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Fifth Year Report
August 2011

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Introduction:

The Fifth Year Report was prepared by having the Cabinet and the Chair of the Academic Committees review the ten year self study and the interim report submitted in 2010 and by having each cabinet member submit an update to the ten year report to the Provost. The Director of Institutional Effectiveness (Director of IE) worked with the appropriate department heads to complete the data forms. The information reported on the data forms has been an integral part of the discussions at the monthly cabinet meetings as the College has moved to data driven decision making. In addition, the Provost went over the sections of the standards that directly relate to the Board at two Board meetings. A draft of the report was made electronically available to all Charter Oak staff, faculty, and the Student Association Board asking for feedback. The draft was discussed at the June Academic Council meeting and at the June Cabinet meeting. Input from those meetings was incorporated into the report. The final draft was made available electronically. A list of preparers and reviewers is in Appendix A.

Overview:

The Board for State Academic Awards (BSAA) was established by the Connecticut State Legislature in 1973 "to develop and coordinate the implementation of new methods of awarding undergraduate degrees and college credits. . . ." The Board's degree program evolved into Charter Oak State College. The College is a constituent unit of the State of Connecticut's higher education system.

Charter Oak was established as an external degree program that accepted credits earned at other accredited institutions or through non-traditional means such as standardized examinations (CLEP, DSST/DANTES). It has expanded its options, first to include tests developed by Charter Oak, contract learning courses, video-based courses, and since 1990 online courses. In order to serve its students at a distance, the College provides all academic support services using technology. Students can also receive services at the Charter Oak offices. Charter Oak offers an Associate in Arts (AA), an Associate in Science (AS), a Bachelor of Arts (BA) and a Bachelor of Science (BS). It does not offer majors; however, it does offer concentrations within the bachelor's degrees.

The College is run by a dedicated staff of seventy-one employees and 83 Core Faculty recruited from other accredited colleges and universities in Connecticut. In addition, the College has over a 120 Teaching Faculty who are recruited for their subject and teaching expertise from all over the country and over 300 Special Assessment Faculty who are recruited as needed to perform specialized assessments.

Response to Areas Identified for Special Emphasis:

In Charter Oak's Fifth Year Report, the College provides evidence of its continued success in "enhancing our institutional culture of evidence with respect to understanding what and how students learn, evaluating instructional quality, and assessing overall institutional effectiveness." The College will also address ongoing challenges and future plans. In this section an overview of some of the changes made since the 2006 Self Study will be presented. In this section we will address:

- Planning in the areas of enrollment management, recruitment, and marketing;
- Evaluating the impact of distance learning on and balances with other modes of the academic program;

- Revising academic policies and structures to ensure the quality and effectiveness of the academic program and services for students;
- Give emphasis to its success in enhancing its institutional culture of evidence especially in enhancing its institutional culture of evidence especially with respect to understanding what and how students are learning, evaluating instructional quality, and assessing overall institutional effectiveness.

Planning in the areas of enrollment management, recruitment, and marketing

Since its beginnings in 1973, the College has stayed true to its mission of serving adult students by recognizing that college-level learning can be acquired in various ways, by ensuring that a degree from Charter Oak is “equivalent” to a degree earned at other Connecticut colleges, that service to the students is paramount to student retention and success, and that ongoing assessment is a part of the culture of the institution.

Charter Oak has purposefully moved from being a college that granted degrees based on credit aggregation and assessment of learning to a college that also offers courses, first video and now online. This move, which began slowly in 1990, took off in 2000 with the hiring of a new Vice President for Academic Affairs and the momentum was increased in 2008 with the hiring of a Director of Distance Learning, followed by the hiring of a full time Instructional Designer. Today, staffing for what the College is calling its Undergraduate Program consists of a Dean of Undergraduate Programs (Dean), two instructional designers, a half-time course developer, a half time course monitor, a course and faculty scheduler, and half time support staff.

To support the addition of online courses and expansion of the number of concentrations that could now be completed utilizing Charter Oak courses, the admissions counselors and the web site informs the students of what courses are offered; as well as provides information on the options of testing, portfolio, special assessment and transfer. In addition, Charter Oak’s Web site includes concentration forms showing what courses or course areas are needed for that concentration, and when applicable, they are also shown with Charter Oak courses. The data collected on the traffic to our Web site clearly shows that the pages illustrating programs and courses are the most popular, an indication that students are coming to Charter Oak because of its programs and courses.

When Charter Oak did not offer many courses, its budget relied on collecting an annual matriculation or academic services fee, approximately \$1,000 in year one and \$500 each year after. However, since 65% of its students now enroll in Charter Oak courses (based on fall 2010 data), the Board approved a change in the Colleges fee structure to a semester based fee of \$165 in-state and \$220 out-of-state that all students pay regardless of matriculation status. In addition, the College increased the course fee slightly. Although the College is unaware of the extent to which the annual matriculation fee may have been a barrier to enrollment, by eliminating the large upfront fee, the College anticipates an increase in the number of matriculated students. The administration will review the results in spring 2013 to determine if the change had the expected outcome. This change resulted in a number of new policies and procedures, including a communications plan to explain the change to the students, a new billing procedure and a different way of tracking “matriculation” in the student information system (SIS).

As Charter Oak has become an online college, its marketing and recruitment have also changed. Historical College and national data show that students with 60 or more credits are more apt to graduate than those with fewer than 60 credits. Therefore, the College marketing efforts have changed to target adult students with 60 or more credits. And, since Charter Oak is now an online college, a major emphasis of its marketing focuses on that fact, although it still markets itself as a

degree completion college with many ways of earning credit. In addition, the College has recalibrated its budget to include a greater emphasis on online marketing venues, including local, regional and national online networks, plus the use of social media. Data

gathered by the College's marketing department clearly show that online marketing is successful. (Appendix B) However, it also utilizes some traditional media including radio and billboards; develops print material to support participation at college fairs; helps promote Graduate!CT (a Hartford area higher education and Chamber of Commerce consortium purposed to help adults return to college); and assists the Admission Office in promoting the articulation agreements with community colleges.

Evaluating the impact of distance learning on and balances with other modes of the academic program

In order to provide better services to both faculty and students, the College reorganized its Distance Learning Office and Registrar's Office. The restructuring of the Distance Learning Office into the Undergraduate Program Department has resulted in more staff oversight of the academic programs. A person is assigned to review all courses before they are activated each term; a person is assigned to oversee the faculty development BlackBoard site; with the assistance of the software program, Starfish Retention Solutions, the Dean is able to track faculty course participation. In addition to improving the course scheduling and course review process, the staff has implemented an orientation program for all teaching faculty, ongoing faculty development policy, and a faculty development fund; restructured the faculty development Web site; and have purchased an additional instructional tool (Wimba Voice) and library data bases for their use. The College now administers its own student course and faculty evaluation system, which allows the staff to analyze the data and thus make better decisions on faculty hiring and on faculty development.

In the area of planning, the Undergraduate Program staff has implemented a five-year course review cycle based on past enrollment data and anticipated student need that they are now able to retrieve from the College's student information system.

Revising academic policies and structures to ensure the quality and effectiveness of the academic program and services for students

As part of the College's strategic move toward online education, when it restructured the Distance Learning Office, now renamed Undergraduate Programs, it also restructured the Registrar's Office. From 1973 to 2002, the college was primarily an aggregator of credits; therefore, the function of the Registrar's Office was primarily transcript evaluation and the Distance Learning Office handled course registration, grades, and course catalog. In the last five years, the number of credits taken at Charter Oak has increased from 9,318 credits to 27,586, a 196 percent increase. Therefore, the decision to shift typical registrar's office functions to the Registrar's Office made sense. The hiring of a new Registrar with an in-depth understanding of the College's student information system allowed the College to move those functions over without adding staff while increasing the level of service provided to students, faculty, and internal groups. This change has resulted in a number of efficiencies including quicker turn-around of preliminary evaluations (from four weeks to one week or less) and immediate grade entry.

In 2007, the College made a strategic decision to move from a home grown student information system to a commercial product, Jenzabar, to provide better service to the students and to have a more robust system that would provide much needed data for decision making. Although the implementation of the student information system (SIS) was difficult due to the non-traditional nature of the college, it has allowed the College to scale services in many offices without adding staff or by adding limited staff. In addition, it provides the administration, staff, and students with more information for decision making. The SIS has provided students with access to their academic and

financial records on line. The student Web pages have been updated so students have 24/7 access to critical information about registering, course offerings, and policies. Overall, the move to Jenzabar has been successful. The College is still making changes that make the SIS more useful to both staff and students. The main focus this year will be to enhance the academic advising module.

The College has recognized that with the increased number of students requesting financial aid and the additional requirements for financial aid processing, it needed to enhance the efficiency of the Financial Aid Office. The College contracted with the Help Desk at the Connecticut Distance Learning Consortium (CTDLC) to answer incoming calls. This process has reduced the number of routine phone calls and e-mails by 15%. The College is currently exploring further expansion of Help Desk usage based on this success. In addition, the College is in the process of installing a new phone system (VOIP) that will increase efficiency and provide data that can be used for added efficiencies. It will also allow staff to seamlessly work from home or anywhere.

As the College has become an online institution and more of its students are taking Charter Oak courses, the College wants to ensure that its students can succeed. The College has always had a nine-credit admission requirement based on the premise that if a student has successfully completed nine credits, then the student can do college-level work. However, over the years there has been concern about students' writing ability. To address this concern the faculty required a Concentration Essay, then a written Concentration Plan of Study (CPS), followed by an Academic Autobiography, and then a Capstone course. But these often came at the end of the student's academic career when it was too late to correct a student's writing deficiency. Because of this concern about writing ability, the Academic Council approved a three-credit requirement for all students, named the Cornerstone course, based on the recommendation of the Faculty. This course, first offered fall 2010, assesses writing skills, reviews research-paper writing skills, helps the students develop their concentration plan of study, and acquaints them with the policies of Charter Oak. Preliminary data from the Cornerstone course shows that, even though students transfer on average 75 credits or more to Charter Oak, twenty-one to twenty-five percent of the fall 2010 and spring 2011 Cornerstone students earned a C- or lower, which means they did not successfully complete the course. This is much lower than the 14 percent non completion rate or failure rate in other courses. The College is still analyzing the data to see if there is any significant difference between those who failed or withdrew from the course and the institution and those who passed. Preliminary data shows age (younger), sex (male), race (black), and acceptance of financial aid to be factors and that those who registered late had a higher rate of failure. Until the College has all of the data for the year, it is too early to draw any solid conclusions. The College is aware that this course may impact first year retention rates, but believes it will increase the six year graduation rate. At the end of the spring 2012 term, the College will be able to determine if the Cornerstone course impacted its year-to-year retention rate of 68-70 percent. The results of the data will also help the academic counselors and admissions staff to implement advising techniques specifically targeted to students who meet the profile of students who might have academic difficulty.

The College has also used data from the student evaluations and input from the Academic Counselors to modify the Cornerstone course, i.e., assignments have been more closely linked to the CPS; assignments have been rearranged to allow more time for the students to work with their Academic Counselors; availability of writing tutors at peak times has been increased; and Webinars for students on the CPS that they can access online at any time have been developed. In addition, two meetings are held each term for the Cornerstone faculty to share ideas and to unify their grading of the CPS and research paper.

The Academic Counseling Office has also implemented numerous processes to enhance services to all students. With the implementation of the student information system, more information is readily available to the students. To make the student information system work

effectively for Charter Oak, the Registrar's Office had to develop a "mock" catalog of courses which includes Charter Oak courses, those of Central Connecticut State University, and the Connecticut community colleges. This allows the advising module to work because it allows course equivalencies to be determined. The "mock" catalog holds over 1331 course and others are added as they are transferred in from other colleges. The SIS required that advising requirement codes ("arcs") be developed for each course identifying them as liberal arts, general education, upper or lower level, meeting a concentration, etc. Once the courses were given an "arc" they were used to build student transcripts. Since July 1, 2010, all students' transcripts are automatically "arced". A clerical person was hired in the Registrar's Office to do the data entry required to "arc" the 600+ pre July 1, 2010, transcripts so that the Registrar's Office did not have to run two degree audit systems. The task was accomplished in less than six months thus making the Registrar's Office more efficient, making it possible for the Academic Counselors to use the SIS advising worksheet for all students, and making student records more available to students. To assist students taking our courses, the Instructional Design Office developed a Webinar on how to navigate an online course which is available 24/7 in ACORN, the student portal.

Although the College has an 86 percent completion rate in its courses, a strategic goal has been to increase the completion rate to 90 percent and the overall six- year graduation rate from 63 percent to 65 percent. Since research shows that keeping students engaged is an important factor in retention, Charter Oak has implemented Starfish Retention Solutions (Starfish), a building block within Blackboard that measures student activity in each course. It automatically sends e-mails to the Academic Counseling Office, the Registrar's Office, the Dean of Undergraduate Programs (Dean), and to the student when there is no activity for a given amount of time. This allows the Academic Counselors to intervene immediately if students aren't actively participating in their courses. Faculty were, and new faculty will be, trained to raise a "flag" within the system when students are having difficulty. This notification will go to the undergraduate program office for follow up. To help monitor the activity from Starfish and to assist the Academic Counselors in their retention efforts, Charter Oak hired a support person. The person also handles all of the routine phone calls for the Academic Counseling Office. Before the implementation of Starfish, tracking student attendance was primarily a manual process. Now Starfish will track it for the College. The College conducted a pilot in the spring 2011 with the Cornerstone course. This allowed the College to work out the "bugs" and to refine processes. Full implementation followed in the summer. Preliminary data shows that the early intervention has helped to increase student retention in the courses. The Director of Institutional Effectiveness (Director of IE) and the Dean are collecting data and will present a report to the Cabinet in fall 2011 on the summer implementation.

When the College wrote its 10-Year Self Study, it had already begun moving away from proctored examinations for course assessment to papers and projects. Along with that move, in order to ensure that the student was doing his/her own work, the College began using Turnitin.com to detect plagiarism and using a secure log in and password to deter cheating. In spring 2011, the College began implementing Acxiom, an authentication program. Acxiom will also be used by the Registrar's Office to randomly authenticate students when they log into the portal or into their course. A pilot was implemented in summer 2011, with full implantation scheduled for fall 2011.

The College will be using Acxiom to authenticate student addresses. In the first implementation, the College identified 25 students who were illegally claiming in-state residency. These students were all contacted and given a chance to prove place of residency. Those who could not, were moved to the out-of-state fee. The College has developed a process for notifying students that it will be using Acxiom and has reminded them that not being truthful about place of residency violates the Student Code of Conduct.

Give emphasis to its success in enhancing its institutional culture of evidence especially in enhancing its institutional culture of evidence especially with respect to understanding what and how students are learning, evaluating instructional quality, and assessing overall institutional effectiveness

Since Charter Oak's visit in 2006, assessment at all levels has become a part of its operational fabric. Monthly, it reviews retention and enrollment data, analyzing what students are taking Charter Oak courses and how many credits. This data is being used to check to see if the college is on track to meeting its enrollment and retention goals and to monitor the changing course-taking habits of our students. The College has implemented Starfish which allows tracking of student participation in its online courses and provides data to Academic Counseling that is being used to aid retention. It has incorporated the use of National Survey of Student Engagement (NSSE), along with the Graduation Survey and Alumni surveys to measure student satisfaction. It is using Educational Testing Services (ETS) Proficiency Profile to measure general education knowledge gained, and a review process by the Faculty Assessment Committee of the Capstone courses to ensure that the capstone projects are demonstrating mastery of the concentration outcomes. It has also joined Transparency by Design (TBD) (a nation-wide group of 18 colleges that serve adult students primarily online for data comparisons) for benchmarking purposes. <http://www.collegechoicesforadults.org/institutions/12> The College shares its NSSE, ETS, and alumni survey data with TBD. It also shares data with its peer colleges (Excelsior College, Thomas Edison State College, Empire State College, and Granite State College) for benchmarking and meets with them annually.

In addition, the College has developed a Strategic Indicators Dashboard (Appendix C) that is discussed by the Executive Committee, Cabinet, and Board quarterly. The dashboard is a summary of the data that the Executive Committee and Cabinet review on a monthly basis, but it gives a snapshot that is easily understood by the Board and can be used to inform the Board on goal attainment.

The College also is required to participate in the State's Results Based Accountability (RBA) program. The Provost, Chief Financial Officer, Director of Institutional Effectiveness, and President have participated in the RBA training. The President presents the College's RBA to the State Legislature as part of the budget hearings. The RBA helps the College look at its successes, failures, and what it can do to increase its effectiveness. (Appendix D)

Because the College knows that having reliable data is important to decision making, it hired a full time Director of Institutional Effectiveness in 2006 and added a part time person in 2011.

The College adheres to the "best practices" for online courses delivery. All of the College's concentrations are developed and approved by members of its core faculty- all who work full time at other regionally accredited institutions in Connecticut, along with practitioners from business and industry as appropriate. The College has implemented Quality Matters and will be training 15 of its faculty and instructional design staff in Quality Matters this fall and is participating in a pilot of Sloan's Quality Scorecard.

In the individual standards sections of the Fifth Year Report, additional areas of how Charter Oak has embraced the culture of evidence is addressed.

Summary:

Although the number of courses the College offers has increased significantly along with the percentage of Charter Oak students taking Charter Oak courses, the College has not lost sight of its

original mission. In 2010, 137,142 credits were transferred in from other colleges; the College administered over 1,204 standardized tests; and through the Connecticut Credit Assessment Program, the College evaluated 16 programs. In the last 5 years, 244 students completed the portfolio assessment course and over 927 credits were earned through prior learning assessment and 64 students earned 783 credits through the special assessment process. The College views online courses and e-mails as tools for currently meeting the needs of its adult students. Just as the College moved from correspondence courses sent via postal mail, to sending videos and CDs and now to online learning, the College knows that if it is to remain viable, it has to embrace the new technological changes that enhance student learning.

In the last 5 years, assessment has become a part of the fabric of the College. It is used for making decisions about marketing, the delivery of student services, course offerings, program development, faculty retention, student retention, strategic planning, staffing, hours of the help desk, deadlines for course registration, establishing of fees, what software to purchase, etc.

Standard I: Mission and Purpose

Description

Charter Oak State College holds a unique place in American higher education as a public free-standing, external degree-granting institution which was founded in 1973 close to the same time its peers such as Excelsior College (Regents), Empire State College, and Thomas Edison State College were founded. In 1973, Charter Oak had no academic residency requirement and no geographic limits, although it primarily served Connecticut residents. Currently, it has a six credit academic residency requirement.

The Governing Board

The Board for State Academic Awards (BSAA), established by statute, serves as the board of trustees for the College and is also the governing body for the Connecticut Distance Learning Consortium (CTDLC). The Board consists of nine members. The Governor appoints eight members, one of whom must be a graduate of Charter Oak, and designates the chair. The ninth member is a student member elected by the students. The governing structure for Charter Oak changed effective July 1, 2011 due to the legislature's reorganization of higher education. Charter Oak's current Board will function until January 1, 2012. However, all of its decisions will be reviewed by the new Board of Regents. The Board of Regents will oversee the four state universities, the community colleges, and Charter Oak State College. There will be a President of the Board, two vice presidents (one over the community colleges and one over the state universities). (Appendix E)

The Mission

The Board for State Academic Awards has a mission statement based on statutory responsibilities to guide its work. The BSAA statement provides the broad mission for Charter Oak State College and the CTDLC. The Board has adopted distinct and separate role and scope statements for each of the two entities it governs. It is derived from the BSAA statutory mission, but includes more specific language regarding how the College achieves its mission. (Appendix F)

The BSAA mission and the Charter Oak's role and scope have been revised periodically as the Board has approved the College's strategic plans and plan modifications. The last mission

revision was made in 2010-11 to reflect the changes in its gaining permission to offer graduate degrees. According to statements made by the Interim President of the Board of Regents (BOR), Charter Oak's mission will not change.

The mission and role and scope are shared with students through the College's *Official Catalog* and are included in summary fashion on the College's Web site. Both documents are incorporated into the *Faculty Handbook* and are discussed in orientation sessions for new Core Faculty held every September and twice a year for Teaching Faculty.

Charter Oak also has a philosophy statement that is grounded in its mission and guides the College in serving its students. The philosophy statement is the basis for the formulation of the College's academic requirements and provides a framework for how those requirements are met. It is included in the Charter Oak *Official Catalog*, which also can be found on the Web site. The institutional philosophy asserts that college-level learning can be acquired anywhere, any time; including transfer of credit from traditional classes and distance learning courses from regionally accredited institutions as well as credit earned through Charter Oak online learning courses; contract learning; testing; review of non-collegiate-sponsored instruction such as military, business and government-sponsored employee learning programs; special assessment; and portfolio review. Furthermore, college-level learning can be assessed and accredited via appropriate means and is enhanced via collaborative interaction with faculty and peers. In addition, it asserts that advisement is critical to student success. Even though the College is offering an increased number of online courses, the Board and the President have affirmed its commitment to this philosophy.

Degree Programs

Currently, the College offers four degrees: Associate in Arts, Associate in Science, Bachelor of Arts and Bachelor of Science. Charter Oak also awards certificates in a number of career areas as recognition of mastery of a specific body of knowledge.

Charter Oak's General Studies degree program honors the liberal arts tradition and recognizes the characteristics of adult learners. It is designed to enable adult students to develop their potential, enhance their abilities to continue their education, and help them achieve personal and professional goals.

The general education distribution requirements, with stated outcomes, provide breadth in the arts and science and the development of critical thinking and communication skills. The College's baccalaureate degrees require a concentration of a minimum of thirty-six credits designed to provide depth in one or more areas of study.

Appraisal

The Mission and Role and Scope for Charter Oak State College are specific about the population to be served and the goals to be achieved. They emphasize the importance of complementing the missions of other Connecticut institutions.

Both statements underscore the need for quality in academic and student services and the need for innovative ways to meet the requirements of adult learners. The Mission and Role and Scope statements not only allow for the flexibility that Charter Oak students need but also give the institution the flexibility necessary to meet the demands of a changing environment and a changing higher education landscape. A good example is online learning. As it became clear that online learning was an important and excellent way to provide access to higher education for students with work and family responsibilities, physical disabilities, and those who live in remote areas, Charter

Oak was able to move ahead quickly in developing its online program. The fast growth of online courses led to a review of the supporting staff structure resulting in a major restructuring.

The fact that the mission does not define a geographic delivery area is viewed as a strength. The ability to accept students from out of state has helped keep costs more reasonable for in-state students and to enhance services for Connecticut residents. The ability to attract students from diverse backgrounds and different parts of the United States also enriches learning experiences in online courses. Some students have commented in their graduation surveys on the value of this interaction. With the current emphasis on state authorization for online colleges, Charter Oak has assessed its geographic reach and has determined that it will apply to all states for approval.

The mission statement is broad enough to allow the College to address workforce needs. Therefore, the College has played an important role in a number of State workforce initiatives, providing community service even though this is not explicit in its mission. These initiatives include the areas of early-childhood education, nursing (credit and noncredit), public safety and homeland security, computer security, and health care administration. The emphasis on workforce needs became even more apparent as the College adopted its vision statement in 2010.

Charter Oak State College: A dynamic community of online learners advancing the nation's workforce one graduate at a time.

Most important, the mission continually drives innovation. The Charter Oak Board, faculty and staff must balance access, innovation, and quality. This is a demanding role and requires dedication and sophisticated knowledge about the broader academic community, adult learning, and technology. Literature and reports are shared with the Board, staff, and faculty regarding the field of adult learning, distance learning and the future of higher education. This information is an important driver for strategic planning.

