, medical bill review and field case management through its wholly owned subsidiary, MedInsights, which is headquartered in Franklin, Tennessee. The claims reporting telephone number is 1-800-828-2717.

When an injury occurs at work and the injury does not require immediate emergency* medical treatment, please follow these steps:

- 1) An injured employee reports the workplace injury to his/her supervisor immediately. She/he seeks appropriate medical attention within the State's WCOMP managed care network. Please click on the links to view a **Provider Directory** (or call 1-866-348-3887) and a **Pharmacy listing**.
- 2) The supervisor must gather the facts regarding the incident - date, time of day, location, how the injury occurred and injury type.
- 3) The supervisor or the employee reports the incident to the Human Resources Department by calling Norma Rivera at x22305. A report form will be forwarded to the appropriate supervisor for review and signature. The supervisor will then report the injury to MedInsights (1-800-828-2717) to establish the claim in their automated system.

*In the event of an emergency, please dial 911 to access immediate medical treatment. Follow steps 2 and 3 above once emergency treatment has been sought.

Workplace Threats and Violence

Connecticut State University System

(Revised on July 17, 1998)

Introduction:

Recent events in Connecticut and throughout the country have highlighted the devastating effect that violence in the workplace and in our schools can have on the lives of employees, students and members of the community. The need for programs that will effectively address incidents of violence in the workplace has not been anticipated by many employers. The Connecticut State University System policy on workplace threats and violence is intended to ensure the safety and security of all employees, students and visitors to any Connecticut State System property. In addition to our policy, guidelines for implementation of the policy have been included. These are intended as benchmarks to assist in assessing the state of current practices in addressing such matters in each of our universities and in the System office.

As employers we have a moral and legal obligation to provide a safe workplace for our employees, students and visitors. However, we realize that it is not always possible to predict when a person will become violent nor is the appropriate course of action in a particular situation always readily apparent. The attached policy and guidelines, (developed and adapted from “Guidelines for Employers and Law Enforcement”, Bureau of Justice Administration), establish appropriate procedures and identify warning signs for potential violent behavior that alert employers specific actions should be initiated.

The policy requires that anyone who makes substantial threats, exhibits threatening behavior, or engages in violent acts on Connecticut State University property, shall be removed from the premises as quickly as safety permits. Determining what constitutes a “substantial threat” may be viewed as more difficult to assess than perhaps blatant behavior. A threat may be viewed as “substantial” if there is a high level of risk posed by the threat, both in severity and the likelihood it would be carried out, i.e. a death threat or physical harm. In the investigation of such threats the university should evaluate the level of risk and bring together all the necessary resources that are needed to address the situation. The development of a Threat Incident Report will insure that all threats, whether viewed as substantial or not, will be investigated and allow for proper evaluation of the incident. The policy suggests the designation of a management representative who will oversee all reports of threats or behaviors warranting potential action by the university.

Policy on Workplace Threats and Violence:

The purpose of this policy is to ensure the safety and security of Connecticut State University System employees. Threats, threatening behavior, or acts of violence against employees, students, visitors, guests, or other individuals by anyone on Connecticut State University System property will not be tolerated. Violations of this policy can lead to disciplinary action up to and including dismissal and criminal prosecution.

Any person who makes substantial threats, exhibits threatening behavior, or engages in violent acts on Connecticut State University System property shall be removed from the premises as quickly as safety permits, and shall remain off the property pending the outcome of an investigation. The university or System Office will initiate an appropriate

response. This response may include investigation, suspension and/or termination of any business relationship, reassignment of job duties, suspension or termination of employment, and/or criminal prosecution of the person or persons involved. All Connecticut State University System personnel are responsible for notifying the designated management representative(s) of any threats which they have witnessed, received, or have been told that another person has witnessed or received. Even without an actual threat, personnel should also report any behavior they have witnessed which they regard as threatening or violent, when that behavior is job related or might be carried out at the university, or is connected to university employment. Employees have an obligation to make this report regardless of the relationship between the individual who initiated the threat or threatening behavior and the person or persons who were threatened or were the focus of the threatening behavior. If the designated management representatives are not available, personnel should report the threat to their supervisor or another member of the management team, or to the university police. A “Threat Incident Report” as appended to this policy should be completed as quickly as possible by the designated management representative.

All individuals who apply for or obtain a protective or restraining order which lists university locations as being protected areas, must provide to the designated management representatives a copy of the petition and declarations used to seek the order, a copy of any temporary protective or restraining order which is granted, and a copy of any protective or restraining order which is made permanent.

The sensitivity of the information requested is understood and each university and the System Office are responsible for developing confidentiality procedures which recognize and respect the privacy of the reporting employee(s).

Each university and the System Office shall identify the designated management representative(s) and make this information, along with a copy of this policy available to all personnel.

