

## SOUTHERN CONNECTICUT STATE UNIVERSITY

### PROCEDURES FOR FACULTY CONSULTING & RESEARCH WITH PUBLIC OR PRIVATE ENTITIES

#### 1. PERMISSION

Prior to engaging in consulting activities, full-time AAUP members must complete and submit the “Faculty Consulting and Research with Public or Private Entities Compliance” form as approved by the Provost/Vice President and the Academic Dean at Southern Connecticut State University. For the purpose of this policy, faculty on Board of Regents approved sabbatical leaves are considered to be full-time faculty. Such request must be submitted sufficiently in advance of the start of the consulting activity to allow for its appropriate review. Further, new forms must be completed and approved prior to making substantial changes to a previously approved activity. Consulting requests must be based on the faculty member’s professional expertise or prominence in his/her field.

Consulting is defined as any additional professional activity performed by a faculty member that is:

- a. Beyond the assigned duties of the faculty member,
- b. Professional in nature,
- c. Based in the faculty member’s discipline, and
- d. One for which the faculty member receives compensation.

Southern Connecticut State University recognizes that teaching, advising, scholarship and service are the primary responsibilities of all faculty; however, the University also recognizes that it is desirable for faculty to engage in outside activities that enhance the individual faculty member’s professional skills and knowledge, and thus enhance his or her teaching efforts.

There is a set of purely academic activities that faculty members are normally expected and encouraged to undertake. Such activities would include, but are not limited to, reviewing books, articles and research proposals (e.g. federal grant study sections); presenting occasional lectures, speeches, and colloquia to non-profit entities; refereeing of manuscripts; creating works of art; serving as a member of thesis committee; or completing case reviews. The nature of such activities will vary from one discipline to another – but the underlying principle is that they are part of faculty member’s expected academic professional development.

All consulting done by faculty members must conform to the following conditions:

- a. Consulting activities must not interfere with the regular and punctual execution of the faculty member's normal duties;
- b. Consulting activities must not create any conflict of interest with the University, or violate State statutes related to conflicts of interest.

## **2. INFORMATION**

Information provided on this form must include the following: the AAUP member's name, academic rank/title, department, description of consulting or research activity with enough detail so that the approver may determine whether such activities conflict with one's state responsibilities; dates of engagement to determine the total number of days expected to complete the consulting activity and to determine maximum total number of days. Additional information regarding remuneration or other matters must be provided, if requested.

It is understood at the time of a request form being considered for approval that all dates and times of the consulting activity might not be known. As these dates and times become known, the faculty member is expected to provide them to his/her Academic Dean. In all cases, these notifications should be at least one day in advance of any consulting work so that the Academic Dean can ensure that the faculty member's assigned job duties are fully addressed. Such notifications must be made in writing to the Academic Dean and emails are acceptable.

## **3. SIGNATORIES**

The compliance form must be signed by the member's Academic Dean and approved and signed by the Provost/Vice President for Academic Affairs. The Provost/Vice President for Academic Affairs indicates whether or not the activity is "in compliance" or "not in compliance." For members employed by the Division of Athletics, the Athletic Director must sign in place of a Dean and forward to the Provost for review. For members employed by the Counseling Center, the Director of the Counseling Center must sign and forward to the Vice President of Student Affairs and forward to the Provost for review. For members employed by the Library, the Director of Library Services must sign and forward to the Provost for review. The original of all signed

forms are submitted to the Office of Human Resources. Copies of the reviewed and approved forms will be sent to the faculty member, the academic dean, and placed in the faculty member's personnel file.

#### **4. INTERSESSION & SUMMER PRIOR APPROVAL PROCESS**

The approval process does not apply to research or consulting performed solely during intersession or summer by faculty members on 10-month contracts. The approval process does apply to faculty members on 12-month contracts. All faculty members are reminded that state laws and regulations regarding ethics and conflict of interest must be observed at all times by state employees.

#### **5. REPORTING**

All institutions shall provide a report to the Office of the BOR President 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 Colleges and Universities shall audit each institution's compliance with the established internal procedures and this policy annually.

#### **6. SANCTIONS**

Any member who intentionally provides misleading or false information during the course of the approval process will be subject to disciplinary process in accordance with such member's collective bargaining agreement or employment agreement. Such disciplinary action may include, but is not limited to: letter of reprimand; loss of the privilege to continue to engage in consulting activities; suspension; or, dismissal.

#### **7. REVISIONS**

These procedures may be revised by the Provost/Vice President for Academic Affairs.

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