In 2010-11, Charter Oak contracted with the Melior Group to conduct a market analysis and has begun to implement some of the recommendations—all workforce need driven. It has added small business and logistics foci in its business administration concentration and a leadership focus in its information systems studies concentration. It is also exploring a concentration in health information technology management.

Because of the nature of Charter Oak's mission, orientation material and sessions for new Board members, faculty, and staff are very important. The College has to be sure that each component of the institution understands the mission and its role in achieving the mission before working with students or crafting and approving policy for the institution. The need for this understanding prompted the development of comprehensive faculty handbooks and orientation sessions for new faculty and staff. The President has met with new Board members prior to their first Board meeting to discuss the mission and how the mission is reflected in the College's programs and services. In 2010, the Board and the Executive Committee held a retreat which helped each group to better understand their respective roles and how they support each other. The President and the administration will work with the BOR to help them to understand the unique nature of Charter Oak. At the request of the Interim President of the BOR, the College has sent budget, program and enrollment data, a copy of the Catalog, copies of program brochures, and our strategic plan to the BOR. Until the BOR is formed, the College sends its Board agendas and material to the Interim President for his review.

Although the College community understands the mission, it is not clear that the public, at large, has the same level of understanding. As there has been turn over at the State level and in the staffs at the Connecticut colleges and universities, the College staff finds that it has to continually educate outside constituents as to Charter Oak's mission and role in education.

Ultimately, the success of carrying out the institutional mission rests with the Board, which assigns this responsibility to the President. The President works with senior staff to ensure broad-based understanding of the components of the mission and that the strategic plan reflects the mission. A review of the College's strategic plan demonstrates that the mission is closely linked to the planning process and plans produced by the College community.

The College has student data that show it is meeting its mission: student satisfaction data from the Alumni and Graduation surveys (Appendix G) have been consistent which shows that over 97 percent of our graduates are satisfied with Charter Oak; 85 percent are satisfied with our courses; the number of students taking our courses has increased by 196 percent over the last five years; and the Department of Labor data show our graduates increase their income by \$404 per week. In addition, the large number of students who still use multiple ways to earn their degrees, and our policy of requiring that only 6 credits be taken at Charter Oak clearly demonstrate that the College is meeting the goals of its mission while meeting the new demands of accountability, quality, and new ways of delivering education.

Charter Oak's current Strategic Plan expires in 2012. Therefore, this fall, the College will start a new five year strategic planning process. At that time, it will revisit the mission and role and scope statements. During the revision process, the College will consult with all of its constituencies: staff, faculty, students, alumni and the business community. The goal will be to address the question of how Charter Oak can grow its student population. It set a goal of 5,000 students by 2014. Currently it is not on the path of meeting that goal. In the strategic planning process, the College needs to determine if that is a reasonable goal, and if so, how it is going to achieve that goal. It also needs to decide if it is going to begin offering majors other than general studies, something that its peers offer. If the College wants to develop some of the programs recommended by the Melior study, it will need to develop majors and attain national certifications.

The data that the College is collecting on its students is beginning to indicate a change in the student body. Students are coming with an average of 10 fewer credits, students are younger, and more are dependent on financial aid. The amount of uncollected debt is increasing substantially. This, coupled with the twenty-one to twenty-five percent non-success rates in the Cornerstone course, has raised concern. As a result, the Provost, Dean, and the Director of IE are analyzing the data to determine if this is a trend or an anomaly because of the economy. They will also look at how the College's current marketing is impacting the type of student being attracted. The Director of Admissions and the Director of Marketing are working with Eduventures to conduct a survey to see why applications have declined sharply since January. The results of these studies will be addressed at Cabinet meetings and used to inform program, admissions, marketing, and retention efforts.

The Board and Executive Staff will need to pay special attention to the mission and purpose of the institution as it embarks on its five-year strategic planning process. To guide this process, the Director of IE will continue to present data on the pattern of credits earned and demographics of matriculations and enrollment by student types.

Projection:

The College will continue to strengthen online programs and add additional programs while maintaining its mission of degree completion. The College, through its President, will ensure that the new BOR understands the mission and will work with the BOR to strengthen the College's impact on the Connecticut and national workforce.

Institutional Effectiveness

The Mission and Role and Scope statements are regularly reviewed by the Board, staff, faculty, alumni, and students as part of the College's planning process. In the last review by the Board, Executive Staff, and Visioning Committee in 2010-11, there were very few changes recommended and the review confirmed that the College's programs reflect its mission.

Standard Two: Planning and Evaluation

Description

Over the past five years, the College has made significant progress in the area of planning and evaluation, thanks to the hiring of a full time Director of IE in 2007 and a Project Manager in 2011.

The College is completing the last year of its five year strategic plan 2007-2012. In fall 2011, it will begin creating a plan for 2012-2017. At the midpoint of each year, the departments develop their plans for the following year and at the end of each academic year, each department does an assessment of how well it met its goals for that year. Those assessments are compiled by the Provost and then discussed at the Cabinet. As part of that process in 2010-11, the College better aligned strategic planning with budgeting. In addition, the College began in 2008-09 setting aside \$80,000 for strategic initiatives. Departments could apply for these funds. Projects funded included: peer college meeting, Melior marketing study, e-Learner/Monster marketing pilot, Star Fish, document imaging, and outsourcing admissions call.

As an outgrowth of strategic planning, the College, in 2009-10, established a "visioning committee" comprised of the Executive Staff, three department heads, a representative from the staff, and the Associate Dean of Faculty. This committee reviewed the strategic plans and, after much discussion, developed a vision statement for the College. The vision statement was reviewed by core faculty, all staff, and students, and approved by the Board.

Charter Oak State College: A dynamic community of online learners advancing the nation's workforce one graduate at a time.

Appraisal

Once the statement was approved, the visioning committee examined the strategic plan again and concluded that there are four areas driving the plan and thus the College: recruitment, retention, instruction, and student services. These four areas became the linchpin for the strategic funding for 2010-11.

As part of the goal setting for each year, enrollment, and matriculation are established. The first year this was done, the individual members of the Cabinet were reluctant to establish a numerical goal that he/she would be held accountable for reaching. Having established numerical goals has resulted in the staff taking more responsibility for meeting the goals and has helped to focus the activities directed to achieving the goals. The Director of IE provides monthly updates and analysis to the Cabinet, bi-monthly to the Board, and at each faculty committee meeting to determine if adjustments need to be made to the established marketing, recruiting, and retention goals. For example, by reviewing the data, it was noticed that the pattern for student matriculation had moved from starting at any time to starting at the beginning of each semester—more in line with traditional colleges. This coupled with the data that clearly show students opting to take more

Charter Oak courses instead of using alternate methods to earn their degree has resulted in focused recruiting efforts around the starting times each term.

Data from FY 07 to FY 09 showing that there was a 51 percent increase in credit course enrollments, 254% increase in course sections, 16% increase in tutoring usage, an increase in the number of teaching faculty needed and the need to develop more courses led to the hiring of a Dean and increased instructional design staff. This decision has resulted in a number of positive changes that are described in detail in the Academic Program and Faculty Sections of this report.

The increase in credits being taken also resulted in a fifty percent increase in revenue from \$1,957,328 in FY 2006 to \$3,892,864 in FY 2009. This credit course revenue stream gave the College a chance to reexamine its matriculation fee structure—students paid a large annual fee which was used to pay for the infrastructure of the College and was a carry over from the earlier years when the College did not offer courses and therefore did not have another revenue stream. The College established a committee in 2009-10 to reconsider its matriculation fee structure. The Executive Committee set the ground rule that any recommended change had to be revenue neutral to the College. The committee's recommendation to eliminate the annual matriculation fee and replace it with a semester fee was presented to the staff, faculty, students and the Board. In January 2011, the Board approved the new fee structure which was implemented on July 2011.

Projection

The College will measure the impact of the new fee structure on matriculation, retention, and revenue generated. Reports will be made by the Director of IE at each Cabinet meeting and shared with the Board. At the mid-point of the fiscal year, the Executive Committee will decide if the new fee structure is successful or if it needs adjusting. Any changes would go to the Board for approval.

As mentioned in the first section of the Five Year Report, the College reorganized its Distance Learning Office, Registrar's Office, and other ancillary functions based on data that showed the College could better serve the students and gain efficiencies without increasing cost. The College will analyze its Graduate and Alumni survey data to see if "satisfaction" remains high and will monitor work load to see if the reorganization allows for scalability as enrollment increases.

The College will develop a new five-year strategic plan in line with the plan that will be developed by the BOR.

Institutional Effectiveness:

The College has become adept at using planning and evaluation as part of the daily operations of the institution. Data being gathered on the Cornerstone course, along with the data being gathered through Starfish, are being used to determine retention strategies. The study completed by Melior, the new study being conducted for Admissions by Eduventures, and the Allied Health Study being conducted by the Workforce Development Board will help direct Charter Oak's program development. The College is reviewing its online program as part of a pilot study of the Quality Scorecard that was developed in 2010-11 and has been endorsed by Sloan and it is a part of Quality Matters, a faculty-centered, peer review process that is designed to certify the quality of online and blended courses. (The Provost was part of the development phase of the scorecard.) In addition, the Director of IE is continually analyzing data on our students, graduation rates, alumni data, etc. to help the College make better decisions. The work with our peer colleges (Thomas Edison, Empire State College, Excelsior College, and Granite State College) and the Transparency by Design (TBD) colleges provides the College benchmarks to work for and from.

Standard Three: Organization and Governance

Description

The Board for State Academic Awards (BSAA), the administration, staff, (Appendix H) and the faculty work together to ensure that the Charter Oak program maintains its adult focus, provides flexibility within appropriate academic standards, and responds to the needs of its students and the State of Connecticut. The authority and responsibilities of Charter Oak State College's Governing Board are set forth in State statute (Section 10a-143). Charter Oak State College's executive staff serves at the pleasure of the Board, and their authority and responsibilities are delegated by the Board as delineated in the BSAA bylaws. (Appendix I)

Consistent with its statutory authorization and its mission, the College does not have full-time faculty. As described later in this section and in Standard Five, its Core Consulting Faculty has responsibility for the quality of the academic program. The Core Faculty, Teaching Faculty, and Special Assessment Faculty have responsibility for the validation of learning and for the quality of distance learning courses. The Student and Alumni Associations and the Charter Oak State College Foundation support the work of the College.

The Board

The Board structure is described under Mission and Purpose. The relationships among the Board, administration, faculty, staff, and students are spelled out in two sets of bylaws. One set of bylaws provides the framework for the Board's responsibilities, including election and duties of officers, meeting requirements, and committees. The second set of bylaws focuses on the responsibilities and organization of the faculty. Both sets of bylaws address the administrative structure and define who is a student and who is an alumnus or alumna of the institution.

The Board appoints and evaluates the Executive Director of the Board for State Academic Awards who serves as the President of Charter Oak State College. The Board also sets new goals for the following year.

The Board is required by its bylaws to meet at least quarterly but generally holds six meetings a year (January, March, May, July, September and November). Board materials are sent about ten days prior to a meeting and, at the same time, are shared with the union president, the staff, the student and alumni association presidents, and others requesting such information. Board meetings are posted with the Secretary of State and are open to the public in accordance with the State's Freedom of Information statutes.

Board meeting agendas include action items related to the Board's policy and fiduciary responsibilities and may include personnel items (staff appointments and personnel policies that are not part of collective bargaining) and approval of major new initiatives. At every meeting, the Board receives financial information, enrollment and marketing data, and information regarding student financial aid disbursements.

Through the administration, the Board encourages the various constituent parts of the institution to come forward with suggestions and concerns regarding items before the Board and maintains open channels of communication with union representatives. Each July, the Board addresses the budget for the fiscal year, and every two years adopts a budget request which is forwarded to the Governor through the Office of Policy and Management and to the Board of Governors for Higher Education, through the Department of Higher Education.

The Board also has responsibility for collective bargaining contracts (all BSAA employees with the exception of the Executive Director/President of Charter Oak State College, Provost,

dean-level positions, and confidential employees are members of the American Federation of State and Municipal Employees – AFSCME). The Board periodically engages in strategic planning and approves a new plan for the College every five to seven years with cyclic assessment and plan revisions.

The Board has established a Personnel Committee but has determined not to establish other committees because of the Board's small size. The Board put its personnel committee practice on paper in 2010-11 to ensure that it is following it consistently and to ensure transparency. The Personnel Committee deals with personnel policies for management and for all personnel if the policies fall outside of collective bargaining. The Committee also considers collective bargaining issues, approves the establishment of new positions or position reclassifications, administrative salaries and some benefits.

Executive Staff

The Executive Staff includes the President, Provost, Dean, Chief Financial and Administrative Officer (CFAO), and Chief Information Officer (CIO). The Board delegates to the Executive Staff responsibility for managing the institution. Regular Executive Staff meetings are held to discuss and make recommendations regarding policy, procedures, programs and services. The Executive Staff members also propose items for the Board agenda. In addition, discussions are regularly held with members of the Cabinet, consisting of administrators in information technology, admissions, financial aid, registrar, academic affairs, institutional effectiveness and finance, prior to bringing initiatives and policy and fee changes to the Board or prior to making major procedural changes. The President also consults with the Student Association on issues such as fee increases and policies affecting the student body.

Offices and Divisions

To accomplish its mission, the College is organized into the following offices and divisions:

Office of the President. The responsibilities of the Office of the President include financial development, institutional planning, overall assessment of institutional effectiveness, policy development, information technology, external relations, and public information and legislative affairs. These responsibilities are carried out in conjunction with the other administrative officers—Provost, Dean, CIO, and CFAO. Until May 2011, the President's Office had an administrative assistant who also served as the College's legislative liaison. With the planned reorganization of higher education in Connecticut and the departure of the person in this position, the President has hired an administrative assistant. The Director of Marketing and Public Relations also reports to the President.

Office of the Provost. The Provost is responsible for ensuring that the College runs smoothly. The Provost oversees the Undergraduate Programs, Academic Counseling, Registrar's Office, Institutional Effectiveness, Admissions, and the Faculty. In addition, the Provost acts in the President's absence.

Information Technology Office. The CIO is responsible for the College hardware, the network, the student information system, the College Web site and staff training.

Undergraduate Programs. The Undergraduate Programs functions under the direction of the Dean. Major responsibilities include supervising the instructional design faculty, the undergraduate office, the instructional faculty, and the coordinators of special programs.

Division of Finance and Administration. This Division is under the direction of the CFAO. The CFAO has responsibility for financial planning, budgeting, financial records, purchasing, contracts, personnel, affirmative action and financial aid disbursement.

Faculty

The Provost is the academic leader of the College and guides the work of the faculty, which is described more fully in Standard Five.

Core Faculty members are appointed by the Board as part time employees and are normally selected from persons serving in active status as teachers and/or administrators in Connecticut higher education institutions. (This is a change since our 10 year review. In January 2011, the core faculty and teaching faculty were moved from contractors to part time employees.) The names of the faculty groups were also changed in the by-laws to Core Faculty, Teaching Faculty, and Special Assessment Faculty. Every effort is made to maintain a faculty with appropriate representation from two-year and four-year colleges and universities and balanced in terms of academic scope; racial, ethnic, and gender diversity; and public/private institutional background. Core Faculty appointments and reappointments are recommended to the Board following a search and approval by the President's Advisory Council and the Academic Council. The Board with the approval of the Academic Council appoints a member of the Academic Council as Dean of the Faculty for a two-year term. Another member is appointed as Associate Dean of the Faculty.

All academic decisions and academic policies are considered and approved by the various academic committees and most are sent to the Academic Council for final approval. Through this structure, faculty engage in planning, development and revision of academic policies, and assessment of the academic program. The Core Faculty is also called upon to make decisions on individual students. Some decisions are delegated to the Provost but are governed by approved policy. These decisions are subject to review through regular graduation audits conducted by the faculty.

Teaching Faculty (approximately 144, an increase of 38% over 2006) are selected by the Dean, reviewed by members of the College's faculty-based Distance Learning Committee and by the Board.

Special Assessment Faculty (over 300) are engaged when special expertise is required for portfolio reviews, special assessments, contract learning or the review of non-collegiate-sponsored instruction. These individuals are usually selected from faculty teaching in Connecticut colleges and universities. However, in the case of an uncommon field, Charter Oak contracts with faculty who teach at institutions outside Connecticut.

As described in Standard Five, the Core Faculty, along with the Provost and Dean, have responsibility for academic policies and the approval of bachelor's degree concentrations for every student. In conjunction with the Academic Counselors, the Core Faculty guide students through their degree programs. The Core Faculty is the academic voice of the College.

Other Organizations Associated with the College

Charter Oak State College Student Association. The Student Association is a formal organization described in Standard Six. The Director of Academic Services is the advisor to the Association. The Association conducts an election every two years to select student representatives

to serve on the BSAA and the Charter Oak State College Foundation Board. The President and Provost meet with the Association periodically to discuss student fees and other matters, such as the Student Code of Conduct.

In addition, the needs and opinions of students on a broad range of issues are regularly solicited through surveys and e-mails, and this input is used to develop, revise, and enhance programs. Students serve on College committees. Students, along with alumni, regularly testify at legislative hearings regarding their Charter Oak experiences.

The Charter Oak State College Alumni Association. The Alumni Association is a volunteer organization of graduates of the College also described in greater detail in Standard Six. The Director of Admissions had been the advisor to the association. However, in 2008, a staff person was named Director of Corporate and Alumni Relations. The Association is governed by a board elected at the Association's annual meeting. Through the Association and other outreach efforts, the College involves alumni in institutional support and fundraising, seeks alumni suggestions regarding programs and services, had developed an ambassadors' club, and provides opportunities for alumni to network and grow professionally. Twice a year, the College publishes *Connections*, which includes both College and Alumni news.

The Charter Oak State College Foundation. The Charter Oak State College Foundation was established in 1977 as a private, non-profit 501(c) (3) organization with the mission of supporting the needs of the College. Its structure and activities are detailed in Standard Nine.

Role as a Constituent Unit in the State Public Higher Education System. As the head of one of the constituent units in the State Public Higher Education System, the Executive Director/President sits with the other unit heads and the Commissioner of Higher Education to discuss issues and policy directions. The College also is represented on the statewide Advisory Committee on Accreditation by the Provost and on the Board of Governors for Higher Education's Standing Advisory Committee by the Assistant Director of Academic Programs. This may all change with the reorganization Connecticut's higher education system.

Appraisal

In January 2011, the status of its faculty changed from consultants to part time employees. This decision was made to be in compliance with Internal Revenue Service employee guidelines and was driven by the increased demands the College was placing on the faculty due to the substantial growth in online course offerings and enrollment and the resultant increase in the need to have faculty more involved in assessment of online courses, faculty development, CPS approval, outcomes assessment and participation in the "life" of the College. The bylaws were amended to reflect this change. The structure for securing the faculty did not change. The Core Faculty are still drawn from the two and four year regionally accredited colleges in Connecticut and the Teaching Faculty are hired for their subject matter expertise nationally. Having faculty more involved with the College has been positive. For example, the Dean of Faculty participated on the search committee for the Dean; the Associate Dean of Faculty participated on the visioning committee and cornerstone development committee; and the faculty committee chairs and Academic Council are participating in the five year NEASC review and they will participate in the development of the new strategic plan.

In addition, the size of the faculty committees was increased from 16 to 20 to better accommodate the needs of the students in the cornerstone course and to provide for the planned enrollment growth.

The Board is very attuned to the mission of the College. As new members join the Board, they are oriented by the Executive staff and previous members. In 2010, the Board and the Executive Staff held an all day retreat to help the Board better understand the distinct roles of Charter Oak and the Connecticut Distance Learning Consortium (CTDLC) and the infrastructure they have in common. It also gave both groups a chance to team build.

The Executive Staff structure was changed after our 10 year review. At that time, the College had a Vice President for Academic Affairs—there was no Provost—the position and the person was elevated at the time the new president was appointed. The position of Dean of Development, Marketing and Enrollment Management was eliminated and the work redistributed to the Director of Admissions, who reports to the Provost, the Director of Marketing and Public Relations, who reports to the President; and to the President. Finally, the Dean of Planning, Research and Assessment was a shared position with CTDLC. The strategic plan called for a stronger emphasis on data which led the Executive Committee to hire a full time Director of IE who reports to the Provost.

Charter Oak reviews its Bylaws as part of its Strategic Planning process and will review them in line with the BOR's strategic plan once it is developed.

Projection

The College will adjust to the changes the reorganization will have on the governance structure of the College. The BSAA will continue to have a role until January 2012. In the meantime, the College will continue to operate as it has in the past and will embark on a new strategic planning process in the fall of 2011.

With the constant changes in the state system, the hiring of faculty from the state colleges and universities has become more difficult; therefore, the Provost will need to continue to monitor the College's faculty structure. This may only be a temporary problem as the state is making budget cuts and full time faculty are taking advantage of early retirements.

Orienting new teaching faculty and keeping teaching faculty engaged with the institution are key to maintaining academic quality and rigor and retaining students. The Dean, along with her staff, has developed a plan to increase faculty involvement and to keep our course completion rate at 85-90% or better.

With the increased pressure on core faculty to review CPSs in a timely manner, the Dean will need to assess process, work load, and compensation to determine if changes are needed.

The College does not foresee any change in the organization and governance structure of the faculty in the immediate future unless a graduate program is added.

Institutional Effectiveness

The current organizational structure has been effective. To strengthen the working relationship of the Executive Committee, its members participated in a team building process. The Executive Committee also had a retreat with the Board to strengthen the working relationship of the two groups. The anecdotal information from the Board and Executive Staff confirmed that the retreat was very beneficial. The Executive Committee will complete an assessment in the fall 2011 to measure the success of their team building exercise.

The Board has provided guidance while allowing the College the flexibility to change and grow. The Executive Staff works well together as evidenced by the outcomes of the work with the consultant. The faculty structure allows the College to be nimble at meeting educational needs and cost effective.

Standard Four: Academic Program

Although Charter Oak now offers over 275 online courses and has a six credit residency requirement, students may take courses elsewhere, or use standardized examinations, special assessments or portfolio assessment to earn their degree.

In 1990, Charter Oak began offering courses because students were having difficulty getting into courses at other institutions. Over the last five years, that difficulty has worsened due to increased college enrollments and budget cuts that have decreased the size of their faculty.

As Charter Oak has increased its academic offerings, it has also increased academic oversight by:

- Hiring a Dean and additional instructional design staff;
- Reorganizing the Distance Learning and Registrar's Office staff to appropriately align operational functions;
- Restructuring the course/faculty evaluation process, including the data analysis of results;
- Deploying software (Starfish) to track student and faculty activity in the course;
- Requiring a faculty orientation and ongoing faculty development for Core and Teaching Faculty;
- Using a student authentication program (Acxiom);
- Requiring the Cornerstone course to ensure students can handle college-level work; and
- Requiring the Capstone course to ensure that students are graduating with a solid understanding of their concentration and that they have college-level writing and critical thinking skills.

Since a number of these activities have been initiated since 2006 when Charter Oak completed its ten year review, they are addressed below.

Dean: The hiring of a dean was a strategic decision based on the exponential growth in online course offerings resulting in an increased need for course, student, and faculty oversight. This change also allows the Provost to spend more time on program growth, grant writing, and overall college oversight. The Dean has direct responsibility for the instructional design staff (3FTE), the undergraduate staff (1 ½ FTE), and four program coordinators (4 FTE); for overseeing the Cornerstone and Capstone courses, including assessing their success; for overseeing the instructional faculty, including the course/faculty process and faculty development; for administering Starfish; and course scheduling.