Threat Incident Report:

Board policy requires employees to report all threats or incidents of violent behavior which they observe or are informed about to the designated representative(s) who will take the steps necessary to complete a threat incident report as quickly as possible, including private interviews of the victim(s) and witness(es). The following facts should be included in the threat incident report:

- Name of the threat-maker and his/her relationship to the university and to the recipient
- Name(s) of the victims or potential victims
- When and where the incident occurred
- What happened immediately prior to the incident
- The specific language of the threat
- Any physical conduct that would substantiate an intention to follow through on the threat
- How the threat-maker appeared (physically and emotionally)

- Names of others who were directly involved and any actions they took
- How the incident ended
- Names of witnesses
- What happened to the threat-maker after the incident
- What happened to the other employees directly involved after the incident
- Names of any supervisory staff involved and how they responded
- What event(s) triggered the incident
- Any history leading up to the incident
- The steps which have been taken to ensure that the threat will not be carried out
- Suggestions for preventing workplace violence in the future

The attached information is adapted from “Guidelines for Employers and Law Enforcement,” distributed by the Bureau of Justice Assistance. It is provided for guidance only and is not part of this policy.

Warning Signs of Potentially Violent Individuals:

There is no exact method to predict when a person will become violent. One or more of these warning signs may be displayed before a person becomes violent but does not necessarily indicate that an individual will become violent. A display of these signs should trigger concern as they are usually exhibited by people experiencing problems.

- Irrational beliefs and ideas
- Verbal, nonverbal or written threats or intimidation
- Fascination with weaponry and/or acts of violence
- Expressions of a plan to hurt himself or others
- Externalization of blame
- Unreciprocated romantic obsession
- Taking up much of supervisor's time with behavior or performance problems
- Fear reaction among coworkers/clients
- Drastic change in belief systems
- Displays of unwarranted anger
- New or increased source of stress at home or work
- Inability to take criticism
- Feelings of being victimized
- Intoxication from alcohol or other substances
- Expressions of hopelessness or heightened anxiety
- Productivity and/or attendance problems
- Violence towards inanimate objects
- Stealing or sabotaging projects or equipment
- Lack of concern for the safety of others

Recognizing Inappropriate Behavior:

Inappropriate behavior is often a warning sign of potential hostility or violence, when left unchecked it can escalate to higher levels. Employees who exhibit the following behaviors should be reported and disciplined in accordance with university policy:

- Unwelcome name-calling, obscene language, and other abusive behavior

- Intimidation through direct or veiled verbal threats
- Throwing objects in the workplace due to anger regardless of the size or type of object being thrown or whether a person is the target of a thrown object
- Physically touching another employee in an intimidating, malicious, or sexually harassing manner. That includes such acts as hitting, slapping, poking, kicking, pinching, grabbing, and pushing.

Personal Conduct to Minimize Violence:

DO

- Project calmness: move and speak slowly, quietly and confidently.
- Be an empathetic listener: encourage the person to talk and listen patiently.
- Focus your attention on the other person to let them know you are interested in what they have to say.
- Maintain a relaxed yet attentive posture and position yourself at a right angle rather than directly in front of the other person.
- Acknowledge the person's feeling. Indicate that you can see he or she is upset.
- Ask for small, specific favors such as asking the person to move to a quieter area.
- Establish ground rules if unreasonable behavior persists. Calmly describe the consequences of any violent behavior.
- Use delaying tactics which will give the person time to calm down. For example, offer a drink of water (in a disposable cup).
- Be reassuring and point out choices. Break big problems into smaller, more manageable problems.
- Accept criticism in a positive way. When a complaint might be true, use statements like "You're probably right" or "It was my fault." If the criticism seems unwarranted, ask clarifying questions.
- Ask for his/her recommendations. Repeat back to him/her what you feel he/she is requesting of you.
- Arrange yourself so that a visitor cannot block your access to an exit.

DO NOT

- Use styles of communication which generate hostility such as apathy, brush off, coldness, condescension, robotism, going strictly by the rules or giving the run-around.
- Reject all of a client's demands from the start.
- Pose in challenging stances such as standing directly opposite someone, hands on hips or crossing your arms. Avoid any physical contact, finger-pointing or long periods of fixed eye contact.
- Make sudden movements which can be seen as threatening. Notice the tone, volume and rate of your speech.
- Challenge, threaten, or dare the individual. Never belittle the person or make him/her feel foolish.
- Criticize or act impatiently toward the agitated individual.
- Attempt to bargain with a threatening individual.
- Try to make the situation seem less serious than it is.
- Make false statements or promises you cannot keep.

- Try to impart a lot of technical or complicated information when emotions are high.
- Take sides or agree with distortions.
- Invade the individual's personal space. Make sure there is a space of 3' to 6' between you and the person.