Instructional Design Staff: When the Director of Distance Learning resigned, the College restructured his position. The decision was made by the Executive Staff based on the recommendation of the Provost, Dean, and Distance Learning Committee to hire 1 ½ FTE instructional designers and to promote the current instructional designer to a coordinator role. The Executive Staff determined that the Dean could provide direct oversight to the instructional design

staff and that the need was at the course development level not management level because of the growth of online courses, the need to redevelop courses as part of the 5-year course review process, and a backlog in course development.

Reorganization: Responsibilities such as entering grades, developing course schedule bulletins, and developing calendars moved to the Registrar's Office. This has allowed the undergraduate office staff to concentrate on the 5-year course reviews and refine their course scheduling process.

Faculty Evaluation Process: The College has developed its own evaluation instrument with the assistance and approval of the Assessment Committee and the Distance Learning Committee. The instrument is e-mailed to all students and this fall will be embedded in each course shell and allows for data to be compared across items, subject areas, years, etc. resulting in data that can be used for program and faculty improvement.

Starfish Retention Solutions: Starfish is a software program that allows the College to track student and faculty activity. Starfish was purchased to help the administration and Academic Counseling better track activity in the online courses and thus increase retention. Secondly, it allows the administration to also track faculty activity. It was implemented as a pilot in the cornerstone courses in spring 2011 with full implementation in summer 2011. The Dean, the Registrar, the Director of Academic Services and the Director of Financial Aid have used Starfish to develop a comprehensive communication plan of notices and interventions. For students, participation is two graded activities each week and for faculty it is activity at least every 72 hours. For example, if a student doesn't participate during the first week, a Starfish report is generated and an e-mail goes to the student followed up by a phone call from Academic Counseling. Although faculty participation is not a problem in our courses, occasionally an instructor disappears from his/her course because of an emergency and the College doesn't find out until a student contacts the College. This system allows the Dean to know when an instructor is absent. In addition, it provides information that can be used for the "last date of attendance" required by financial aid.

Axiom: Axiom was implemented in spring 2011. It is authentication software that uses data mining of public information. The College first used it to verify addresses. Approximately 25 students were claiming in-state residency when they did not reside in Connecticut. They were all sent notices and told that if they could not verify that they resided in Connecticut their status would be changed impacting future billing. The College will continue to use it for that purpose. In addition, it is being used to verify student identity in courses. Randomly, students will be asked to verify who they are before they can proceed with their course work. The College has developed a process which is handled by the Registrar's Office. This process was piloted in summer 2011 with full implementation in the fall 2011.

Cornerstone Course: As mentioned in the Overview section, the faculty wanted a way to assess incoming student writing skills and student ability to do online course work, as well as a way to make students develop their concentration plans of study (CPS) upon matriculation to the college. After at least a year of discussion by the faculty committees, a subcommittee comprised of faculty with expertise in writing, faculty who had taught freshman orientation courses, and advising staff was convened to develop a three-credit course that all incoming students would take. All had experience teaching adults. Once the course was developed it went back to the faculty committees and the Academic Council for approval. The course began in fall 2010. There were 25 sections,

with a total of 345 students. As part of the course, students take a writing assessment (Criterion). If they score a 1 or 2, they are taken out of IDS 101 and placed in a writing course. The faculty and staff have made adjustments to the course, the College has conducted additional training for the instructors, and the Dean is monitoring student participation using Starfish.

In addition to items mentioned in the Overview and above, Charter Oak made a number of other changes to better serve its students:

Library Resources: The College has expanded its library resources in preparation for offering graduate level courses and to shore up deficiencies left by the cuts to the data bases offered by ICONN. With the assistance of a library consultant who analyzed Charter Oak's database needs in line with its courses and the acting library director at Central Connecticut State University, the College purchased access to a number of data bases. (Appendix J)

To ensure that students know how to use the data bases, they must use the library resources as part of the Cornerstone course. A tutorial will be developed this year for the students. To encourage faculty to refer students to the online library, there is a link to the library within the course shell. Faculty are informed about what is available in the online library as part of their orientation, and have played an active role in selecting the data bases. The College can track usage of some of the data bases and has seen a growth that corresponds with the growth in required papers, especially in the Cornerstone and Capstone courses.

Concentration Review: The College has been involved in an ongoing review of its concentration outcomes over the last 10 years. Now that all of the concentrations have undergone a final review process as part of the development of the concentration capstone courses, the Dean has developed a cycle for review. The Assessment Committee will review the products developed in the Capstone course to determine if they demonstrate understanding of the concentration outcomes. If not, the results will go back to the appropriate faculty committee and Capstone instruction for review to determine if there is a problem with the course or the outcomes. If there is a problem with the course, the instructor will be asked to revise the course and then the Capstone product in the revised course would be assessed. If there is a problem with the outcomes, the appropriate committee would revise. Additionally, the outcomes for each concentration will be on the same review cycle. The review cycle does not preclude a faculty or staff member requesting that a change be made before the concentration is scheduled for review. And recommended changes, along with supporting material, would be presented to the appropriate faculty committee for approval. If approved, the instructor for that capstone would be notified of the change so it would be incorporated in the course.

Assessment. This is addressed in the section on page 6 entitled: Give emphasis to its success in enhancing its institutional culture of evidence especially in enhancing its institutional culture of evidence especially with respect to understanding what and how students are learning, evaluating instructional quality, and assessing overall institutional effectiveness

Course Development Planning: The Dean, based on enrollment patterns and input from faculty and staff, has established a sequence for course development. The plan is flexible enough to allow for adding other course developments such as grant funded workforce development courses and courses resulting from the program needs analysis study conducted by Melior. As a result of

that study, courses were added to the development cycle in the areas of small business, logistics, and information technology leadership. Those additions were approved by the core faculty. The consulting firm also recommended a program in health information technology which would cost the College approximately \$100,000 to develop, implement, and accredit. This program is on hold pending state budget decisions.

Degree Programs

The programs of Charter Oak are designed to fulfill its mission of providing diverse and alternative opportunities for adults to earn degrees by combining prior learning with the acquisition of new knowledge through a variety of sources. All students come to Charter Oak having earned a minimum of nine credits. Some have accumulated more than 120 credits but have no degree. Many students bring a wealth of experience and knowledge that is equivalent to college-level course work.

The College offers four degrees: AA, AS, BA and BS. The associate degrees require a minimum of 60 credits and the bachelor degrees require a minimum of 120 credits. The 40-credit outcome-based general education requirement meets State and NEASC standards for liberal arts and distribution requirements. Bachelor degree candidates and associate degree candidates must have a minimum of 60 and 30 credits, respectively, in the arts and sciences. Although other majors besides general studies are not offered, the baccalaureate concentrations are similar to majors in that they include in-depth knowledge in one or more fields of study. The concentrations have a minimum of 36 credits, 15-18 are upper level credits, all have a required Capstone course, and many have prerequisites. There is no reference to specialization on the Charter Oak diploma, but the official transcript indicates the designated concentration and general studies major. Concentration outcomes and overall degree requirements are online and in the *Official Catalog*.

The curriculum is designed to accommodate students' individual learning styles and personal goals and offers students several options for earning credits. These options include earning credits for: completing Charter Oak's online courses or directed independent study; achieving successful scores on standardized tests (CLEP and DANTES) and other tests such as TECEP and NY Language Exams approved by faculty; prior learning based on portfolio assessment and special assessment of licenses; non-collegiate education/training that has been evaluated and recommended by the American Council on Education (ACE), the National Program on Noncollegiate Sponsored Instruction (PONSI), or the Connecticut Credit Assessment Program (CCAP), a validation function of the Board for State Academic Awards; and credits transferred from regionally accredited colleges/universities; and CT DHE licensed and accredited colleges. Charter Oak will also accept graduate credits toward the undergraduate degree as long as the credits are not used toward a graduate degree. Charter Oak's transfer policy is on the Web site and in the catalog.

As a degree completion college and an aggregator of credit, Charter Oak does not require a set number of credits other than the Cornerstone and Capstone courses—6 credits.

General Education: The associate degrees require a minimum of 20 and the bachelors' degrees require a minimum of 40 semester hours in general education. The Capstone course and previously the Academic Autobiography ensure that students have competence in written English, critical analysis and logical thinking. The new Cornerstone course and the online courses ensure the students graduate with information literacy skills. The College has designated what general education outcomes are met by Charter Oak courses, standardized examinations, and for all of the courses in our transfer catalog of over 3,000 courses. The College requires that students successfully complete courses or prove that they have knowledge in science, math, U.S. and non-U.S. history, current global understanding, social and behavioral science, ethics, art and literature, oral

communication, written communication, and information literacy. These requirements also meet Connecticut's guidelines for general education.

Integrity in the Award of Academic Credits:

Charter Oak's degree completion program is similar to other regionally accredited degree completion programs. As mentioned earlier, Charter Oak benchmarks its offerings and policies against similar institutions.

Since Charter Oak does not require its students to earn all of its credits from Charter Oak, both the admissions and counseling staff are knowledgeable about other ways to earn credit and advise the students of their options.

The Provost and Dean, along with its Core Faculty, are responsible for academic program oversight. Academic policies are approved by Core Faculty before being promulgated. Changes to policies that impact the entire College, such as the adoption of the Cornerstone and Capstone courses involved the President's Executive Committee, the Cabinet, staff, student association, and Core Faculty.

The Dean is responsible for hiring, assessing and developing faculty. She oversees the evaluation of prior learning, student evaluation process, course development, and student progress. The Registrar is responsible for overseeing the registration process. The Director of Academic Services has the main responsibility for student retention and the Director of Admissions has the primary responsibility for recruitment.

Charter Oak is very aware of the Department of Education's credit hour definition. The "Dear Colleague" letter of October 29, 2010, does allow for flexibility. According to the letter, "the institution determines the amount of credit awarded for student work. It is up to institutions to gain confidence through peer review in the accreditation process that their credit hour policies and practices consistently met conventional academic expectations." In our accreditation process, the quality of courses has not been challenged. The College's determination of the amount of credit awarded is based on the policies overseen and developed by its faculty. The developers for most of the courses have taught the courses elsewhere so they know what is required in a three-credit course. The College provides the course developers and reviewers with the "best practice" guidelines and course level guidelines. Course developers and instructors, as well as students, are given the guideline that a three credit course will take approximately 45 hours of class room time and 130-135 hours of computer time and study time per course, regardless of course length. When courses are developed, faculty members with expertise in the content area evaluate the course outcomes, level, methods of assessment, text books and required readings, assignments, and credit amount. The first time the course is taught a core faculty member monitors the course and provides feedback to the instructor and administration. Corrective action is taken if needed. Charter Oak has a policy for non-rehire of faculty that was approved by the Academic Council.

Charter Oak has a Coordinator of Special Assessments who administers the portfolio assessment and special assessment programs. The actual portfolio assessments, non-credit program assessments and credential assessments are conducted by faculty with expertise in the content area. The assessment process is clearly outlined on Charter Oak's Web site and in the *Official Catalog*. Students who want to earn credit for portfolio assessment must take a three-credit course for which they earn three credits for the course and an additional three credits if their first portfolio is approved.

Charter Oak posts all of its policies on its Web site and in its *Official Catalog*. The policies are reviewed annually as the new catalog is developed and updates are made.

Charter Oak has incorporated a segment in its Cornerstone course on cheating and plagiarism, has links in its course shell, has its Student Code of Conduct posted on its Web site and in the *Official Catalog*. Charter Oak subscribes to Turnitin, a plagiarism detector, and now to Acxiom authentication software. In addition, cheating and plagiarism are addressed in the new teaching faculty orientation and through other faculty development activities. Faculty can allow students to submit their papers to Turnitin before submitting it as a final assignment, thus using it as a pedagogical tool.

Charter Oak has courses in 15, 10, 8, and 5 week formats. Most courses are either 15 or 8 weeks in length. No matter the length, the outcomes are designed for 3-credit courses. The 8 week courses are the most preferred by the students because they seem to fit best in their busy lives. However, Charter Oak found that some courses didn't work well in 8 weeks, such as accounting, so it is offered in a 15 week format. The 10 week courses are the two-credit portion of the individualized and liberal studies capstone. It has a five week one-credit component where students formalize their project and a two-credit 10-week component for developing the project. Other five-week courses include a one-credit research writing course, and math refresher course and twelve public safety administration courses.

Based on feedback from students, faculty, and staff, the College will be adjusting its calendar to allow a one week break between each eight week and five week term. This will give students a break between terms and allow the time for the staff to advise students after grades have been submitted and before the new term begins. This will be especially beneficial for students having academic difficulty. For example, if a student failed the Cornerstone course, they were already in another course before final grades were received. The student then had to be removed from that course and put back in the Cornerstone course after the course had started.

Charter Oak offers a number of credit certificates or credentials. They have gone through the same development and review process as the credit courses and concentrations. They also apply towards the degrees awarded. (Appendix K) Charter Oak will be reviewing them to see if any fall under the "gainful employment" rules.

In addition, Charter Oak offers a number of non-credit programs. They have been developed with practitioners and core faculty, as appropriate. Each course has gone through a review process either by our faculty or by state-wide committees. Continuing Education courses for teachers have Connecticut State Department of Education provider approval and the RN Refresher course has Board of Nursing approval. (Appendix L)

Assessment of Student Learning:

Student learning is assessed by the faculty against their stated course outcomes and by the Capstone course. In addition, students complete the ETS Proficiency Profile as part of their capstone experience so the college can compare their learning to member colleges of TBD and to the national norm. Students also do a self assessment of knowledge gained on the Graduation Survey and later on the Alumni Survey. Data from all of these sources are used as part of the program review process.

The hiring of the Dean, the requiring of the Cornerstone and Capstone courses, the implementation of ETS Proficiency Profile, and the hiring of an additional part time person in the Institutional Effectiveness Office demonstrates the College's commitment to assessment of student learning.

To ensure academic integrity in the degrees offered, Charter Oak instituted successful completion of a Capstone course as a graduation requirement. This process was in its pilot phase when the College did its Self Study in 2006. The purpose of the course is to assess student learning,

i.e., can students apply what was learned in their concentration, can they think critically, and can they write at a graduating senior level. Based on the pilot improvements were made: one course was totally redone, one course was revised, and the assessment process used by the Assessment Committee to measure the effectiveness of the Capstone was revised. Currently, each paper/project is read and scored by two Assessment Committee members who assign an individual holistic score to the paper. Holistic scores for reader one and reader two for each paper are then averaged for a mean holistic score. The scores are then compared to the grades the papers received. The Dean has also developed a five-year cycle of Capstone reviews.

Appraisal

A preliminary analysis of data from NSSE and ETS Proficiency Profile indicates that outcomes for Charter Oak students are similar to the average scores of comparable colleges. Charter Oak scored slightly lower on NSSE question related to solving complex real world problems. However, on the writing and critical thinking questions, they scored at the average level. On the question related to how hard they had to work in the course to meet instructor's expectations, Charter Oak students scored higher than the average. (Appendix M) Student self-reported data from the Graduation Survey show that the students are broadly educated. (Appendix G) The results of the Assessment Committee's evaluation of the Capstone projects show that the Capstone courses are accurately assessing the students' mastery of the concentration outcomes and their critical thinking and writing skills. It is too early to know if the Cornerstone course will improve student retention.

The Provost and Dean have begun reviewing concentrations to determine if some should be eliminated due to low enrollment, if others need to be updated to make them more relevant to today's workforce needs, and to determine the cost of adding majors. The College eliminated the organizational management concentration beginning 2010-11 due to lack of enrollment. This year, the College revamped the concentration in early childhood studies to make it align to the changes at the state level and will be participating in a State Department of Education pilot of the revised concentration. Based on the Melior study, two foci were added to the business concentration (logistics and small business) and one to the information studies concentration (leadership).

The Assessment Coordinator examined the fee structure and policies for portfolio review, special assessment, and the Connecticut Credit Assessment Program. As a result, new fee structures were implemented and policies were changed. In addition, the Coordinator developed an online orientation to assist in the training of faculty who conduct portfolio assessments.

The College is evaluating its Alternate Route to Teacher Certification in Early Childhood Education program to determine its future. This program was designed with six other colleges with a grant from the State Department of Higher Education based on state legislation. The program is not financially self-supporting. The program has been accredited by the State and continues to meet the needs of a number of early childhood teachers who otherwise could not achieve this credential. There is also legislation pending that would restructure the program. The Executive Staff has decided to continue the program for now because the College has a strong state presence in the early childhood arena and to wait until the legislature and the State Department of Education determine how the regulations will change and if they change whether there will still be a need for the certificate or for a slightly different certificate.

Charter Oak is concerned about the higher than usual failure rate in the Cornerstone course; therefore the director of Institutional Effectiveness is conducting a data analysis of the students to see if there is a difference in initial preparedness for college, number of credits transferred, where students were previously educated, time of matriculating to the College, how students pay for

college, score on Criterion, etc. Once these data are analyzed, the College will develop a plan of action. The data are being compiled for students in fall 2010 and spring 2011 terms. This data collection and analysis will become a routine part of the College's assessment plan and is an example of how Charter Oak is aggressively using its assessment information to improve student services.

Projection

Using data from the Melior and Eduventure studies, the College will develop at least two new undergraduate degree programs and continue to move towards graduate degrees and certificates. The College recognizes that if it is going to meet its enrollment goal of 5000, it must add programs that will attract students and develop an aggressive marketing campaign.

As the College embarks on its strategic planning initiative, the staff, led by the Executive Committee, will need to have open and frank discussions about whether or not it wants to move from being a general studies college to one that offers majors.

Institutional Effectiveness

The culture of Charter Oak is one of assessment. It was founded on the principle that it is possible to assess learning, regardless of its source. Faculty, administration, and staff are in full support of this principle and exemplify it through policy development and implementation of programs.

Policies for the assessment of learning are developed by Core Faculty and implementation of these policies is monitored through regular evaluations. The College regularly surveys students and graduates through its Graduation Survey and Alumni Survey to determine if they are satisfied with their experience at Charter Oak and if it has prepared them for further study and/or career advancement. The data indicate that the students are very satisfied with their experience (95%) and that they are well prepared for graduate school and/or work.

The College employs an outcome-based approach to developing courses, concentrations, and general education requirements and has a process in place for regular evaluation of quality of instruction (courses are evaluated each time they are taught). Charter Oak has implemented the Capstone course as an assessment tool to determine if the College is graduating students who can write at the college-level and have a solid understanding of the outcomes of their concentration.

Charter Oak regularly assesses its programs and services through student and faculty surveys. It responds appropriately to student requests for better service as is evident in the expansion of library services, changes to the web site, a wider variety of course offerings, and a proposed graduate degree. Faculty and academic counselors are instrumental in assessing student needs and their recommendations have led to changes including the development of the Cornerstone course, the Capstone course, and changes in the format of the online courses.

The commitment of Charter Oak to evaluating the quality, integrity, and effectiveness of its programs is exemplified by the fact that the College hired a full time Director of IE, was a founding member of TBD, and has been instrumental in establishing a peer group for benchmarking. In addition, the College will be using both Quality Matters and Sloan's Quality Scorecard to assess its online program and is using NSSE and the Proficiency Profile to improve student services and general education. The College is part of the Gates Metrics project which is working with a cross section of higher education institutions to produce a set of measurements covering such areas as: student retention, cost per degree, student loan repayment and default data, student learning, and job success. The College is also part of an Eduventures project that is gathering data from online institutions to use for benchmarking and possibly college rankings. In addition, the College prepares a Results Based Accountability Report Card for the state each year which addresses the College goals, successes, and areas for improvement. (Appendix D)

The Director of IE uses data from the SIS to analyze recruitment and retention patterns; the Dean uses data from SIS and Blackboard to track student course retention, satisfaction, and grades, and faculty quality; Admissions uses data from the SIS to track changes in application behavior; Academic Counseling and the Dean are using Starfish data to improve retention; the Registrar's Office and the Dean are using Acxiom to authenticate students; the ID staff is using WIMBA voice to add to the quality of online courses; the Academic Counseling staff is experimenting with WebEx, part of the VOIP phone system, to offer Webinars to students; and Admissions is using live chats to interact with potential applicants. The results to date have been very positive.

Starfish has helped the Academic Counseling staff to know within a few days of each term and then throughout the term if students are not participating in their courses. E-mails are automatically sent to the student, but also to the Academic Counseling Office so the academic counselors can follow up. As a result, student issues are solved quickly and students are back on track towards course completion. As mentioned elsewhere in this document, Acxiom has helped us

to identify students and then follow up with students who have given false addresses to the College. The decline in student applications and matriculations in the spring 2010, which is an unusual pattern (spring matriculations have always been higher than fall), has resulted in the College contracting with Eduventures for further analysis.

Standard Five: Faculty

Charter Oak's faculty model is different from that of most institutions. It presents great challenges, but also great rewards. The faculty model allows the College to employ individuals with subject matter expertise and knowledge about adult learning from across the state of Connecticut, and nation.

Charter Oak has three distinct but related groups of faculty: Core Faculty, Teaching Faculty, and Special Assessment Faculty. The first two groups are paid as part time employees and the third group as contractors. This is a change from our 10 year review where all were paid as contractors. The college made the change because of the demands it is placing on the faculty for assessment and accountability.

The members of the Consulting Faculty (subsequently referred to as Core Faculty, Special Assessment, and Teaching Faculty) as provided by statute, shall be appointed by the governing board in adjunct status as consultants. Their responsibilities are:

- To establish requirements for such degrees as the College is authorized to award;
- To establish requirements and standards for award of academic credit and academic assessment;
- To advise students;
- To validate credits earned at other accredited institutions;
- To make original awards of credit;
- To make recommendations to the governing board for award of degrees to duly enrolled and qualified candidates; and
- To teach and develop courses and assess student work. (Charter Oak By Laws REVISED 2011)

The process of appointment differs for each group. Members of the Core Faculty are appointed/reappointed by the Board for State Academic Awards based on the nomination of the President, recommendation of the President's Advisory Committee (PAC) and approval of the Academic Council (Bylaws 7/29/2004). The President, in conjunction with appropriate staff, is authorized to hire Special Assessment and Teaching Faculty. The Teaching Faculty is also approved by the same Core Faculty members who review the courses for content. The Board receives bimonthly reports of the Special Assessment Faculty appointments and approves continuing appointments every three years. The Board approves new Teaching Faculty at the beginning of each semester. Upon appointment, a faculty member receives a letter of engagement or a contract that explicitly states the nature and term of the appointment.

The College adheres to its affirmative action policy of seeking diversity of race, gender, and ethnicity where possible in filling faculty positions. Data Forms for Standard 5 show the demographics for the Teaching Faculty. The composition of the Core Faculty for 2010-11 includes 52 percent women; 13 percent non-white; 55 percent from public institutions; and 79 percent from four-year institutions.

Stipends are reviewed every two years and are based on function and service provided. Core Faculty are paid for each function they perform, including attending faculty meetings; evaluating

students' concentration proposals (advising); reviewing new course proposals; developing concentrations; assessing portfolios; establishing course/concentration outcomes; performing graduation audits; evaluating Academic Autobiographies; developing, teaching, or approving learning contracts; and participating in Connecticut Credit Assessment Program (CCAP) evaluations. They voluntarily participate in graduation and other social and professional functions held at Charter Oak. Special Assessment Faculty are paid for each service they perform, and Teaching Faculty are paid for teaching and/or developing courses. A schedule of the faculty compensation is included in the online *Faculty Handbook*

Core Faculty

Charter Oak selects Core Faculty from public and independent two- and four-year institutions in Connecticut. They are chosen for their particular expertise and an educational philosophy, which is compatible with that of an external degree program. Faculty must be knowledgeable about adult learning theory and possess an understanding of non-traditional students. Once faculty are nominated based on these criteria, they are interviewed by the Provost to determine their understanding of non-traditional students and non-traditional education.

The Core Faculty is at the center of the College. The members help the College carry out its mission with integrity and quality. They establish and supervise the College's academic standards and regulations. They are primarily evaluators of learning. The Core Faculty ensures that, no matter how the learning is acquired, a degree from Charter Oak is equivalent to the same degree awarded by a traditional, regionally accredited institution of higher education.

This equivalency is achieved by the following: Core Faculty have developed Charter Oak concentrations based on major requirements at their own institutions and at other regionally accredited institutions; they evaluate and approve the Academic Autobiography graduation requirement; they determined the requirements for the Cornerstone and Capstone courses; they assess the Capstone projects; and they conduct the final graduation audits on twenty percent of each graduating class. They evaluate the course content and pedagogy of our distance learning courses, and determine if they are equivalent to a three-credit course based on their own experience of teaching the courses. Evidence of the equivalency includes: Charter Oak graduates are accepted into graduate schools in all disciplines, including medical science and law.

The Core Faculty has evaluated the quality of work of Charter Oak students as equal to or better than the work of the students at their respective campuses.

The faculty is highly dedicated to Charter Oak. Over the last few years, the College has lost a number of our core faculty to early retirements at the state institutions. However, the faculty the College has recruited as replacements are just as dedicated. They volunteer to do "chat" sessions, attend social functions, help us with complicated transcript evaluations, review program proposals, etc.

The disadvantage to not having "regular" faculty is turnaround time, and with only three meetings a year, it is hard to get decisions made in time to meet the *Official Catalog* publication deadline. As a result, Charter Oak uses e-mail to conduct necessary business between scheduled meetings. The other disadvantage is that Charter Oak has to work around faculty schedules, sometimes resulting in delays in getting the Concentration Plans of Study and Academic Autobiographies approved in a timely manner. To alleviate this problem, the College has increased the number of Core Faculty on each committee.

The recruitment of Core Faculty is usually conducted once a year and begins in the spring semester. The Provost sends letters to the provosts, vice presidents and academic deans at colleges across the state describing the role of the Core Faculty and requesting nominees in the areas of

expertise needed. All nominees for the Core Faculty are interviewed by phone or in person by the Provost. The nominees are presented by the President to the President's Advisory Council (PAC) for selection and recommendation to the Academic Council, and are then forwarded to the Board for State Academic Awards for three-year initial appointments beginning on October 1. Approved reappointments are for a five-year period. In the selection process, the PAC looks at expertise as well as for diversity in race, gender, and type of institution.

The faculty is organized into four academic committees and two program committees who are empowered by the Academic Council to assist in its work. The Academic Council establishes academic policy and the requirements and standards for award of academic credit, sets requirements for such degrees as the College is authorized to award, validates credits earned at other accredited institutions, and makes recommendations to the BSAA for award of degrees to duly enrolled and qualified candidates. The Council is composed of 18 senior Core Faculty, including the chairs of each of the academic committees, and two Charter Oak staff. Core Faculty who retire from teaching at their home institutions are eligible to be appointed to the PAC. As members of the PAC, they are non-voting members of the Academic Council. One member of the Academic Council serves as the Dean of the Faculty and another as Associate Dean. Both serve for two years; ordinarily the Associate Dean becomes the Dean. The Dean and Associate Dean are approved by the Board upon the recommendation of the PAC after consultation with the Academic Council and nomination by the President, or his designee.

There are four academic committees: History and Humanities; Behavioral Sciences and Human Services; Mathematics, Science and Technology; and Business. The Academic Council delegates authority to the academic committees to establish policy matters that are distinctly discipline related. Academic committees approve concentration plans and essays, grade Academic Autobiographies, develop or revise concentrations, establish concentration outcomes, and approve learning contracts. Committees consist of a maximum of 20 members, each of whom is a content expert in a field appropriate to the committee. Each academic committee is chaired by a member of the Core Faculty who is nominated by the Provost in cooperation with the Dean of the Faculty and is approved by the PAC, the Academic Council, and the Board. The chairs of the academic committees serve for a period of two years.

There are two program committees: Distance Learning and Assessment. Members are appointed to each committee using the process noted earlier. These committees are empowered to develop policies and procedures in their area of responsibility and present them to the Academic Council for approval. The Distance Learning Committee is comprised of Core Faculty and Teaching Faculty. Members of this committee also review course content and monitor new instructors of online courses. The Assessment Committee is comprised of Core Faculty and other faculty with expertise in assessment. Its members develop general education outcomes and participate in the assessment process of the College.

The College holds an orientation for all new Core Faculty members. At the Core Faculty orientation, the President of the College, Dean of the Faculty, Provost, Dean, Director of Academic Services, Registrar, and Portfolio Assessment Coordinator explain the mission, structure and policies of the College, the responsibilities of the faculty, and introduce them to the Concentration Plan of Study. Charter Oak requires its Core Faculty to participate in professional development and therefore has established a faculty development fund, offers development opportunities, and provides them with access to its online faculty resource center. Instead of attending one of Charter Oak's sponsored events, they may participate in an activity sponsored by their own campus.

Core Faculty play a key role in advising students on course and degree selection and in assessing writing ability as part of the CPS; and for those students still under the old process, the Academic Autobiography. They also are available to assist the Charter Oak academic counselors

with advising questions. Faculty interact with the Counselors through faculty committee meetings, phone, and e-mail.

Special Assessment Faculty

Special Assessment Faculty are recruited and trained by Charter Oak's Assessment Coordinator and approved by the Board on an as-needed basis to conduct special assessments of non-credit programs, credentials, and certificates and portfolio reviews when members of the Core Faculty do not have the expertise in the field being evaluated. Special Assessment Faculty may come from outside Connecticut when appropriate expertise is not available at Connecticut institutions.

Teaching Faculty

The Teaching Faculty brings a diversity of experiences, knowledge, and expertise to Charter Oak thus providing a rich educational experience for the students. Members of the Teaching Faculty are recruited through various means including advertising and recommendations from academic administrators or current members of the faculty. They are hired for course development and/or course instruction. When Core Faculty members review the course proposals, they also review the academic credentials of the instructor to make sure they have the appropriate expertise, and the Dean checks teaching references. Some members of the Teaching Faculty also serve on the Distance Learning Committee. The contract between the College and the course developer gives ownership of the course to the College. This is a change since our last review. At that time the course was jointly owned for the first five years and then became the property of the College. Rehiring of faculty is based upon successful evaluations and need.

Members of Charter Oak's Teaching Faculty are geographically dispersed. They are as near as Central Connecticut State University, which is across the street, and as far away as Hawaii. Having faculty from Connecticut was important when Charter Oak first started developing online courses because many of the faculty required training; but today, most of the faculty Charter Oak hires have experience teaching online and are already familiar with Blackboard, Charter Oak's learning platform.

Charter Oak requires the teaching faculty to participate in at least one professional development activity a year. They can participate in Charter Oak sponsored activities and apply for funding or attend activities at their own institutions. In the College's faculty development site, the College provides information and copies of articles on the latest in online pedagogy, research on adult online students, and new technologies and an electronic subscription to a distance education newsletter. There is also a chat area where faculty can share their experiences and expertise. One of the Instructional Design staff monitors and keeps the site up to date.

The Teaching Faculty is provided with grading rubrics, with specific guidelines for course development and interacting with the students, and with methods for ensuring academic integrity. They also receive information on how to direct students to the sample online course available for orienting the student to the distance modality, tutoring, the Information Literacy and Research Writing courses for students who need assistance, the help desk, and the online library services. In addition, they have 24/7 Help Desk support. Last year 399 tickets were logged, an increase of 369 percent over the previous year. The faculty also have ongoing help from the Instructional Design staff.

Appraisal

Charter Oak has been fortunate to have a Core Faculty comprised of many who have served more than 15 years. Over the last two years, as budgets decreased, full time faculty workloads increased, adjunct hiring increased, and early retirements increased at the colleges in Connecticut, Charter Oak has had some difficulty in filling vacancies in our Core Faculty. In 2010-11, four of our faculty slots went unfilled as faculty either decided to retire during the year or were given additional assignments. Our pool of qualified candidates for 2011-14 was strong even though the College needed additional faculty because of the increase in size of each committee.

The growing number of course developments and five-year course reviews was not being managed well. As a result, courses were being posted to the course schedule and then having to be cancelled because they were not developed and five-year reviews were falling behind. In 2010-11, the Dean and the Instructional Design staff developed a process and a monitoring system with firm guidelines and firm timelines and a policy for terminating the contracts of those who do not meet them. In 2010-11, the College also set up a mandatory policy for faculty development. However, with the change in staff in the “distance learning office” the policy was never written into the contract of the faculty and therefore was not implemented. It has been implemented for fall 2011.

In 2009-10, the College decided to bring the course evaluation in-house in order to have control over the data for decision making purposes. The Director of IE took over this responsibility. The Director of IE, along with the Provost and the Assessment Committee, redesigned the evaluation instrument to align some of the questions with TBD and to eliminate redundancy. As a result, the Dean and Provost now have data that can be used to assist in the faculty and course evaluation processes. These data are routinely analyzed and shared with appropriate constituencies.

Core Faculty are evaluated through consultation with staff and the committee chairs on the basis of their attendance and active involvement in committee meetings, evaluations of subject-matter consultative services, and mentoring distance learning or learning contracts. A form is sent to the committee chairs annually. Based on the recommendation of the committee chairs and staff, the Provost decides whether or not to continue their “employment”. This process has been successful in identifying poor performers who need to be replaced.

Members of the Teaching Faculty are evaluated by members of the Distance Learning Committee who monitor the courses and by students who complete course evaluations (See Standard Four). The course monitoring process allows the administration to intervene as soon as problems are identified instead of waiting for end of course feedback. End-of-course evaluations are reviewed by the Dean to identify any pedagogical problems that may exist. These, along with input from her staff, are used in determining if teaching contracts will be renewed. If problems are identified, there is a process in place that includes faculty development and mentoring. The evaluations are sent to the instructors. In addition to the end-of-course evaluations, the Graduation Survey requests students to comment on their experience with distance learning courses.

Starfish will be used to monitor faculty activity in their classes. To be in compliance with how the federal government counts attendance, the Academic Council voted to have the faculty require at least two graded activities each week. This becomes effective with the fall 2011 semester. Initial review of the course requirements found that this would not be a burden for most instructors.

Projection

The Provost will continue to assess the core faculty hiring situation at the end of each recruiting period to determine if adjustments need to be made. Any change in process would need Board approval.

The Dean will implement the mandatory staff development policy for teaching faculty. Instructional Design will set up a plan to ensure that the teaching faculty keep current in new technologies and engage with their students. The impact of the plan on retention and student satisfaction with the courses will be used to determine success.

Institutional Effectiveness

Charter Oak's faculty structure allows the College to quickly address workforce needs, the needs of its students, and the needs of its administration. It also allows Charter Oak to continue to be an affordable, quality alternative for adults to complete their degrees.

In addition since it draws its faculty from other educational institutions, it gains from the insight they bring from their experiences on their own campuses. This helps the College ensure that the education students receive from Charter Oak is equivalent to or better than the education at other colleges in Connecticut.

Standard Six: Students

The typical Charter Oak student is female (68%), white (69%), 40 years old, part time (90%), a Connecticut resident (69%) and takes 6.3 credits.

Since Charter Oak doesn't accept first time students, it truly is a second chance college. As a result, from its earliest beginnings, it required that students have at least 9 transferable college credits in order to apply for admission to demonstrate that they "have the ability to benefit," that is, can do college level work. Therefore, the College never offered remedial courses.

Students can be admitted on a probationary status providing they and Admissions feel they have a realistic chance of getting off of probation by the time they have completed twelve (12) credits. If not, the Admission's Staff suggests they enroll as a non-matriculating student or they take classes elsewhere to bring up their grade point average and then reapply. The Admission Policy is clearly stated on the Web site and in the catalog.

Charter Oak administers two programs for economically and educationally disadvantaged adults: Women in Transition (WIT) and the Connecticut Wage Program. Both have been extremely effective. As of fall 2010, of the 148 in the WIT program, 108 (73 percent) had graduated and 36 were still active; in the CT Wage program of the 52 students, 23 had graduated and 29 were still active. In addition, Charter Oak has a state grant (Con Cass) to increase Hispanic enrollment. The funds have been used for marketing, recruitment, tutoring, and developing a special English composition course resulting in a 55 percent increase in enrollment from 143 students in fall 2008 to 221 students in fall 2010. Con Cass funds are slated to be cut from the State's budget for 2011-12; however, the College is committed to continuing to recruit and serve the Hispanic population.

Charter Oak has revised policies around academic standing, leaves of absence, and withdrawals to reflect changes in federal requirements and to be in sync with the College's new semester-based fee structure. All of the policies were approved in 2010-11 by the Academic Council, as well as the Cabinet and by the Board if appropriate. The new policies will be printed in the 2011-12 Catalog and displayed on the Web site and included in *Update*, the student newsletter.

Student Services:

Retention research clearly demonstrates that students need to be connected to the college. Therefore, in addition to ensuring that the Teaching Faculty are responsive to students in the online courses and that they foster a learning community atmosphere and that Academic Counselors are

proactive in engaging their students, the College sponsors a number of activities that bring students together virtually and in person. These are coordinated by the Director of Academic Services. In addition to having a virtual lounge, activities have included: workshops on employment issues, networking, how to write a resume, how to navigate an online course, student association meetings, meet the faculty dinners, how to write the CPS, how to use the College portal, and social activities with alumni, faculty, and staff.

Academic Counseling has also implemented a number of initiatives to better serve the students. Below is a list of services with an evaluation of their successfulness:

- Online Self-paced Orientation: While it did not reduce the number of phone calls predicted, it did provide a resource that Academic Counselors could refer students to for assistance and spurred discussion for incorporating the information into the Cornerstone course.
- Course Approval by Counselors: To enhance student advising and to meet the requirements of financial aid, the Academic Counselors approve all courses that students register for. This has helped to prevent students from making errors, although it has increased the workload of the academic counselors. The Counselors are looking to see if the SIS can be better utilized to cut down on processing time.
- Jenzabar Advising Module: The Academic Counselors hoped that the SIS would add scalability to their processes. That has only partially occurred. The Director of Academic Services, the Registrar, and Information Technology staff continue to see what changes can be made to make the system more efficient. This summer they will bring in a consultant from another college that has successfully implemented the advising module for assistance.
- Student Drop Box: Academic Counseling created an e-mail box and an advising line to assist with routine student inquiries. At first both were staffed by Academic Counselors, which proved to be ineffective. A clerical person was hired to staff both, which has been highly successful. This frees the Academic Counselors to answer more complex questions.
- Changes to the Cornerstone course: To reduce Academic Counselors' workload and to assist students in the course, the Instructional Design Office offers a Webinar on *How to Navigate an Online Course* and Academic Counseling offers *How to Download and Use Your Advising Worksheet*. Then in week four, Academic Counseling offers a Webinar on *How to Construct Your Concentration Plan of Study*. This has resulted more efficient use of Academic Counselors' time and a higher student success rate in the course.
- Since students are coming to the College with 10-15 fewer credits than in the past, Academic Counseling is revising the concentration information on the Web site to help the students understand how the concentration fits into the entire degree plan. The information will also be better segmented between prospective and current students.

Charter Oak maintains a disabilities office under the direction of the Director of Academic Services to assist any students with learning or physical disabilities. Information on these services is available on the Web site and in the catalog. Instructors are also made aware of this office and what service it provides. This academic year it meant providing voice activated software, access to e-texts, and arranging for oral examinations.

Charter Oak developed a Student Code of Conduct in 1990. It was revised in 2000, 2004, and 2007. In May 2011, it was revised to reflect the addition of the Dean and to strengthen the language around internet cheating, student authentication, and cyber-bullying.

Charter Oak has an active Student Association. Its leadership includes members from within and outside of Connecticut. The Student Association assists with the planning of the student

activities. A representative of the Student Association is a member of the Board of Trustees. Under the new state reorganization structure, the College will have a student representative on the Board of Regents' Student Advisory Committee.

The Registrar's Office implemented electronic transfer exchange allowing for students to send their transcripts to the College electronically. This has been very effective resulting in evaluations being done more quickly.

In 2010-11, the Registrar's Office implemented an electronic transfer transcript exchange. In 2010, the College became a member of the National Student Clearinghouse (NSC). In March 2011, it began using NSC's degree verifying service. These changes resulted in time and money efficiencies for the Registrar's Office.

Charter Oak firmly believes that retention starts with recruitment and therefore; the first experience a student has with the College is extremely important. To this end, the Admissions Office along with the Marketing and Public Relations Office and other offices have implemented a number of changes to provide the students with a positive initial experience. Below is a list of activities and their successes:

- Implementing an online application: This resulted in faster processing time and fewer errors because data entry was eliminated.
- Implementing an online communication plan: This resulted in quicker response time, provided prospective students with access to their application file, and increased high-tech, high touch points.
- New processes for following up with prospective students: Restructured staff to follow up with inquiries, prospects from recruiting fairs and informational sessions, and reenrolled students. This has resulted in getting prospective students into the communication cycle.
- Daily live person chat and Webinar-weekly chat: Both provide prospective students with easy access to admissions staff and have decreased the amount of redundant phone calls.
- Developing a non-traditional transcript Web page: This resulted in fewer phone calls from students and decreased time for receipt of non-traditional transcripts, thus faster processing by Charter Oak.
- Integrating military, WIT, and Aetna applications into normal application process: This reduced processing errors and allowed these students to be integrated into the communication plan.
- Changing the acceptance period from 12 months to 6 months: This change was done to encourage earlier matriculation. This, coupled with the new semester-based fee structure, should increase matriculations. In fall 2012, data on the success of the change will become available.
- Enhancing the College's partnership with the Navy: Admissions developed a micro-Web site for the Navy, which includes Ratings Roadmaps for Business, Public Safety Administration, and Health Care Administration concentrations. Admissions is tracking enrollment data to measure success.
- Promoting workforce development programs: Admissions emphasized marketing of Health Care Administration, Public Safety Administration, and Early Childhood Education concentrations resulting in increased registrations in these areas. Admissions and the Coordinator of the Connecticut Credit Assessment Program updated certain assessments such as Marshals Service, State Police, etc., which resulted in increased enrollments.

In addition Charter Oak became a founding member of Graduate!Connecticut, a program designed to help adults return to college. The Provost is a member of the Board and the Director of Admissions is on the advisory committee. This is a consortium of colleges in the Hartford area that has agreed to work together to encourage adults to return to college.

Charter Oak has an active Alumni Association. Part of the College's Strategic Plan is to increase alumni involvement. As a result, the College has added a full time person devoted to corporate and alumni affairs. The Alumni Association assists in the recruitment of students, especially out-of state, assists in fund raising, and sponsors a number of social events. A member of the Alumni Association is on the Board of Trustees and on the Foundation Board.

Marketing:

The Marketing and Public Relations Office has developed a strategic marketing plan. Over the past three year period the marketing mix has changed to better reflect how students are finding the College. The Web site has been redesigned for easier navigation and to provide greater interaction with prospective students and alumni.

Financial Aid:

Charter Oak was part of the Federal Demonstration Project which allowed online institutions to offer financial aid. Since 1997, Charter Oak's awarding of financial aid has increased from 88 students to 865 students in 2010-11. The largest increase has been in the last three years, from 350 to 865, fueled by both the economy and the availability of Charter Oak courses. Charter Oak publicizes its financial aid award process in its Catalog and online.

To ensure compliance with financial aid regulations, the College hired an outside consultant to conduct a review. The consultant found no major areas of weakness, but made some suggestions for easier processing. As a result, the College is purchasing a software package that will allow students to accept their awards online, thus decreasing the time it takes the staff to make awards. It will also allow the students to follow the process of their application and award online thus decreasing the number of phone calls to the financial aid office. This new service will be available in the fall of 2011. In addition, the financial aid office piloted, and because of its success, is now using the CTDLC Help Desk to answer routine Financial Aid Office calls. This has allowed the staff more time to deal with "real" problems. To enhance the student's ability to self-serve, the Financial Aid Office is working with the Marketing and Public Relations Office to redesign its section of the Web site. To ensure that it is easily understood by the students, it will be reviewed by students before it goes live. This will be ready for fall 2011. The College has been implementing these methods so that it can scale the services of the Financial Aid Office with exiting staff while maintaining quality.

Charter Oak uses PowerFaid for financial aid processing. Students, through the SIS portal, can track their individual financial aid application/award process. Available scholarships are also listed in the Catalog and online and publicized in Update, the student newsletter.

The College Catalog contains the directory information policy and FERPA statement/policy. The College has policies on record retention and disposal and acceptable use. (Appendix N)

Appraisal

Charter Oak has been monitoring its student demographics and course-taking behavior. Matriculation data show that our student body is changing, more in behavior than demographics.

Over the past five years, the average age has stayed constant, number of full time students has increased to 10 percent in FY 11 from .05 percent in FY 08 (the first year we reported full time students); students on FA have increased from 380 in FY 08 to 890 awarded in FY11 (134 percent increase); the number of matriculated students taking Charter Oak courses increased by 29.7 percent over the previous year while the number of matriculated students not taking Charter Oak courses has declined by 16.7 percent. This trend was noticeable for the past three years. To adapt to these demographic and behavioral changes, the College has made a number of changes, including: increasing the number of courses offered, increasing student support services, developing programs to better orient students to online learning, expanding the online library, enhancing the communications systems, Web, and student portal, adding the Cornerstone and Capstone course requirements, and reorganizing the Registrar's Office and Distance Learning Office.

The Director of IE prepares the analysis looking for trends and anomalies. Annual data are provided to Connecticut's Department of Higher Education, shared with our peers for benchmarking, reported on TBD Web site, and used in the strategic and annual planning processes. Trends that the College has noticed are:

- number of students on FA has increased significantly and it appears their withdrawal rate is also increasing;
- more matriculated students are taking Charter Oak courses;
- more students are full time;
- seemingly higher withdrawal rate from the College since the adoption of the Cornerstone course;
- 6 year graduation rate remains high; and
- course completion rate has remained constant.

The IE Office will be analyzing data to shed light on the higher than usual failure rate in the Cornerstone course and on students who withdrew from or failed the course to see if there was one reason or multiple reasons. The data analysis will be presented to the Cabinet and to the Academics Council. IE will also analyze the financial aid data to determine if there is an increase in students withdrawing or not attending their courses once aid has been disbursed. With the changes in financial aid disbursements, earlier to cover books, the Business Office is concerned that it will have to spend more time trying to retrieve funds. The Business Office and Financial Aid Office will monitor the process.

A few years ago, when the data clearly showed that students were struggling with math, a one-credit math refresher course was added, MAT 100 Elementary Algebra. Later, when data showed that the students were having difficulty with writing, ENG 100 Writing Refresher for three credits and ENG 103, Research Writing for one credit were added. In 2010-11, Charter Oak added the Cornerstone course (IDS 101) as a gateway course to the College to address the need for a writing refresher, as an orientation to the College and online learning, and for the need for students to develop their concentration plans of study. If students fail the course, they can take the one-credit developmental writing course. However, if, after two attempts, they can't pass the course, they will be dismissed and advised to attend a community college to improve on their skills. The College participates in the online writing and tutoring program offered by CTDLC, which is free to the students.

The College is reviewing admissions and retention data on a monthly basis to see if it is on target to meet its strategic goals. The data are reviewed by the Admissions and Advising Staff, by the Cabinet, and core faculty, and a report is presented at each Board meeting. The current data shows that the College did not meet its matriculation goals for this year; however, it did increase by

7 percent over last year. Since applications were down both from last year and from goal, the Cabinet is discussing the impact this will have on the College goal of 5000 students by 2014.

Projection

The Dean and the Director of IE will monitor changes in the student body to help the Executive Committee determine what direction the College needs to take. Reports will be made to the Executive Committee and Cabinet monthly and at the end of each term. The Cabinet will be discussing admission, enrollment patterns, and retention patterns as it finalizes this year's budget and as it embarks on its next five year strategic plan.

In 2011-12, Admissions and Academic Counseling, working with Marketing and Public Relations and Information Technology, will redevelop the Web site and portal to increase student access to information. A plan will be developed for monitoring success.

As part of their strategic plans, Admissions, Academic Support Services, and the Alumni Office will develop additional ways of connecting students to the College with the goal of attracting the right students for the college, retaining the students, and graduating satisfied students who will become active alumni and proponents of the College.

Institutional Effectiveness:

As part of the College's strategic plan, the institution assesses its effectiveness in admitting and retaining students and the appropriateness of its student services. As mentioned earlier, the College is examining the students who didn't successfully complete the Cornerstone course. Recruitment and retention data are reviewed monthly at the Cabinet meetings. Current data shows our students are younger, entering with fewer credits, carrying increased credit loads, and taking more Charter Oak courses. The College is monitoring to see what impact this will have on one year and six year retention rates.

The NSEE data supports the Graduation and Alumni Survey data that the College collects: 95 percent of students are satisfied with their experience at Charter Oak and 94 percent would "start over again" at Charter Oak.

Standard 7: Library and Other Information Resources

Since Charter Oak offers only online courses, it provides only online library services to its students and faculty. From 2005 through 2008, Charter Oak contracted with Jones e-Global Library and used ICONN (the State of Connecticut's online library) to provide services to its students and faculty. In 2008, Charter Oak hired a consultant to review its library needs. The consultant reviewed the courses, surveyed faculty, and reviewed current holdings. As a result of the review and ICONN reducing its number of data bases, Charter Oak subscribed to its own data bases. (Appendix G) Charter Oak spends approximately \$23,000 annually for data bases and for the "ask-the-librarian" service. The library budget is \$ 34,700 for FY 12 which includes \$20,000 for consulting services. The College is committed to increasing the library budget to support new program development.

To ensure that students know how to use Charter Oak's library, an orientation to the library and assignments requiring students to use the library are built into the Cornerstone course. In addition, all new faculty are oriented to the online library. Charter Oak can monitor the usage of certain of its data bases. The reports show that usage has increased.

The staff has become more proficient in using the capabilities of the SIS, students have greater access to their academic and financial data; course registration has been streamlined; all

forms including forms for dropping and adding courses, graduation, and grade appeals are online. The Web and the student portal are continually updated to include the information students need to succeed at Charter Oak.

The College, through an agreement with the CTDLC, provides a 24/7 technical assistance help desk. The CTDLC handled 5057 student calls in 2009-2010, an increase of 115 percent over the previous year.

In addition, the College provides free online tutoring to its students.

Appraisal

Charter Oak does not have an on ground library; therefore it has to rely on the purchase of subscriptions to library resources. As mentioned above, a consultant reviewed Charter Oak's library. Based on the consultant's recommendations a number of data bases were added. The Teaching Faculty has found that the data bases sufficiently meet the needs of their courses.

Because not all of the data bases have a usage reporting feature, Charter Oak does not know how many student use the library. However, there are links in all of the courses to the library, a library orientation is part of the Cornerstone course, faculty are given an orientation on the library resources, teaching faculty are encouraged to have students use the library, when courses are developed the reviewers look for library assignments, and data from the available sources shows an increase in the usage over the last five years.

Projection

The Provost will hire a consultant in 2011-12 to once again review the library resources to see if they are sufficient for the concentrations offered. If the College moves into graduate education, it knows it will need to increase library resources.

Institutional Effectiveness

Charter Oak's current online library meets the needs of its students and faculty and supports the concentrations that are offered.

Standard Eight: Physical and Technological Resources

Description

Charter Oak is housed in two buildings. The main building on Paul Manafort Drive in New Britain houses the President's Office, Academic Affairs, Registrar's office, Admissions, Academic Counseling, Financial Aid, Institutional Effectiveness, Undergraduate Programs, Instructional Design, and Marketing and Public Relations. The Business Office and Informational Technology Office are housed with the Connecticut Distance Learning Consortium on Alumni Road in Newington which is about two miles from Charter Oak's main building. Both buildings are equipped with teleconferencing equipment that can be used for meetings; however, most meetings are held face-to-face including a monthly all staff meeting. Some of the staff telecommute a day or two a week. On those days, staff can either use web or phone conferencing to join in on meetings.

Description and Appraisal

Over the past five years, Charter Oak has significantly increased its technology infrastructure to provide better service to its students and staff. The BSAA has implemented a number of initiatives to increase its data center efficiency and capacity including:

- Developing a disaster recovery plan which included deploying its first physical “warm” site at a remote facility in Springfield, MA to reduce the amount of recovery time for its major systems, such as BlackBoard and e-mail.
- Doubling the physical size of the data center, expanded the HVAC system, and power systems to ensure that data center downtime is at a minimum. This has resulted in less than a 1 percent down time for the past three years and has resulted in no unplanned downtime that impacted the entire data center.
- Expanding its storage area network from an approximately 8TB SAN with a 2GB fiber channel backbone to a 40TB SAN with a 4GB backbone which led to a dramatic increase in both expandability, stability, and backup and recovery. Installing Dark-Fiber (100% leased) between its two facilities to allow the Alumni Road site to support more staff and created the foundation for the new phone system that will be installed late summer 2011. The result is over 30 times greater bandwidth at a cheaper price point than the previous leased circuit.
- Migrating from a single firewall to two firewalls in active/passive configurations to ensure that if one piece of hardware fails, the data center will remain online.
- Creating a Virtual Server Environment (VM Ware) and migrating many of the physical servers that ran the college to virtual servers allowing for capacity building without requiring more physical space.
- Installing a dry fire suppression system in the data center to reduce risk of fire. The College also installed security cameras to prevent risk due to actual break ins.
- Starting the migration from checkpoint “secure client” to Juniper SSL VPN to make it easier and more secure for staff to work from home and from any computer within the College. Once the new phone system (VOIP) is implemented, staff working at home will be transparent to the students.
- Installing encryption software on all laptop computers for security of data.

To improve its instructional program, the following changes were made:

- Upgraded BlackBoard to version 9, which improved the quality of the courses and provided the instructors additional teaching options
- Migrated contract for single shared BlackBoard license to a dedicated system with pre-production server and testing server, which has allowed for integration to Jenzabar, our SIS system, and the ability to test and implement multiple plug-ins such as Wimba voice and Star Fish which the College purchased. This migration increases the stability and capabilities of Charter Oak’s online classroom and provides a closed incubator for faculty and staff training and development.

To improve student services:

- Developed ACORN student portal to provide enrolled and visiting students an online environment to review and register for courses, view grades, pay bills, receive announcements, view their academic record, etc. resulting in a reduction of data entry and

upkeep for the former Distance Learning Office, reduced the amount of time between grade reporting by faculty and transcription by the Registrar, and reduced the amount of phone calls regarding individual student accounts.

- Synchronized user accounts between the JICS Web portal, Blackboard, library, and SIS. The result is a single username and password that minimizes authentication issues and helpdesk calls while providing a more streamlined way to provision and de-provision user accounts.
- Implemented CashNet and upgraded Power FAIDS resulting in the Financial Aid Office being able to increase their volume three-fold without adding staff.
- Implemented Acxiom, student verification software, to insure the identity of the student taking our courses, including verifying in state and out of state residence.
- Implemented Starfish software to track student and faculty participation in online courses to meet the Federal Financial Aid requirements and to increase student retention. A pilot was conducted in the spring 2011 semester in the Cornerstone courses to see how the product worked and to see how well it integrated with BlackBoard. The pilot showed that additional linkages needed to be built to cut down on manual processes. Those changes were made and the product was implemented college-wide in the summer.
- Moved all students to a Charter Oak e-mail address for all correspondence. Even though students are informed of the security and FERPA requirements for using this e-mail address through letters, the Update, BlackBoard, etc., some students still do not routinely check their Charter Oak e-mail. The College will continue to work on educating the students.

To Improve College Efficiencies:

- Evaluated scanning software which will be implemented in the fall. This will cut down the use of paper and enable further scalability in the Registrar's office, Academic Counseling, Admissions, and the Business Office.
- Provided all academic and business staff with single "large" computer displays so they can view two documents at a time with ease. This has made it easier for staff to assist students.
- Will implement a new phone system in the summer. Currently a college-wide committee is developing the guidelines for the system and a larger communication plan incorporating the phone system, with student portal, web site, and print material.
- Joined the Microsoft IT Academy, a corporate/education partnership with Microsoft designed to bring end-users and high-end technical training to both staff, faculty, and students. This partnership has allowed the College to provide approximately \$12,000 worth of training for a direct cost of approximately \$1600.
- Set up bi-monthly "Tech Friday" one hour training sessions on various topics around technology, new software, etc. delivered in person and/or through WebEx.
- Discussions are underway to utilize land of the Central Connecticut State University (CCSU) to locate a new 50,997 gsF, three story building for the College while the College awaits the new master plan for CCSU.
- Planning activities have been completed to launch an RFP for a design firm to be selected pending the completion of the master plan at CCSU.

The College's has increased its technology budget to keep up with the demands for hardware and software to support College functions, security requirements, and disaster requirements. The

budget varies from year to year depending on need: FY 08- \$395,436; FY 09 - \$239,084; FY 10 - \$581,577; FY 11- %544,463; and FY 12 - \$443,486.

Appraisal

Over the past two years, the College has invested significant dollars in technology to provide better service to students, improve the efficiency of the staff, and to meet regulations. Input from staff has supported the changes; however, the staff has requested further training on various new technologies to expand their knowledge and to increase effectiveness of these newly deployed tools. As a result, in 2010, the College created a position in Information Technology to oversee project management and user training. This position has ensured that there is coordination between the services that the College has contracted for (Microsoft IT Academy, Lynda.com, Jenzabar, and Adobe) and staff training. It also helps to ensure that projects have goals, measurable outcomes, and delivery timelines resulting in supervisors including technology proficiency as “an accountability” metric in annual reviews.

In 2011, Charter Oak hired a consultant firm to review its disaster storage plan. The review indicated that overall the College has a solid plan. However, it has been a couple of years since the plan has been updated. As a result of their review, the Executive Committee, led by the IT staff, will develop a new plan with priorities for recovery, impact statements, and cost.

Charter Oak’s technology budget has been sufficient to meet its technological needs. Charter Oak’s access to bond monies from the State targeted for technology will not occur during the next two fiscal years, therefore it has to rely on its own revenue. The growth in income from online courses and matriculation fees, as well as reserve funds, is used to support the needed technology infrastructure of the College during FY 12 & FY 13.

Projection

The College has made “efficiency” as one of the annual planning initiatives for 2011-12. In order for the staff to become more efficient using the technology the College has purchased, the IT staff will establish an ongoing system of regular training based on the identified needs of each department and a system to evaluate the effectiveness of the training.

The College will continue to plan for its new building with the goal of once again housing Charter Oak and the CTDLC under one roof.

The College will implement its new phone system and scanning technology and continue to improve the SIS, Starfish and Acxiom capabilities. The College will develop a way of measuring the results of these implementations to see if efficiencies were gained. The College will use the Graduation and Alumni Surveys and retention data to see if student services have improved.

Institutional Effectiveness

All of the examples listed above have been or will be implemented to allow the College to scale up while improving services and quality without a significant increase in staff. The College evaluates its physical and technological needs as part of the annual planning and budget process. The College has and continues to allocate a large percentage of its budget to maintaining its technological infrastructure.

The College is good about making sure that whenever technology or software is purchased, the potential users are involved in the request for proposal process and in making the final decision

for purchase. When product implementation involves more than one department, committees are set up to participate in the implementation phase.

Standard Nine: Financial Resources

Description

During the last five years, the College has continued to gain financial strength due to increased enrollments and improved services. While the state appropriation has remained basically flat and will decrease in FY 12, this baseline funding has been augmented by an increase in student activity, which resulted in increased tuition and fees during the same period. Since FY 2008, college fees have increased 62%. Fee increases have increased approximately 4.5% per year from FY 2009 through FY 2011 and approximately 3.2% for the resident academic services fee. Reserve funds net of bond and grant amounts have increased 58% to \$2,697,673 since FY 2008.

Foundation support has been impacted by economic conditions over the last several years. Foundation grants to Charter Oak students were reduced from \$30,000 to \$20,000 in FY 2011. Efforts are underway to increase the fundraising activities of this important adjunct to institutional resources.

The budgeting process continues to be inclusive and institutional budgets are now broken out by more departments instead of the larger divisional areas. This focus has increased the inclusion of the staff within the departments in the budgeting process. In addition, the College is now tying the budget to the institutional strategic plan. Major institutional goals for the year are coupled with resources from a funding set-aside for strategic planning or integrated in the resources given to a department. This integration has allowed for the timely implementation of many projects or initiatives over the last several years to advance the institution.

Fiscal oversight and planning is evident in monthly financial reporting to the Board and staff and by the ongoing audits by the State. All resources support the mission of the College.

Appraisal

Charter Oak has developed a pattern of obtaining both efficiency and cost effectiveness by leveraging the core skills of other state agencies and purchasing collectives. The most prominent example is the Charter Oak's use of its sister organization the CTDLC. Charter Oak contracts for Learning Management System hosting, helpdesk, and integration support through the CTDLC. This allows the College to focus on the pedagogical design, development, and interactions within the LMS and outsource the utility aspect of system "hosting."

Additionally, to provide economies of scale, Charter Oak and the CTDLC have adopted an employee salary sharing initiative. By utilizing this cost sharing option, Charter Oak is able to use as little as a one-quarter of a full time specialized IT employee to meet the horizontal needs of the College. The result has been a reduced IT budget that leverages personnel sharing with the CTDLC to grow College staffing by small increments. Together the shared employees are able to leverage their time to solve emergency problems at either organization. Additionally, the two organizations allow for greater "buying power" when trying to attract top-level IT staff.

The State's economic climate will create more challenges going forward. Planning is underway for FY 2012 to absorb a \$330,471 reduction in the state appropriation (14%) along with a pending union concession plan that will guarantee no layoffs for four years. The combination of decreasing state funding and the potential inability to reorganize functions of the College for cost savings will put more pressure on enrollment and new program development initiatives in order to

maintain organizational growth. The recent higher education merger of the State Universities, Community Colleges, and Charter Oak also adds more uncertainties including resource preservation, operational independence, and authorization of new program development.

Projection

There are many initiatives, including new program development, organization efficiencies, customer service enhancements, student recruitment and retention plans and Foundation fund raising activities that will continue to position the institution in a growth mode to maintain financial stability. The close connection of planning and resource allocation with the use of reserves will continue the evolution and viability of the organization.

Institutional Effectiveness

The college has sufficient resources to maintain and expand programs and services to students. Resources are managed effectively and appropriate controls are in place to continue financial stability. Resource allocation will continue to be tied to planning and evaluation.

Standard Ten: Public Disclosure

The Marketing and Public Relations Office has the main responsibility to ensure transparency on the College's Web site, in marketing, and in the dissemination of College information. The College has 2.5 FTE in its Marketing and Public Relations office: the Director, Senior Associate for Internet Marketing, and Senior Associate for Marketing and Communications. The Registrar is responsible for the accuracy of the Catalog, the Dean is responsible for the accuracy of the course information and syllabus, and the Director of IE is responsible for ensuring that the College's reported data is accurate.

The College is in the process of revising both its portal and its Web pages to make them more "user friendly" and integrating a content management system to deploy more staff to supporting the Web site function. "Owners" of the content, users within the College, and student input is being gathered as the sites are being reviewed.

On Data Forms 10 and 11, are lists of where the public disclosure information could be found on our Web site as of fall 2010. The College has carefully reviewed that list, updated the information on its Web site and provided additional information as appropriate.

Charter Oak added a cost calculator to its Web site on July 1, 2011. This allows students to calculate their potential cost and will be flexible enough to account for courses taken at Charter Oak, tests, courses taken elsewhere, etc. In fall 2011, the cost calculator will allow students to overlay financial aid on top of the cost to help them determine actual cost of earning a degree.

The Registrar instituted a personal information agreement on ACORN, our student portal so that students understand their responsibilities when registering for a course, including the costs associated with the course and that they need to drop it if they are no longer taking it. Unless students click the "I agree" button they are not allowed to move forward in the system.

Appraisal

Charter Oak is very transparent, as evidenced by the list of material that is available on our Web site. In addition it readily shares data with its peer colleges and with the TBD group. It also makes its academic and student policies accessible to the students and includes them in the Cornerstone course. Whenever there are changes in policies, the students are notified through the portal, through *Update*, and often by e-mail.

Based on survey results which indicated that our students prefer electronic copies of materials, the College reduced the number of Catalogs it prints, stopped printing a paper version of the Course Schedule Bulletin—it is now available online-- and created a course brochure for marketing purposes; the *Update* is published only electronically; but the *Connections* is both paper and electronic.

Projection

The Executive Staff will set up a plan, including funding, for evaluating and updating the Web site and portal on a regular basis. It will continue to make its data available through TBD.

Institutional Effectiveness

The *Official Catalog* is revised annually by the Registrar. The Marketing and Public Relations Office is responsible for approving all marketing material. All of the major documents are available in print and online to ensure easy accessibility. The College has a process for conducting audits of print and Web site information.

Standard Eleven: Integrity

Description

The Board for State Academic Award (BSAA) receives its authority from the Connecticut General statutes. It is guided in its operations by State laws governing Connecticut public higher education. In addition, the Board and, subsequently Charter Oak State College, must meet the specific standards of the Board of Governors of Higher Education and the New England Association of Schools and Colleges.

The Board for State Academic Awards expects that the stated principles, goals and objectives of the College are reflected in its actions as well as in its interactions with students, faculty, staff, and the public. In this regard, the College strives to assure that all of its print literature, its Web site, and its advertising provide accurate information about all aspects of its program.

The Board expects integrity and ethical behavior from its staff and itself and therefore has adopted its own Ethics Policy in May 2007. The College abides by the *State of Connecticut Guide to the Code of Ethics for Public Officials and State Employees* and is required to give all interviewed candidates a copy of the State's Ethics Statement. The College requires that all managers complete annual reports to the State Ethics Commission. The Chief Financial and Administrative Officer serves as the Board for State Academic Awards Ethics Liaison Officer.

College staff members are educated regarding their responsibilities under the Family Educational Rights and Privacy Act (FERPA). All requests for information about students are directed to the Registrar. A statement on FERPA is included in the *Official Catalog* and online, and is published yearly in *Update*. Staff members are instructed on how to handle calls from a parent or a spouse asking for information about a student.

The Board has approved a Statement on Academic Honesty and a Student Code of Conduct. These are available on the Web site and in the *Official Catalog*. There is a link from each course and they are included in the Cornerstone course.

Information about academic honesty and what constitutes plagiarism is available to students on the Web and included in each course, including the Cornerstone course. Students understand that faculty may use software to detect plagiarism for work submitted as part of a Charter Oak distance learning course. The Student Code of Conduct provides for a hearing process for students that protects their procedural and substantive rights by allowing for appeals to a faculty-appointed committee with a final appeal to the President. In addition, there is a process for final course grade appeals.

Students are given complete information about fees and refund policies in the *Official Catalog* and on the Web site. Students may submit an appeal for a fee refund in writing to the Provost.

The institution adheres to non-discrimination policies and practices as outlined in its Affirmative Action Plan, which is audited annually by the Connecticut Commission on Human Rights and Opportunities and distributed annually to all employees, along with information about plan goals. This plan covers all phases of employment including the search process, hiring, evaluation, and advancement. The Chief Financial and Administrative Officer serves as the College's Affirmative Action Officer.

The College strives to maintain a diverse staff and to create a climate that respects and supports people of diverse characteristics and backgrounds. All employees are required to participate in diversity training, and new employees are sent to such training during their first year of employment. Managers have participated in additional training to improve their ability to lead a diverse staff.

The College values pluralism and diversity and these principles are stated in the *Official Catalog* in the section on policies and regulations. The College strives to reach these goals through advertising in minority publications, outreach efforts in the minority community, and support once students are enrolled. Monthly reports to senior staff and regular reports to the Board include information on minority enrollment.

The College also has a policy regarding students with disabilities. The Director of Academic Support Services is the disabilities coordinator. Accommodations are made for students who self-identify and provide documentation concerning their disability.

Staff may participate in collective bargaining. The Collective Bargaining Contract provides the framework for dealing with personnel matters for all employees with the exception of managers and confidential employees. The contract contains a grievance procedure to resolve disagreements. There is a comprehensive set of Personnel Policies for managers and confidential employees, which was adopted by the Board after consultation with and advice from the employees concerned. The policies are periodically updated using the same consultative process.

The College complies with the policies and standards of both the New England Association of Schools and Colleges and the Connecticut Board of Governors for Higher Education and with all requests for information. In addition, the College responds to requests from the federal government and state agencies. As an agency of the State of Connecticut, Charter Oak complies with the State's Freedom of Information Statute and, as such, makes available all requests for information not privileged as a matter of law. Meetings are open to the public. In addition, the College established a policy in compliance with The Federal Trade Commission (FTC) regulation known as the Red Flag Rule (Sections 114 and 315 of the Fair and Accurate Credit Transactions Act), intended to reduce the risk of identity theft.

In September 2010, the Board sought to clarify and put in writing its responsibilities in the hiring of Charter Oak and CTDLC employees. It developed and approved the document "Roles and Responsibilities of the BSAA Personnel Committee."

One measure of integrity is how well the institution achieves its stated mission and thus its commitment to its students. Adherence to its mission is an overall strength of Charter Oak. There is a strong match between why students select Charter Oak and the College's stated mission: to offer coherent, college-level curricula and degree programs which incorporate transfer credit, examinations, and other methods of credit and competency validation. The top three reasons graduates give for coming to Charter Oak are flexibility of the program, acceptance of credit already earned, and types of concentrations available.

Another test of whether students believe that the College is transparent with them regarding all aspects of the program is information from the students themselves. A survey completed by 99 percent of the students at the time of graduation has consistently shown a very high rate of satisfaction with all aspects of academic and student services. The overall rating of "satisfied" or "very satisfied" has exceeded 96 percent over the past five years. The lack of negative comment is evidence that students believe that the College has provided the program and services they expected when they matriculated. Periodically, the College also conducts telephone surveys of drop-outs. Although some students drop out because they find they are not ready for independent learning or another institution has a program that fits better with their career goals, most students leave for financial, health or family reasons. It is not because they were dissatisfied with the Charter Oak program.

The College has an Institutional Review Board (IRB) with oversight by the Assessment Committee.

The College is in the process of gaining authorizations from all 48 states for its online programs. As it gains approvals, the information, as well as the complaint process, is being posted on its Website. The college will also be reviewing its credentials and certificates to see if any fall under the “gainful employment” rules.

Appraisal

The Charter Oak Board, staff and faculty place a high value on providing students accurate information about its program, requirements, and expectations. As discussed under Standard Ten, this is accomplished through its many publications and its web site. Efforts are made to assure that the information is accurate and consistent. On occasions, when the College substantiates that at the time of matriculation a student has not clearly understood the Charter Oak program due to information provided by Charter Oak staff, the student is afforded either additional time to complete the degree without an additional fee, or in some cases is allowed to withdraw with a refund of the matriculation fee. However, there are only two or three such cases a year.

College advertisements both in print and on the Charter Oak web site are reviewed for accuracy. In any collaborative activity with another organization or institution, Charter Oak requires review and approval of language used to describe the collaboration. The College regularly conducts a search of the Web to see if there is inaccurate information being portrayed about the College and quickly asks for it to be corrected or removed. To avoid misrepresentation of the College program, the College stipulates in all agreements that the College needs to approve any use of the Charter Oak name in advertising materials.

The importance of academic integrity is clearly communicated to Charter Oak students through many publications, including the *Official Catalog*, online course schedules, issues of *Update*, and through individual online course syllabi. Because the College is concerned about academic integrity, the College subscribes to Turnitin, a plagiarism detection service, and encourages all Teaching Faculty to use it in their courses and Acxiom, authentication software. Students are informed that the College uses these products.

As Charter Oak moved into offering more of its own courses, the Student Code of Conduct was updated. The Student Code of Conduct provides definitions of areas of misconduct and also provides the student with a process to appeal decisions they feel are unjustified. As mentioned earlier in the document, the Code was updated in 2011 to add language around cyber bullying.

Charter Oak faculty are expected to treat all students fairly. The first step to ensure that this happens is by helping faculty to understand the Charter Oak mission through faculty orientation sessions and presentation of materials. One way to ensure fair and equitable treatment is to maintain consistency in how faculty review student work, including portfolios, concentration plans of study, and academic autobiographies. Faculty developed rubrics and procedures and continuous faculty training are instrumental in ensuring fairness. However, there is no specific code of conduct for faculty.

Integrity is also important in staff interactions. The College believes it has a fair and nondiscriminatory workplace. There are grievance procedures in both the Union contract and the Affirmative Action Plan if staff members believe they have not been given an adequate hearing or redress. The College always works to resolve issues as soon as they are identified so a grievance does not need to be filed. The College community is proud that it has an outstanding record in this regard. In the past five years, only one case has gone through the formal grievance process. The

Union President attends meetings of the Board's Personnel committee and attends Board meetings. The Union President is invited to comment at these meetings regarding agenda items and may request to speak on a specific issue. The Union President meets regularly with the College President. These relationships have helped to settle problems before they have become major issues.

Projection

The Provost, Dean, and the Director of IE working with the Director of Marketing and Public Relations will agree upon what data to have on the Charter Oak Web site so students can have all the information needed to decide if Charter Oak is the right college choice for them and what it will cost to earn their degree. Charter Oak will continue to work with TBD to ensure that information on the TBD Web site (College Choices for Adults) is accurate.

Institutional Effectiveness

To ensure institutional integrity, the College monitors data including findings in surveys of dropouts, recent graduates and alumni; diversity numbers (application and matriculation information and graduation rates); grievances; and the results of violations of the Student Code of Conduct.

The College is pleased with the results of its efforts to treat students and employees fairly. Staff complaints have been resolved internally. The College has received four complaints that went to NEASC, the Attorney General's Office, or Department of Higher Education. All were resolved.

Student plagiarism problems have lessened as more faculty have incorporated using Turnitin as an education tool. The process to address this problem distinguishes between students who do not understand how to properly cite sources and those who intentionally copy another's work. The College offers instruction in appropriate research and writing skills.

Student complaints are investigated whether they are made by an active student or are submitted as part of the Graduation Survey.

The College will continue to pursue institutional integrity by auditing its publications, evaluating affirmative action data, responding to complaints from staff and students, and reviewing surveys from alumni and former students.

The over 95 percent satisfaction rate of students and its alum and the low number of complaints confirm that Charter Oak meets its stated mission, is transparent and effectively administers its programs and policies.

Overall Summary

Charter Oak State College's five-year review clearly demonstrates that it has made significant changes to ensure that it continues to be a quality, viable online institution while maintaining its mission of providing "diverse and alternative opportunities for adults to earn degrees." (P.2, *Official Catalog*)

It has successfully implemented new technologies, restructured and hired additional staff to address critical needs, increased the emphasis on assessment for program improvement and decision making, increased faculty and staff training, developed processes for better and more frequent communications with students by staff and faculty, linked planning with budgeting, and has become more transparent to students and to the public.

The development of the Self Study in 2006 and the comments from the Commission's review helped the College focus more on assessment and the impact of distance learning on the

college. As the College developed its annual plans, its vision statement, its annual enrollment goals, its budgets, and its strategic initiatives, these foci were a part of the discussion. The Five Year Report demonstrates that the College has been successful in expanding its online course offerings and online programs while maintaining and increasing its support to its other more nontraditional enterprises.

Plans for the Next Five Years

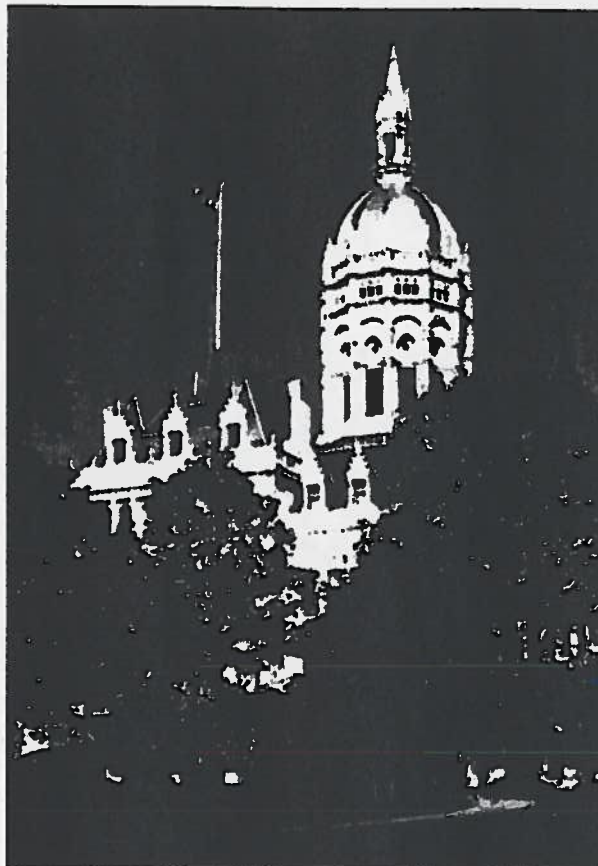
The College will move ahead with its plans to add additional concentrations and certificates, as well as the master's degree. Under the new BOR, the College will need to take all of its concentrations and certificates through the same process as the other colleges. Therefore, the College will need to decide if it is the time to begin pursuing other majors beyond our general studies majors.

Although the College is still not sure how it will be impacted by the BOR and the resultant governance structure, the Charter Oak administration is looking forward to working with the new structure. The administration recognizes that it will need to work with the BOR to ensure that it understands the mission of the College and the College's unique structure and its ability to scale quickly to meet state-wide educational needs.

The College will position itself to be the "go to" college for adults in Connecticut and the region. It will do this by expanding its programs to make them more workforce responsive, offering graduate level programs, taking the leadership role in Graduate!Ct, and partnering with other colleges to ensure seamless transferability.

APPENDICES

STATE OF CONNECTICUT



***AUDITORS' REPORT
BOARD FOR STATE ACADEMIC AWARDS
FOR THE FISCAL YEARS ENDED
JUNE 30, 2007 AND 2008***

AUDITORS OF PUBLIC ACCOUNTS
KEVIN P. JOHNSTON ❖ ROBERT G. JAEKLE

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STATE OF CONNECTICUT



AUDITORS OF PUBLIC ACCOUNTS

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ROBERT G. JAEKLE

July 22, 2009

**AUDITORS' REPORT
BOARD FOR STATE ACADEMIC AWARDS
FOR THE FISCAL YEARS ENDED JUNE 30, 2007 AND 2008**

We have examined the financial records of the Board for State Academic Awards (hereinafter referred to as "the Board") for the fiscal years ended June 30, 2007 and 2008.

Financial statement presentation and auditing are performed on a Statewide Single Audit basis to include all State agencies. This audit has been limited to assessing the Board's compliance with certain provisions of financial related laws, regulations, contracts and grants, and evaluating the Board's internal control structure policies and procedures established to ensure such compliance.

This report on that examination consists of the Comments, Condition of Records, Recommendations, and Certification that follow.

COMMENTS

FOREWORD:

The Board for State Academic Awards, a constituent unit of the State system of higher education, operates under the provisions of Chapter 185b, Part IV, of the Connecticut General Statutes. The mission of the Board, which oversees Charter Oak State College and the Connecticut Distance Learning Consortium, is to provide diverse and alternative means for adults to pursue higher education. Accordingly, the Board offers college credit via examinations, assessment of experiential and extra collegiate learning, and electronically administered courses, among other things. In accordance with Section 10a-143 of the General Statutes, the Board grants college credits and awards associate's and bachelor's degrees in the Charter Oak State College program.

The Board appoints the Agency's Executive Director. Dr. Merle W. Harris served as Executive Director until her retirement on February 1, 2008. Edward Klonoski was appointed Executive Director on February 15, 2008, and currently serves in that position.

In accordance with the provisions of Sections 10a-143 and 4-9a of the General Statutes, the Board shall consist of nine persons. Eight members shall be appointed by the Governor and shall

Auditors of Public Accounts

reflect the State's geographic, racial and ethnic diversity, one of whom shall be an alumnus of Charter Oak State College. The ninth member is to be elected by the students enrolled in Charter Oak State College. Members of the Board as of June 30, 2008, were as follows:

Astrid T. Hanzalek, Chairperson
Elizabeth Alquist, Esq.
Jerry Long
John Padilla
John Titley, Esq.
John Whitcomb
Nancy Whitehead (Student Representative)
Lenny Winkler

There was one vacancy on the Board as of June 30, 2008. Chandler J. Howard, Timothy Kulig, Michael Smegielski Jr., and Vincent A. Socci also served on the Board during the audited period.

Recent Legislation:

The following notable legislative changes affecting the Board took effect during the audited period, and thereafter:

- Public Act No. 07-3, June Special Session – Effective July 1, 2007, Section 25 of this Act requires the Connecticut Distance Learning Consortium to deliver on-line courses developed in conjunction with or approved by the Departments of Education and Higher Education, the Regional Educational Service Centers or other agencies interested in the delivery of on-line courses to public schools., The Department of Education must approve the content of any such course that is offered for academic credit in a public school.
- Public Act No. 08-55 – Effective July 1, 2008, this Act modifies subsection (c) of Section 10a-164a of the General Statutes to base the Board's annual appropriation request for the Connecticut Aid to Public College Students (CAPCS) grant program on Charter Oak State College's fee waiver set-aside in the fiscal year two years prior to the fiscal year in which the appropriation applies.

Enrollment Statistics:

Enrollment statistics compiled by Charter Oak State College indicated that average annual student enrollment totaled 1,612 and 1,580 for the fiscal years ended June 30, 2007 and 2008, respectively. Degrees awarded during the above fiscal years totaled 593 and 481, respectively, of which 962 were bachelor's degrees and 112 were associate's degrees.

RÉSUMÉ OF OPERATIONS:

Section 10a-143 of the General Statutes established the Board's Operating Fund Account as a restricted account. It accounts for most of the receipts and expenditures of the Board.

During the audited period, Operating Fund Account activity was recorded in a Special Revenue Fund titled "Federal and Other Restricted Accounts." Further comments on this Fund are presented below in the section of this report titled "Special Revenue Fund – Federal and Other Restricted Accounts."

General Fund:

There were no General Fund receipts during the fiscal years ended June 30, 2007 and 2008, respectively, compared with \$6,471 for the fiscal year ended June 30, 2006. This decrease was the result of the discontinuation of the sale of certain books and other educational materials and the accompanying decline in State sales tax collections at the start of the 2006-2007 fiscal year.

General Fund expenditures during the fiscal years ended June 30, 2007 and 2008, totaled \$2,625,511 and \$2,842,368, respectively, compared with \$2,243,843 during the fiscal year ended June 30, 2006. These amounts consisted entirely of transfers of General Fund appropriations to the Board's Federal and Other Restricted Accounts Fund. The subsequent expenditure of these appropriations was charged to the Federal and Other Restricted Accounts Fund.

Special Revenue Fund – Federal and Other Restricted Accounts:

As previously explained, during the audited years, Operating Fund Account activity was recorded by the Comptroller in a Special Revenue Fund titled "Federal and Other Restricted Accounts." The Operating Fund Account is primarily funded by internal fund transfers of appropriations, coupled with fees collected by Charter Oak State College and the Connecticut Distance Learning Consortium. Operating Fund Account receipts, as recorded in the State's accounting records, totaled \$11,108,591 and \$13,730,064 for the fiscal years ended June 30, 2007 and 2008, respectively, compared with \$12,861,078 for the fiscal year ended June 30, 2006. Included in these amounts were transfers of General Fund appropriations, internal transfers between Charter Oak State College and the Connecticut Distance Learning Consortium, internal transfers of student financial aid funds received, among other things, all of which had the effect of greatly inflating actual Operating Fund receipts. (In contrast, the Board's unaudited financial statements reported receipts, excluding General Fund appropriations and certain internal transfers, totaling \$6,406,679 and \$9,841,148 for the fiscal years ended June 30, 2007 and 2008, respectively.) These totals represented a decrease of \$1,752,487, or nearly 14 percent, and an increase of \$2,621,473, or nearly 24 percent, respectively, during the respective audited years.

The decrease in receipts during the fiscal year ended June 30, 2007, can, in large part, be attributed to a substantial reduction in the amount of Federal student financial assistance received by the Board. The decrease in financial assistance received was caused by the discontinuation of Charter Oak State College's agreement with Bridgepoint Education, a for-profit provider of higher education courses. Under the agreement, Charter Oak allowed students at Bridgepoint Education to

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earn up to 50 percent of their credits towards a degree at Charter Oak State College. This agreement made such Bridgepoint students eligible to apply for Federal student financial aid. The termination of this agreement significantly reduced the number of Charter Oak enrolled students requiring financial assistance during the fiscal year ended June 30, 2007. The increase in receipts during the fiscal year ended June 30, 2008, was driven by an increase in the amount of State and Federal grant funding received as well as an increase in internal transfers recorded and recognized as receipts.

Expenditures charged to this Fund totaled \$10,655,629 and \$12,986,633, during the fiscal years ended June 30, 2007 and 2008, respectively, according to the State's accounting records. These totals included transfers between accounts and disbursements of student financial aid funds received, both of which had the effect of overstating actual expenditures. (In contrast, the Board's unaudited financial statements, which excluded such transfers, reported expenditures totaling \$6,596,580 and \$8,975,107 for the fiscal years ended June 30, 2007 and 2008, respectively.) A summary of Account expenditures for the fiscal years examined and the prior fiscal year is presented below:

	<u>2005 - 2006</u>	<u>2006 - 2007</u>	<u>2007 - 2008</u>
Personal services	\$ 4,341,298	\$ 4,763,179	\$ 5,533,081
Contractual services	2,491,331	2,954,172	4,441,301
Commodities	84,984	81,346	109,091
Sundry charges	4,955,649	2,856,932	2,857,133
Equipment and other	49,572	-	46,027
Total Expenditures	\$ 11,922,834	\$ 10,655,629	\$ 12,986,633

As presented above, Operating Fund Account expenditures totaled \$10,655,629 and \$12,986,633 for the fiscal years ended June 30, 2007 and 2008, respectively, compared to \$11,922,834 during the fiscal year ended June 30, 2006. These totals represent a decrease of \$1,267,205, or nearly 11 percent, and an increase of \$2,331,004, or nearly 22 percent, respectively, during the audited years. Expenditures consisted primarily of costs for personal services, contractual services, and sundry charges. Contractual services were comprised primarily of fees for educational services and electronic data processing costs. Sundry charges were comprised primarily of student financial aid disbursements.

The decrease in expenditures during the fiscal year ended June 30, 2007, can be primarily attributed to the discontinuation of Charter Oak's agreement with Bridgepoint Education. As previously mentioned, the discontinuation of this agreement significantly reduced the number of Charter Oak students and thus the amount of Federal student financial assistance funds received by the Board, which, in turn, greatly reduced the amount of financial assistance that the Board disbursed. An increase in grant funding from the State's Department of Education and the accompanying expenditure of such funds contributed to the increase in Board expenditures during the fiscal year ended June 30, 2008. Further, employee pay raises established by the employee collective bargaining agreement and the hiring of additional staff members also added to this increase in expenditures.

Special Revenue Fund – Capital Equipment Purchase Fund:

Capital Equipment Purchase Fund expenditures totaled \$356,970 and \$453,463 during the fiscal years ended June 30, 2007 and 2008, respectively. These expenditures were made principally for the purchase of electronic data processing hardware and software.

Student Trustee Account:

Established and operated under the provisions of Sections 4-52 to 4-55 of the General Statutes, the Student Trustee Account is used for the benefit of the student body. Management of the account has been vested in Charter Oak State College's Student Council to the extent of overseeing expenditures. However, accountability of the account is the ultimate responsibility of the College administration.

Receipts, as presented in financial records prepared by the College, totaled \$9,289 and \$8,386 for the fiscal years ended June 30, 2007 and 2008, respectively. Major sources of receipts included student activity fees and funds raised from various student functions and activities.

Disbursements, according to financial records prepared by the College, totaled \$14,240 and \$8,765 for the fiscal years ended June 30, 2007 and 2008, respectively. These expenditures consisted primarily of payments for student activities and scholarships.

Charter Oak State College Foundation, Inc.:

The Charter Oak State College Foundation, Inc., (the Foundation) is a private nonstock corporation established to secure contributions from private sources for the purposes of promoting interest in and support of open learning and credentialing in higher education. The Foundation supports activities of the Board for State Academic Awards and furnishes assistance to enrollees in the external degree program.

Sections 4-37e through 4-37k of the General Statutes define and set requirements for such State organizations. The requirements address the annual filing of an updated list of board members with the State agency for which the foundation was set up, financial record keeping and reporting in accordance with generally accepted accounting principles, financial statement and audit report criteria, written agreements concerning the use of facilities and resources, compensation of State officers or employees, and the State agency's responsibilities with respect to affiliated foundations.

An audit of the Foundation, consistent with requirements of Section 4-37f, subsection (8), of the General Statutes, was performed by our Office for the fiscal year ended June 30, 2007. Our audit concluded that the Foundation complied in all material respects with Sections 4-37e through 4-37i of the General Statutes. However, the audit disclosed several other, immaterial exceptions that are discussed in the "Management Letter" section of our separate report on the Charter Oak State College Foundation, Inc. for the fiscal year ended June 30, 2007.

CONDITION OF RECORDS

Our audit of the financial records of the Board for State Academic Awards disclosed certain areas requiring attention, as discussed in this section of the report.

Personal Service Agreements and Other Procurement:

Criteria: It is a good business practice to ensure that a written personal service agreement is in place and signed by all relevant parties before related services are provided.

Section 10a-151b of the General Statutes requires constituent units of the State's system of higher education to solicit competitive bids or proposals for purchases exceeding \$50,000. Such bids or proposals must be inserted at least once in two or more publications, including one major daily newspaper published in the State, and posted on the Internet, at least five calendar days before the final date of submitting bids or proposals.

Section 1-84, subsection (i), of the General Statutes provides that, "No public official or state employee or member of his immediate family or a business with which he is associated shall enter into any contract with the state, valued at one hundred dollars or more, other than a contract of employment as a state employee or pursuant to a court appointment, unless the contract has been awarded through an open and public process, including prior public offer and subsequent public disclosure of all proposals considered and the contract awarded."

Condition: We reviewed 30 purchases made during the audited period. Our audit of the Board's procurement operations disclosed the following:

- Three instances in which written personal service agreement contracts, collectively totaling \$55,900, were signed by the Board after the contract period had begun. Such contracts were signed from five to 16 days after the contract period began.
- Two instances in which the Board entered into personal service agreement contracts with State employees but failed to retain documentation to support that it sufficiently advertised for bids, as required by Section 1-84, subsection (i), of the General Statutes. In the instances noted, the Board contracted with the same State employee to provide mentoring (on-line teaching) services. One such contract, totaling \$51,200, covered the fall 2006 and spring 2007 semesters. The other contract, totaling \$71,066, covered the fall 2007 and spring 2008 semesters. The Board informed us that the two agreements for mentoring services had been advertised on Charter Oak State

College's Web site. However, the Board was unable to provide us with documentation to support that such advertising had been done.

- Three instances in which the Board awarded contracts, each of which exceeded \$50,000, without advertising for bids in the publications required by Section 10a-151b of the General Statutes.

Effect:

In some instances, internal controls over personal service agreements were weakened. Specifically, in the instances where personal service agreements were approved after the contract period had begun, assurance was lessened that the terms of the personal service agreements met the approval of the Board's administration prior to the performance of such contracts.

With respect to the Board entering into personal service agreement contracts with State employees, in some instances, the Board lacked evidence that it complied with the open and competitive contract award requirements of Section 1-84, subsection (i), of the General Statutes. This creates at least the appearance of a conflict of interest.

In three instances cited, the Board did not fully comply with the statutory bid requirements with respect to advertising for purchases exceeding \$50,000.

Cause:

It appears that internal controls in place were not sufficient to prevent the above conditions from occurring.

The failure to retain supporting evidence documenting that contracts with State employees were awarded through an open and public process appeared to be an oversight by the Board.

In regards to the two instances in which the Board contracted for mentoring services, each with a contract amount exceeding \$50,000, without advertising for bids in the required publications, we were informed that the Board did not consider it necessary to advertise for such bids because the amount paid to the contractor was based on the number of students enrolled in the class at the end of the semester. Therefore, the actual amount paid to the contractor might not have exceeded \$50,000 if enough students dropped the course. (Nevertheless, we noted, that each of these contracts specified an amount exceeding \$50,000.)

With respect to the third instance in which the Board failed to advertise for bids in the required publications, we were informed that, at the time, the Board was under the assumption that advertising through the Department of Administrative Services' contracting Web site satisfied the bid advertising requirements of Section 10a-151b of the General Statutes.

It should be noted that this instance involved the Board's purchase of an air conditioning system during the summer of 2006. This purchase was made prior to the release of our previous audit report on the Board in which we also cited the Board for noncompliance with the advertised bidding requirements set by the General Statutes.

Recommendation: The Board should ensure that written personal service agreements are signed by all relevant parties prior to the commencement of corresponding services. In addition, the Board should advertise for bids in the publications specified by Section 10a-151b of the General Statutes before making purchases exceeding \$50,000 in amount. Further, when awarding contracts to State employees, the Board should take steps to ensure that such contracts are awarded in an open and competitive manner, when required by Section 1-84 of the General Statutes. Also, the Board should retain documentation supporting that such contracts were awarded in an open and competitive manner. (See Recommendation 1.)

Agency Response: "The Board acknowledges that there were instances when personal services agreements were not signed before the commencement of services. The agency will implement several strategies to remedy these occurrences.

Some of the personal services agreements identified were implemented by staff members that were not familiar with the procedures to acquire services. The agency will focus on improving information and training to staff that is in a position to seek vendors to perform services. The Business Office will also implement a process review to existing employees and better orient new staff members of the PSA process and timelines.

An additional approach will focus on better monitoring of returned personal service agreements from course mentors. Outstanding unsigned contracts will be monitored and vendors will be notified that the absence of a signed contract will mean that they cannot engage in services until the agreement is signed.

It is expected that the combination of staff orientation to procedures and close monitoring of outstanding contracts, along with the knowledge that work cannot begin until the agreement is signed, will eliminate future signature date issues with agreements.

The Board recognizes that contracted services that exceed \$50,000 must be publicly bid. While the Board operates under this practice, internal procedures up to the beginning of FY 09 enabled the issuance of personal service agreements for more than \$50,000.

Prior to FY 09, personal service agreements were drafted based on the courses that the vendor was expected to mentor during the academic year. Since the class size was projected at 40 students with a fixed payment for every student, this approach resulted in a calculation of total services that exceeded \$50,000 and was unrealistically high. Few classes reach the 40 student maximum; in fact, the class size average in 2008 was 15 students per class. While it is our position that payments never exceeded \$50,000, clearly the committed amounts did exceed this threshold.

Beginning in FY 09, all mentors have been issued personal service agreements that are based on more realistic enrollment expectations that will support their services for the entire academic year. This approach, along with careful monitoring of payments linked to the agreement, will effectively avoid developing a PSA with a committed amount in excess of \$50,000 and prevent payments above this threshold.

The bidding procedure for the air conditioning project that was more than \$50,000 in 2006 was incorrectly bid and consistent with our approach during the previous audit period. While corrective changes were made in our processes at the close of the FY05 and FY06 audit cycle, this bid took place before the close of the previous audit.

The Board also realizes that contracts awarded to State employees with a value of over \$100 must be through an open process. It is also agreed that the existing processes to validate the open process has not always been well organized. As the result of this weakness, the processes will be amended to retain a copy of public postings for each semester in the personal services file. When a State employee is contracted for services outside of the standard semester postings cycle, the specific posting for that position will also be included in the PSA file. This approach will appropriately document the open approach used to select a State employee as a vendor.”

Property Control:

Criteria:

The State of Connecticut’s *Property Control Manual*, under authority of Section 4-36 of the General Statutes, sets forth criteria and policies over assets owned or leased by a State agency. Requirements include, among other things, that capital equipment and certain other controllable items be tagged in an accessible location and recorded in property control records.

Chapter nine of the State of Connecticut’s *Property Control Manual* provides that “the Office of the State Comptroller and the Auditors of Public Accounts must be notified immediately of all losses/damages to State property upon discovery....”

Condition: We attempted to verify the existence of a computer server listed on the Board's inventory control records at a cost of \$224,097. However, the item that we inspected lacked a visible State identification tag number. Further, we saw no serial number or other identification numbers or markings. Therefore, we were unable to verify that this equipment item was the same item listed on the Board's inventory records.

In addition, we noted several other servers without visible State identification tag numbers during our physical inspection.

Further, we noted one instance in which a laptop computer with a cost of \$1,467 was loaned to a Charter Oak State College student and was subsequently reported missing by the student. The Board, however, failed to file a timely loss report with the Office of the State Comptroller and the Auditors of Public Accounts. The Board filed the loss report one year and one month after it had been notified of the missing computer.

Effect: In the instances noted above, the Board failed to comply with the property control requirements set forth by the State Comptroller. As a result, equipment was exposed to an increased risk of loss or theft.

Cause: It appears that the controls in place were not sufficient to prevent the above conditions from occurring.

In regards to the delayed submission of a loss report to the appropriate State agencies, the Board informed us that it was waiting for a police report to be filed by the student before submitting such loss reports.

Recommendation: The Board should improve internal controls over equipment by following the policies and procedures established by the State of Connecticut's *Property Control Manual*. Specifically, the Board should ensure that all capital/controllable equipment is tagged with State identification numbers in visible locations, and that lost, stolen, or damaged equipment items are immediately reported to the appropriate State agencies when the Board becomes aware of such instances. (See Recommendation 2.)

Agency Response: "The Board recognizes that capital or controlled equipment should be tagged with an identification number that corresponds to inventory listings. Placing a visible tag on rack mounted equipment is challenging due to its small visible footprint and its placement in the racks in the data center. The visible part of the equipment also may have a display type faceplate that would prevent the attachment of a tag in a visible location.

A couple of remedies are in progress to remedy this issue. A reference to the more specific rack location of a piece of equipment in the data center

will be entered in Core-CT. A reference map will be created and placed in the data center that will provide the location of each piece of equipment within each rack section. It is also planned that a copy of the equipment tag be placed inside each rack corresponding to equipment placement to facilitate the location of the specific item.

The Board also acknowledges that the loss of State equipment should immediately be reported to the appropriate agencies. Two factors contributed to the delay in timely reporting. The staff member that was aware of the loss did not report it immediately to the Business Office; and once reported, notification of the loss was delayed to the appropriate State agencies until appropriate documentation of the theft (valid police report) was received.

Staff will be reminded to report an equipment loss immediately to the Business Office and the loss will be immediately reported to appropriate agencies."

Federal Time and Effort Reporting:

Criteria:

Title 2 in the Code of Federal Regulations, Part 220 (formerly Circular A-21) establishes principles for determining costs applicable to grants, contracts, and other agreements between the Federal government and educational institutions. Under this Regulation, payroll charges to Federal programs must be supported by a system of after-the-fact confirmation.

According to 2 CFR, part 220, to confirm that charges to a program represent a reasonable estimate of the work performed by the employee for the benefit of the program during the period, an acceptable method of documentation must be in place. This includes the use of statements signed by the employee, principal investigator, or responsible official(s), using suitable means of verification that the work was performed. Under this method, the statements must be prepared each academic term, but no less frequently than every six months for administrative staff.

Condition:

During the audited period, there were several Board employees whose payroll costs were, at least in part, charged to a Federal program (CFDA 84.002 Adult Education – Basic Grants to States). However, we were told that the Board had no time and effort reporting system in place to properly document these Federal payroll charges. According to Title 2 Code of Federal Regulations, part 220, where the institution uses time cards or other forms of after-the-fact payroll documents as original documentation for payroll and payroll charges, such documents qualify as records for this purpose, provided that they meet the requirements outlined in the Regulation. In the cases cited above, payroll documents did not provide a signed certification that the employee's payroll

expenditures were charged to the activities/programs on which the employee actually worked.

Effect: The Board did not fully comply with 2 CFR, part 220 requirements concerning the documentation of payroll costs. This decreases assurance that payroll costs charged to Federal programs actually applied to those programs.

Cause: We were informed that it was the Board's view that since the Federal funds to which these payroll costs were charged were received indirectly from another State agency, the Board considered these funds State grants, which were, therefore, not subject to the requirements of 2 CFR, part 220. As a result, a Federal time and effort reporting system was not used during the audit period.

Recommendation: The Board should comply with the requirements of Title 2 of the Code of Federal Regulations, part 220 by implementing a time and effort reporting system to better support its payroll charges to Federal programs. (See Recommendation 3.)

Agency Response: "When the Board clarified the treatment of these Federal funds through a State agency with the Auditors of Public Accounts, a compliance process that met the approval of the auditors was implemented during August of 2008."

Telecommuting:

Criteria: To better ensure that written employee telecommuting agreements are consistent with the best interests of the agency, it is a good business practice for management to review and approve such agreements before the telecommuting period begins.

Condition: Our audit of this area disclosed four instances in which management approved written telecommuting agreements after the telecommuting period began. The delays in approval ranged from five to 13 days.

Effect: After-the-fact approval of these agreements increases the risk that telecommuting could occur that might not be in the best interests of the agency.

Cause: It appears that adequate controls were not in place to prevent the above condition from occurring.

Recommendation: The Board should improve the timeliness of management review and approval of employee telecommuting agreements. (See Recommendation 4.)

Agency Response: “While the Board agrees that the referenced Telecommuting Agreements lacked the proper signatures in a timely way, the management review and approval of the telecommuter’s schedule did take place. Whenever an employee is considering a telecommuting agreement, conversation takes place between the employee, supervisor, and the executive director during the process. Acceptance of the agreement by management takes place prior to the execution of the form.

Although control does exist regarding the approval of these agreements, the objective will be to have the form completed prior to the commencement of telecommuting schedules. New and extended agreements will require the signed form prior to the commencement of telecommuting.”

RECOMMENDATIONS

Status of Prior Audit Recommendations:

- **The Board should take steps to ensure that payments to employees for accrued vacation leave are calculated correctly and should compensate any employees who were found to have been underpaid for such vacation leave.** Our current audit disclosed no instances in which accrued leave payouts for employees leaving State service were calculated incorrectly. In addition, we noted that the Board made payments to the employees who were found to have been underpaid in the previous audit. As a result, the recommendation is not being repeated.
- **The Board should review longevity payments made to employees at the twenty years of service rate to ensure that such payments agree with provisions of the applicable employee collective bargaining unit agreement. Further, the Board should compensate employees for any underpayments in longevity pay noted.** In our current audit, we noted that longevity payments made to employees at the twenty years of service rate were in agreement with the provisions of the applicable employee collective bargaining unit agreement. Further, we noted that the Board compensated employees for underpayments in longevity pay made in previous years. Therefore, the recommendation is not being repeated.
- **The Board should improve compliance with the dual employment requirements of Section 5-208a of the General Statutes by properly documenting, through signed certifications, that no conflicts exist in instances where an employee holds multiple State positions.** Improvement was noted in this area; the recommendation is not being repeated.
- **The Board should improve the timeliness of management review and approval of employee telecommuting agreements and should consider revising its telecommuting policy to require monitoring of the suitability of telecommuter workspaces.** Some improvement was noted in the monitoring of the suitability of telecommuter workspaces; however, sufficient improvement was not made in regards to the timeliness of management's review and approval of employee telecommuting agreements. Therefore, the recommendation is being repeated with modification. (See Recommendation 4.)
- **The Board should comply with the requirements of Federal Office of Management and Budget Circular A-21 by implementing a time and effort reporting system to better support its payroll charges to Federal programs.** Sufficient improvement has not been made in this area. Therefore, the recommendation is being repeated.
(See Recommendation 3.)
- **The Board should ensure that it advertises for bids in two or more major State publications before making purchases exceeding \$50,000 in amount, as required by**

Section 10a-151b of the General Statutes. Further, when awarding contracts to State employees, the Board should take steps to ensure that such contracts are awarded in an open and competitive manner, when required by Section 1-84 of the General Statutes. Sufficient improvement has not been made in this area. Additionally, other related areas needing improvement were noted during our current audit. Therefore, the recommendation is being repeated with modification. (See Recommendation 1.)

Current Audit Recommendations:

- 1. The Board should ensure that written personal service agreements are signed by all relevant parties prior to the commencement of corresponding services. In addition, the Board should advertise for bids in the publications specified by Section 10a-151b of the General Statutes before making purchases exceeding \$50,000 in amount. Further, when awarding contracts to State employees, the Board should take steps to ensure that such contracts are awarded in an open and competitive manner, when required by Section 1-84 of the General Statutes. Also, the Board should retain documentation supporting that such contracts were awarded in an open and competitive manner.**

Comment:

In some instances, the Board did not execute signed personal service agreements until after the contract period had begun. Additionally, in some instances, the Board entered into personal service agreements with State employees but did not fully comply with, or failed to retain documentation evidencing compliance with, Section 1-84 of the General Statutes, which requires, among other things, that contracts entered into with State employees amounting to \$100 or more be awarded through an open and public process. Further, we noted instances in which the Board did not fully comply with the bidding requirements of Section 10a-151b of the General Statutes.

- 2. The Board should improve internal controls over equipment by following the policies and procedures established by the State of Connecticut's *Property Control Manual*. Specifically, the Board should ensure that all capital/controllable equipment is tagged with State identification numbers in visible locations, and that lost, stolen, or damaged equipment items are immediately reported to the appropriate State agencies when the Board becomes aware of such instances.**

Comment:

Our testing disclosed instances in which computer servers lacked visible State identification tag numbers. Also, we noted that the Board failed to report a stolen computer to the Auditors of Public Accounts and the State Comptroller in a timely manner.

- 3. The Board should comply with the requirements of Title 2 of the Code of Federal Regulations, part 220 by implementing a time and effort reporting system to better support its payroll charges to Federal programs.**

Comment:

Employee payroll costs during the audited period were charged to a Federal program. However, the Board had not implemented a time and effort reporting system to document such charges as required by the Code of Federal Regulations.

- 4. The Board should improve the timeliness of management review and approval of employee telecommuting agreements.**

Comment:

In some instances, management provided written approval of written employee telecommuting agreements after the telecommuting period had already begun.

INDEPENDENT AUDITORS' CERTIFICATION

As required by Section 2-90 of the General Statutes, we have audited the books and accounts of the Board for State Academic Awards for the fiscal years ended June 30, 2007 and 2008. This audit was primarily limited to performing tests of the Board's compliance with certain provisions of laws, regulations, contracts and grant agreements and to understanding and evaluating the effectiveness of the Board's internal control policies and procedures for ensuring that (1) the provisions of certain laws, regulations, contracts and grant agreements applicable to the Board are complied with, (2) the financial transactions of the Board are properly initiated, authorized, recorded, processed, and reported on consistent with management's direction, and (3) the assets of the Board are safeguarded against loss or unauthorized use. The financial statement audits of the Board for State Academic Awards for the fiscal years ended June 30, 2007 and 2008, are included as a part of our Statewide Single Audits of the State of Connecticut for those fiscal years.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the Board complied in all material or significant respects with the provisions of certain laws, regulations, contracts and grant agreements and to obtain a sufficient understanding of the internal controls to plan the audit and determine the nature, timing and extent of tests to be performed during the conduct of the audit.

Internal Control over Financial Operations, Safeguarding of Assets and Compliance:

In planning and performing our audit, we considered the Board for State Academic Awards' internal control over its financial operations, safeguarding of assets, and compliance with requirements as a basis for designing our auditing procedures for the purpose of evaluating the Board's financial operations, safeguarding of assets, and compliance with certain provisions of laws, regulations, contracts and grant agreements, but not for the purpose of providing assurance on the effectiveness of the Board's internal control over those control objectives.

Our consideration of internal control over financial operations, safeguarding of assets, and compliance requirements was for the limited purpose described in the preceding paragraph and would not necessarily identify all deficiencies in internal control over financial operations, safeguarding of assets and compliance with requirements that might be significant deficiencies or material weaknesses. However, as discussed below, we identified certain deficiencies in internal control over financial operations, safeguarding of assets, and compliance with requirements that we consider to be significant deficiencies.

A *control deficiency* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect on a timely basis unauthorized, illegal, or irregular transactions or the breakdown in the safekeeping of any asset or resource. A *significant deficiency* is a control deficiency, or combination of control deficiencies, that adversely affects the Agency's ability to properly initiate, authorize, record, process, or report financial data reliably, consistent with management's direction, safeguard assets,

and/or comply with certain provisions of laws, regulations, contracts, and grant agreements such that there is more than a remote likelihood that a financial misstatement, unsafe treatment of assets, or noncompliance with laws, regulations, contracts and grant agreements that is more than inconsequential will not be prevented or detected by the Board's internal control. We consider the following deficiencies, described in detail in the accompanying "Condition of Records" and "Recommendations" sections of this report, to be significant deficiencies in internal control over financial operations, safeguarding of assets and compliance with requirements: Recommendation 1 – weaknesses in controls and lack of statutory compliance in the areas of personal service agreements and other contracting.

A *material weakness* is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that noncompliance with certain provisions of laws, regulations, contracts, and grant agreements or the requirements to safeguard assets that would be material in relation to the Agency's financial operations, noncompliance which could result in significant unauthorized, illegal, irregular or unsafe transactions, and/or material financial misstatements by the Agency will not be prevented or detected by the Agency's internal control.

Our consideration of the internal control over the Board's financial operations, safeguarding of assets, and compliance with requirements, was for the limited purpose described in the first paragraph of this section and would not necessarily disclose all deficiencies in the internal control that might be significant deficiencies and, accordingly, would not necessarily disclose all significant deficiencies that are also considered to be material weaknesses. However, we believe that the significant deficiency described above is not a material weakness.

Compliance and Other Matters:

As part of obtaining reasonable assurance about whether the Board complied with laws, regulations, contracts and grant agreements, noncompliance with which could result in significant unauthorized, illegal, irregular or unsafe transactions or could have a direct and material effect on the results of the Board's financial operations, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion.

The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*. However, we noted certain matters which we reported to the Board's management in the accompanying "Condition of Records" and "Recommendations" sections of this report

The Board's response to the findings identified in our audit is described in the accompanying "Condition of Records" section of this report. We did not audit the Board's response and, accordingly, we express no opinion on it.

This report is intended for the information and use of the Board's management, the Governor, the State Comptroller, the Appropriations Committee of the General Assembly and the Legislative Committee on Program Review and Investigations. However, this report is a matter of public record and its distribution is not limited.

CONCLUSION

We wish to express our appreciation for the courtesies and cooperation extended to our representatives by the personnel of the Board for State Academic Awards during the course of our examination.

Daniel F. Puklin

Daniel F. Puklin
Principal Auditor

Approved:

Kevin P. Johnston

Kevin P. Johnston
Auditor of Public Accounts

Robert G. Jaekle

Robert G. Jaekle
Auditor of Public Accounts

**"DATA FIRST" FORMS
GENERAL INFORMATION**

Institution Name:

OPE ID:

Financial Results for Year Ending:		Annual Audit	
		Certified: Yes/No	Qualified Unqualified
Most Recent Year	06/30	N/A *	
1 Year Prior	2011	N/A *	
2 Years Prior	2010	N/A *	
	2009	N/A *	

Fiscal Year Ends on: (month/day)

Budget / Plans
 Current Year 2012
 Next Year 2013

Contact Person:
 Title:
 Telephone No:
 E-mail address:

*** Audited by State Auditors as part of the Connecticut Statewide Single audit**

Standard 1: Mission and Purposes

Attach a copy of the current mission statement.

Document	URL	Date Approved by the Governing Board
Institutional Mission Statement	www.charteroak.edu/aboutus/mission	11/20 2008 updated

Mission Statement published	URL	Print Publication
1 College Catalog	www.charteroak.edu/PDF/Official%20Catalog.pdf	
2		
3		
4		

Related statements	URL	Print Publication
1 Role and Scope	www.charteroak.edu/aboutus	College Catalog
Vision Statement	www.charteroak.edu/aboutus	
Strategic Plan	www.charteroak.edu/aboutus	Blue Print for the Future: Strategic Plan 2007-12

Standard 2: Planning and Evaluation

PLANS

Strategic Plans

Immediately prior Strategic Plan
 Current Strategic Plan
 Next Strategic Plan

Year of Completion	Effective Dates	URL or Folder Number
11/15/2007	2007-2012	www.charteroak.edu/aboutus
11/15/2007	2007-2012	www.charteroak.edu/aboutus
11/15/2012	2012-2017	

Other institution-wide plans

Master plan
 Academic plan
 Financial plan
 Technology plan
 Enrollment plan
 Development plan

NA		Building Plan - H.R. Office
NA		
NA		
NA		
NA		
2010	2010-2013	In President's Office

(Add rows for additional institution-wide plans, as needed.)

Plans for major units (e.g., departments, library)

Administration and Finance	2011	2011-2012	In Share Point
Aetna Program	2011	2011-2012	In Share Point
Assessment Coordinator	2011	2011-2012	In Share Point
Early Childhood & Youth Education	2011	2011-2012	In Share Point
Early Childhood Education/ARC	2011	2011-2012	In Share Point
Instructional Design	2011	2011-2012	In Share Point
Marketing	2011	2011-2012	In Share Point
Academic Affairs	2011	2011-2012	In Share Point
Technology	2011	2011-2012	In Share Point
Women in Transition/CT Wage	2011	2011-2012	In Share Point

(Add rows for additional plans, as needed.)

EVALUATION

Academic program review

Program review system (colleges and departments). System last updated:
 Program review schedule (e.g., every 5 years)

URL or Folder Number
NA
Every 5 years

Sample program review reports (name of unit or program)

BS/BA Cornerstone Seminar (residency requirement)
BS/BA Capstone course (residency requirement)

(Insert additional rows, as appropriate.)

System to review other functions and units

Program review schedule (every X years or URL of schedule)

--

Sample program review reports (name of unit or program)

1
2
3

(Insert additional rows, as appropriate.)

Other significant evaluation reports (Name and URL or Location)

Date

<i>Example: Advising: www.notrealcollege.edu/advising</i>
Distance Learning Annual Report
Distance Learning Annual Report
Distance Learning Annual Report

(Insert additional rows, as appropriate.)

1995
2010
2009
2008

Standard 3: Organization and Governance

Please attach to this form:

- 1) A copy of the institution's organization chart(s).
- 2) A copy of the by-laws, enabling legislation, and/or other appropriate documentation to establish the legal authority of the institution to award degrees in accordance with applicable requirements.

If there is a "related entity," such as a church or religious congregation, a state system, or a corporation, describe and document the relationship with the accredited institution.

Name of the related entity

URL of documentation of relationship

Governing Board

By-laws

Board members' names and affiliations

URL

www.charteroak.edu/AboutUs/Public.cfm	
www.charteroak.edu/AboutUs/Board.cfm	

Board committees

?	Board of State Academic Awards
	BSAA Personnel Committee
	c.
	d.

URL or document name for meeting minutes

www.charteroak.edu/AboutUs/bsaa	
www.charteroak.edu/AboutUs/bsaa	

(Insert additional rows as appropriate.)

Major institutional committees or governance groups*

Academic Council	
Faculty Committee Meetings	
Cabinet	
Student Association	

URL or document name for meeting minutes

http://www.charteroak.edu/bb/faculty	
http://www.charteroak.edu/bb/faculty	
In SharePoint for Staff	
www.charteroak.edu/search-results/	

(Insert additional rows as appropriate.)

*Include faculty, staff, and student groups.

Standard 3: Organization and Governance (Locations and Modalities)

Campuses, Branches, Locations, and Modalities Currently in Operation (See definitions, below)

(Insert additional rows as appropriate.)

	City	State or Country	Date Initiated	Enrollment*
Main campus	New Britain	CT	1973	2268
Other principal campuses				
Branch campuses				
Other instructional locations				
Distance Learning, e-learning				Enrollment*
		Date Initiated		2268
First on-line course		1998		
First program 50% or more on-line				
First program 100% on-line		2005		
? Distance Learning, other Modality			Date Initiated	Enrollment*
? Correspondence Education			Date Initiated	Enrollment*

Definitions

Main campus: primary campus, including the principal office of the chief executive officer.

Other principal campus: a campus away from the main campus that either houses a portion or portions of the institution's academic program (e.g., the medical school) or a permanent location offering 100% of the degree requirements of one or more of the academic programs offered on the main campus and otherwise meets the definition of the branch campus (below).

Branch campus (federal definition): a location of an institution that is geographically apart and independent of the main campus which meets all of the following criteria: a) offers 50% or more of an academic program leading to a degree, certificate, or other recognized credential, or at which a degree may be completed; b) is permanent in nature; c) has its own faculty and administrative or supervisory organization; d) has its own budgetary and hiring authority.

Instructional location: a location away from the main campus where 50% or more of a degree or Title-IV eligible certificate can be completed.

Distance Learning, e-learning: A degree or Title-IV eligible certificate for which 50% or more of the courses can be completed entirely on-line.

Distance Learning, other: A degree or Title IV certificate in which 50% or more of the courses can be completed entirely through a distance learning modality other than e-learning.

Correspondence Education (federal definition): Education provided through one or more courses by an institution under which the institution provides instructional materials, by mail or electronic transmission, including examinations on the materials, to students who are separated from the instructor. Interaction between the instructor and the student is limited, is not regular and substantive, and is primarily initiated by the student. Correspondence courses are typically self-paced. Correspondence education is not distance education.

* Report here the annual unduplicated headcount for the most recently completed year.

**Standard 4: The Academic Program
(Summary - Enrollment and Degrees)**

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Main campus FTE*1	Other Campus FTE	Branches FTE	Other Locations FTE	Overseas Locations FTE	On-Line FTE*2	Corres- pondence FTE	Total FTE	Unduplicated Headcount Total*3
Associate's	22					60		82	202
Bachelor's	252					524		773	1,755
Master's									
Clinical doctorates (e-g, Pharm.D., DPT, Au.D.)									
Professional doctorates (e-g, Ed.D., Psy.D., D.B.A.)									
M.D., J.D., DDS									
Ph.D.									
Total Degree- Seeking	274	0	0	0	0	584	0	855	1,957
Non-matriculated students						92		96	321
Visiting Students									

Title IV-Eligible Certificates

Students seeking certificates									
----------------------------------	--	--	--	--	--	--	--	--	--

* For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.

Note: Enrollment numbers should include all students in the named categories, including students in continuing education an enrolled through any contractual relationship.

***1 Main campus FTE - estimated enrollment of COSC matriculated students at other institutions.**

***2 On-line FTE = enrollment in COSC on-line credit courses for COSC matriculated students.**

***3 Non-matriculated students = enrollment of COSC non-degree (i.e., visiting students) in COSC on-line credit cou**

Degrees Awarded, Most Recent Year
78
472
550
n.a.
n.a.

**Certificates
Awarded,
Most Recent
Year**

--

d students

rses.

Standard 4: The Academic Program
(Headcount by UNDERGRADUATE Major)

For Fall Term, as of Census Date

	3 Years Prior (FY 2008)	2 Years Prior (FY2009)	1 Year Prior (FY 2010)	Current Year* (FY 2011)	Next Year Forward (goal) (FY 2012)
Certificate					
?					
Total	-	-	-	-	-
Associate					
?	48	61	52	46	54
Associate in Arts	98	125	128	157	176
Associate in Science					
?					
Undeclared					
Total	146	186	180	203	230
Baccalaureate					
?	222	283	302	346	395
Bachelor of Arts	882	1,127	1,203	1,417	1,620
Bachelor of Science	307	392	394	312	320
Non-matriculated students					
Undeclared					
Total	1,411	1,802	1,899	2,075	2,335
Total Undergraduate	1,557	1,988	2,079	2,278	2,565

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Fall 07 total enrollment ties to the Fall 07 IPEDS report--degree level is estimated based on Fall 08 projecti

**Standard 4: The Academic Program
(Headcount by GRADUATE Major)**

?

For Fall Term, as of Census Date

3 Years Prior (FY 2)	2 Years Prior (FY2)	1 Year Prior (FY 2)	Current Year* (FY 2)	Next Year Forward (goal) (FY 2)
--------------------------	-------------------------	-------------------------	--------------------------	-------------------------------------

Master's

?	NONE							
Total		-	-	-	-	-	-	-

Doctorate

?	NONE							
Total		-	-	-	-	-	-	-

First Professional

?	NONE							
Total		-	-	-	-	-	-	-

Other

?	NONE							
Total		-	-	-	-	-	-	-

Total Graduate

-	-	-	-	-
---	---	---	---	---

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 4: The Academic Program
(Credit Hours Generated By Department or Comparable Academic Unit)



	3 Years Prior (FY 2008)	2 Years Prior (FY2009)	1 Year Prior (FY 2010)	Current Year* (FY 2011)	Next Year Forward (goal) (FY 2012)
Undergraduate					
COSC Credits	15,807	18,597	22,404	27,586	31,448
Non-COSC credits	11,046	10,806	10,134	8,772	7,894
Fall Non-COSC	5064*	5,586	5,430	4,524	4,072
Spring Non-COSC	5,982	5,220	4,704	4,248	3,822
*Fall 07 non-COSC is estimated					
Total	32,835	40,209	42,672	45,130	47,236

Graduate					
NONE					
Total	-	-	-	-	-

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 5: Faculty
(Rank, Gender, and Salary, Fall Term)**

?

		3 Years Prior (FY 2008)		2 Years Prior (FY 2009)		1 Year Prior (FY 2010)		Current Year* (FY 2011)		Next Year Forward (goal) (FY 2012)	
		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Number of Faculty		07/08	07/08	08/09	08/09	09/10	09/10	10/11	10/11	11/12*	11/12*
Professor	Male										
	Female										
Associate	Male										
	Female										
Assistant	Male										
	Female										
Instructor	Male										
	Female										
Other	Male	0	49	0	58	0	53	0	60	0	55
	Female	0	45	0	57	0	50	0	63	0	62
Total	Male	-	49	-	58	-	53	-	60	-	55
	Female	-	45	-	57	-	50	-	63	-	62

*as of 8/1/2011

Total Faculty		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Professor		-	-	-	-	-	-	-	-	-	-
Associate		-	-	-	-	-	-	-	-	-	-
Assistant		-	-	-	-	-	-	-	-	-	-
Instructor		-	-	-	-	-	-	-	-	-	-
Other		-	94	-	115	-	103	-	123	-	117
Total		-	94	-	115	-	103	-	123	-	117

Salary for Academic Year		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Professor	Minimum										
	Mean										
Associate	Minimum										
	Mean										
Assistant	Minimum										
	Mean										
Instructor	Minimum										
	Mean										
Other	Minimum										
	Mean										

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 5: Faculty
(Highest Degrees and Teaching Assignments, Fall Term)

	3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
	(FY 2008)		(FY 2009)		(FY 2010)		(FY 2011)		(FY 2012)	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Highest Degree Earned: Doctor	07/08	07/08	08/09	08/09	09/10	09/10	10/11	10/11	11/12*	11/12*
Professor										
Associate										
Assistant										
Instructor										
Other	0	50	-	65	-	49	-	62	-	59
Total	-	50	-	65	-	49	-	62	-	59

Highest Degree Earned: Master's										
Professor										
Associate										
Assistant										
Instructor										
Other	0	43	-	49	-	53	-	59	-	57
Total	-	43	-	49	-	53	-	59	-	57

Highest Degree Earned: Bachelor's										
Professor										
Associate										
Assistant										
Instructor										
Other	0	1	-	1	-	1	-	2	-	1
Total	-	1	-	1	-	1	-	2	-	1

Highest Degree Earned: Professional License										
Professor										
Associate										
Assistant										
Instructor										
Other	0	0	0	0	0	0	0	0	0	0
Total	-	-	-	-	-	-	-	-	-	-

Fall Teaching Load, in credit hours									
Professor	Maximum								
	Median								
Associate	Maximum								
	Median								
Assistant	Maximum								
	Median								
Instructor	Maximum								
	Median								
Other	Maximum								
	Median								

Explanation of Teaching Load (if not measured in credit hours):

*As of 8/1/2011

Standard 5: Faculty
(Appointments, Tenure, Departures, and Retirements, Full Academic Year)

	3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
	(FY 2008)		(FY 2009)		(FY 2010)		(FY 2011)		(FY 2012)	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
# of Faculty Appointed ?	07/08	07/08	08/09	08/09	09/10	09/10	10/11	10/11	11/12*	11/12*
Professor										
Associate										
Assistant										
Instructor										
Other	0	94	0	115	0	103	0	123	0	117
Total	-	94	-	115	-	103	-	123	-	117

# of Faculty in Tenured Positions ?										
Professor										
Associate										
Assistant										
Instructor										
Other										
Total	-	-	-	-	-	-	-	-	-	-

# of Faculty Departing ?										
Professor										
Associate										
Assistant										
Instructor										
Other	0	94	0	115	0	103	0	123	0	117
Total	-	94	-	115	-	103	-	123	-	117

# of Faculty Retiring ?										
Professor										
Associate										
Assistant										
Instructor										
Other										
Total	-	-	-	-	-	-	-	-	-	-

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

*as of 8/1/11

**Standard 6: Students
(Admissions, Fall Term)**

?

Credit Seeking Students Only - Including Continuing Education

	3 Years Prior (FY 2008)	2 Years Prior (FY 2009)	1 Year Prior (FY 2010)	Current Year* (FY 2011)	Next Year Forward (goal) (FY 2012)
Freshmen - Undergraduate					
Completed Applications					
Applications Accepted					
Applicants Enrolled					
% Accepted of Applied	-	-	-	-	-
% Enrolled of Accepted	-	-	-	-	-
Percent Change Year over Year					
Completed Applications	-	-	-	-	-
Applications Accepted	-	-	-	-	-
Applicants Enrolled	-	-	-	-	-
Average of Statistical Indicator of Aptitude of Enrollees: (Define Below)					
Transfers - Undergraduate					
Completed Applications	1,653	1,869	2,003	1,386	2,100
Applications Accepted	1,327	1,577	1,732	1,205	1,729
Applications Enrolled	754	850	1,044	756	1,150
% Accepted of Applied	80.3%	84.4%	86.5%	86.9%	88.2%
% Enrolled of Accepted	56.8%	53.9%	60.3%	62.7%	66.5%
Master's Degree					
Completed Applications					
Applications Accepted					
Applications Enrolled					
% Accepted of Applied	-	-	-	-	-
% Enrolled of Accepted	-	-	-	-	-
First Professional Degree - All Programs					
Completed Applications					
Applications Accepted					
Applications Enrolled					
% Accepted of Applied	-	-	-	-	-
% Enrolled of Accepted	-	-	-	-	-
Doctoral Degree					
Completed Applications					
Applications Accepted					
Applications Enrolled					
% Accepted of Applied	-	-	-	-	-
% Enrolled of Accepted	-	-	-	-	-

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 6: Students
(Enrollment, Fall Census Date)

Credit-Seeking Students Only - Including Continuing Education

		3 Years Prior (FY 2008)	2 Years Prior (FY 2009)	1 Year Prior (FY 2010)	Current Year* (FY 2011)
UNDERGRADUATE					
First Year	Full-Time Headcount				
	Part-Time Headcount				
	Total Headcount	-	-	-	-
	Total FTE				
Second Year	Full-Time Headcount				
	Part-Time Headcount				
	Total Headcount	-	-	-	-
	Total FTE				
Third Year	Full-Time Headcount				
	Part-Time Headcount				
	Total Headcount	-	-	-	-
	Total FTE				
Fourth Year	Full-Time Headcount				
	Part-Time Headcount				
	Total Headcount	-	-	-	-
	Total FTE				
Unclassified	Full-Time Headcount	131	168	237	296
	Part-Time Headcount	1,857	1,911	2,041	2,204
	Total Headcount	1,988	2,079	2,278	2,500
	Total FTE	790.0	838.0	950.0	1,083.0
Total Undergraduate Students					
	Full-Time Headcount	131	168	237	296
	Part-Time Headcount	1,857	1,911	2,041	2,204
	Total Headcount	1,988	2,079	2,278	2,500
	Total FTE	790.0	838.0	950.0	1,083.0
	% Change FTE Undergraduate	na	6.1%	13.4%	14.0%
GRADUATE					
	Full-Time Headcount				
	Part-Time Headcount				
	Total Headcount	-	-	-	-
	Total FTE				
	% Change FTE Graduate	na	-	-	-
GRAND TOTAL					
	Grand Total Headcount	1,988	2,079	2,278	2,500
	Grand Total FTE	790.0	838.0	950.0	1,083.0
	% Change Grand Total FTE	na	6.1%	13.4%	14.0%

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in con interim or progress report, the year in which the report is submitted to the Commission.

?

**Next Year
Forward (goal)
(FY 2012)**

-

-

-

-

307

2,493

2,800

1,213.0

307
2,493
2,800
1,213.0
12.0%

-

2,800
1,213.0
12.0%

junction with an

**Standard 6: Students
(Financial Aid, Debt, and Developmental Courses)**

? Where does the institution describe the students it seeks to serve?

<http://CharterOak.edu/prospective/new/rightforme.cfm>

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Budget***	Next Year Forward (goal)
(FY 2009)	(FY 2010)	(FY 2011)*	(FY 2)	(FY 2)

*10-11 still in process. Data as of July 28, 2011.

? **Student Financial Aid**

Total Federal Aid				
Grants	\$459,185	\$975,848	\$1,512,666	
Loans	\$1,579,228	\$2,372,329	\$3,340,517	
Work Study	\$0	\$0	\$0	
Total State Aid	\$61,674	\$73,800	\$59,918	
Total Institutional Aid				
Grants	\$85,556	\$104,488	\$117,623	
Loans	\$0	\$0		
Total Private Aid				
Grants	\$64,185	\$116,311	\$267,762	
Loans	\$8,000	\$21,926	\$47,201	

Student Debt

Percent of students graduating with debt*

Undergraduates	13%	11%	19%	
Graduates	0%	0%	0%	

For students with debt:

Average amount of debt for students leaving the institution with a degree

Undergraduates	\$4,436	\$4,698	\$4,472	
Graduates				

Average amount of debt for students leaving the institution without a degree

Undergraduates				
Graduate Students				

Cohort Default Rate

--	--	--	--	--

Percent of First-year students in Developmental Courses**

English as a Second/Other Language	0%	0%		
English (reading, writing, communication skills)	0%	0%		
Math	0%	0%		
Other	0%	0%		

* All students who graduated should be included in this calculation.

**Courses for which no credit toward a degree is granted.

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Standard 7: Library and Other Information Resources

(Library)

	3 Years Prior (FY 2)	2 Years Prior (FY 2)	Most Recently Completed Year (FY 2)	Current Year* (actual or projection) (FY 2)	Next Year Forward (goal) (FY 2)
Expenditures/FTE student					
Materials	See Appendix I for library information				
Salaries & Wages					
Other operating					
Collections					
Total print volumes					
Electronic books					
Print/microform serial subscriptions					
Full text electronic journals					
Microforms					
Total media materials					
Personnel (FTE)					
Librarians – main campus					
Librarians – branch campuses					
Other library personnel – main campus					
Other library personnel – branch campus					
Library Instruction					
Total sessions – main campus	Part of Cornerstone Course				
Total attendance - main campus					
Total sessions -- branch campuses					
Total attendance -- branch campuses					
Reference and Reserves					
In-person reference questions	Online using QuestionPoint				
Virtual reference questions					
Traditional Reserves:					
courses supported					
items on reserve					
E-Reserves:					
courses supported					
items on e-reserve					
Circulation (do not include reserves)					
Total/FTE student					
Total full-text article requests					
Number of hits to library website					
Student borrowing through consortia or contracts					
Availability/attendance					
Hours of operation/week main campus	online therefore open all hours				
Hours of operation/week branch campuses					
Gate counts/year -- main campus					
Gate counts/year – average branch campuses					
URL of most recent library annual report:					
URL of Information Literacy Reports:					

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Revised September 2010

**Standard 7: Library and Other Information Resources
(Information Technology)**

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year* (actual or projection)	Next Year Forward (goal)
(FY 2008)	(FY 2009)	(FY 2010)	(FY 2011)	(FY 2012)

Number (percent) of students with own computers

Course management system

Number of classes using the system	95%	95%	100%	100%	100%
Classes on the main campus					
Classes offered off-campus					
Distance education courses					

Bandwidth
On-campus network

Off-campus access	NA	NA	NA	NA	NA
commodity internet (Mbps)	NA	NA	NA	NA	NA
high-performance networks (Mbps)	NA	NA	NA	NA	NA
Wireless protocol(s)	NA	NA	NA	NA	NA

Network
Percent of residence halls connected to network
wired

wireless

Percent of classrooms connected to network	NA	NA	NA	NA	NA
wired	NA	NA	NA	NA	NA
wireless	NA	NA	NA	NA	NA
Public wireless ports	NA	NA	NA	NA	NA

Multimedia classrooms (percent)
Main campus

Branches and locations

IT Personnel (FTE)
Main campus

Branch campuses

Dedicated to distance learning*

*includes Charter Oak and CIDLC staff

Software systems and versions	
Students	Jenzabar 3.84
Finances	CORE-CT
Human Resources	CORE-CT
Advancement	eTapestry
Library	
Website Management	None
Portfolio Management	None
Interactive Video Conferencing	WebEX
Digital Object Management	None

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Standard 8: Physical and Technological Resources

Campus location	Serviceable Buildings	Assignable Square Feet (000)
Main campus	1	13,850
Other U.S. locations		
International locations		

	3 Years Prior (FY 2008)	2 Years Prior (FY 2009)	1 Year Prior (FY 2010)	Current Year* (FY 2011)	Next Year Forward (goal) (FY 2012)
Revenue (\$000)					
Capital appropriations (public institutions)	\$500,000	\$0	\$508,491	\$0	\$0
Operating budget		\$223,572	\$39,803	\$0	\$0
Gifts and grants					
Debt					
TOTAL	\$500,000	\$223,572	\$548,294	\$0	\$0
Expenditures (\$000)					
New Construction					
Renovations, maintenance and equipment		\$75,112			
Technology	\$453,463	\$147,567	\$459,651	\$179,175	
TOTAL	\$453,463	\$222,679	\$459,651	\$179,175	\$0

Assignable square feet (000)	Main campus	Off-campus	Total
Classroom			0
Laboratory			0
Office	13,850		13,850
Study			0
Special			0
General			0
Support			0
Residential			0
Other			0

Major new buildings, past 10 years (add rows as needed)

Building name	Purpose(s)	Assignable Square Feet (000)	Cost (000)	Year

New buildings, planned for next 5 years (add rows as needed)

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year

Major Renovations, past 10 years (add rows as needed)

The list below includes renovations costing \$ _____ or more

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year

Renovations planned for next 5 years (add rows as needed)

The list below includes renovations costing \$ _____ or more

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 9: Financial Resources
(Statement of Financial Position/Statement of Net Assets)

FISCAL YEAR ENDS month & day: (06 /30)	2 Years Prior (FY 2009)	1 Year Prior (FY 2010)	Most Recent Year (2011)	Percent Change		
				2 yrs-1 yr prior	1 yr-most recent	
ASSETS						
?	CASH AND SHORT TERM INVESTMENTS	\$2,207,438	\$2,974,580	\$3,349,786	34.8%	12.6%
?	CASH HELD BY STATE TREASURER			-	-	-
?	DEPOSITS HELD BY STATE TREASURER			-	-	-
?	ACCOUNTS RECEIVABLE, NET	\$51,323	\$128,372	\$210,500	150.1%	64.0%
?	CONTRIBUTIONS RECEIVABLE, NET			-	-	-
?	INVENTORY AND PREPAID EXPENSES			-	-	-
?	LONG-TERM INVESTMENTS	\$1,130,419	\$1,245,596	\$1,361,395	10.2%	9.3%
?	LOANS TO STUDENTS			-	-	-
?	FUNDS HELD UNDER BOND AGREEMENT			-	-	-
?	PROPERTY, PLANT AND EQUIPMENT, NET	\$2,679,145	\$3,156,904	\$2,698,150	17.8%	-14.5%
?	OTHER ASSETS			-	-	-
	TOTAL ASSETS	\$6,068,325	\$7,505,452	\$7,619,831	23.7%	1.5%
LIABILITIES						
?	ACCOUNTS PAYABLE AND ACCRUED LIABILITIES	\$233,418	\$329,716	\$288,068	41.3%	-12.6%
?	DEFERRED REVENUE & REFUNDABLE ADVANCES			-	-	-
?	DUE TO STATE			-	-	-
?	DUE TO AFFILIATES			-	-	-
?	ANNUITY AND LIFE INCOME OBLIGATIONS			-	-	-
?	AMOUNTS HELD ON BEHALF OF OTHERS			-	-	-
?	LONG TERM DEBT			-	-	-
?	REFUNDABLE GOVERNMENT ADVANCES			-	-	-
?	OTHER LONG-TERM LIABILITIES	\$675,569	\$689,984	\$679,347	2.1%	-1.5%
	TOTAL LIABILITIES	\$908,987	\$1,019,700	\$967,415	12.2%	-5.1%
NET ASSETS						
UNRESTRICTED NET ASSETS						
	INSTITUTIONAL	\$1,089,748	\$1,806,345	\$2,372,819	65.8%	31.4%
?	FOUNDATION	\$129,569	\$124,945	\$200,233	-3.6%	60.3%
	TOTAL	\$1,219,317	\$1,931,290	\$2,573,052	58.4%	33.2%
TEMPORARILY RESTRICTED NET ASSETS						
	INSTITUTIONAL			-	-	-
?	FOUNDATION	\$4,512	\$33,346	\$62,581	639.1%	87.7%
	TOTAL	\$4,512	\$33,346	\$62,581	639.1%	87.7%
PERMANENTLY RESTRICTED NET ASSETS						
	INSTITUTIONAL	\$2,939,171	\$3,433,811	\$2,918,202	16.8%	-15.0%
?	FOUNDATION	\$996,338	\$1,087,305	\$1,098,581	9.1%	1.0%
	TOTAL	\$3,935,509	\$4,521,116	\$4,016,783	14.9%	-11.2%
	TOTAL NET ASSETS	\$5,159,338	\$6,485,752	\$6,652,416	25.7%	2.6%
	TOTAL LIABILITIES AND NET ASSETS	\$6,068,325	\$7,505,452	\$7,619,831	23.7%	1.5%

**Standard 9: Financial Resources
(Statement of Revenues and Expenses)**

FISCAL YEAR ENDS month & day: (/)		3 Years Prior (FY 2008)	2 Years Prior (FY 2009)	Most Recently Completed Year (FY 2010)	Current Budget* (FY 2011)	Next Year Forward (FY 2012)
OPERATING REVENUES						
P	TUITION & FEES	\$4,670,207	\$5,466,107	\$6,573,308	\$7,802,525	\$8,402,995
P	ROOM AND BOARD					
P	LESS: FINANCIAL AID	(\$93,231)	(\$85,028)	(\$102,648)	(\$146,172)	(\$160,789)
	NET STUDENT FEES	\$4,576,976	\$5,381,079	\$6,470,660	\$7,656,353	\$8,242,206
P	GOVERNMENT GRANTS & CONTRACTS	\$135,787	\$165,298	\$170,264	\$200,288	\$182,000
P	PRIVATE GIFTS, GRANTS & CONTRACTS	\$203,160	\$225,280	\$177,173	\$154,321	\$142,000
P	OTHER AUXILIARY ENTERPRISES	\$81,967	\$100,340	\$100,676	\$141,410	\$123,000
	ENDOWMENT INCOME USED IN OPERATIONS					
P	OTHER REVENUE (specify):	\$10,959	\$11,178	\$12,525	\$11,358	\$12,000
	OTHER REVENUE (specify):					
	NET ASSETS RELEASED FROM RESTRICTIONS					
	TOTAL OPERATING REVENUES	\$5,008,849	\$5,883,175	\$6,931,298	\$8,163,730	\$8,701,206
OPERATING EXPENSES						
P	INSTRUCTION	\$1,695,314	\$1,887,697	\$2,366,250	\$3,248,520	\$3,910,798
P	RESEARCH					
P	PUBLIC SERVICE					
P	ACADEMIC SUPPORT	\$1,153,138	\$1,382,560	\$1,560,432	\$1,501,028	\$1,598,595
P	STUDENT SERVICES	\$2,166,380	\$1,758,048	\$2,129,981	\$2,349,827	\$2,537,813
P	INSTITUTIONAL SUPPORT	\$2,151,321	\$2,342,557	\$2,487,668	\$2,784,896	\$2,979,839
	FUNDRAISING AND ALUMNI RELATIONS					
P	OPERATION, MAINTENANCE OF PLANT (if not allocated)	\$148,329	\$167,642			
P	SCHOLARSHIPS & FELLOWSHIPS (Cash refunded by public institutions)	\$513,686	\$642,569	\$1,015,052	\$1,653,583	\$1,843,583
P	AUXILIARY ENTERPRISES					
P	DEPRECIATION (if not allocated)	\$150,229	\$352,840			
P	OTHER EXPENSES (specify):					
	OTHER EXPENSES (specify):	\$11,725	\$16,628			
	TOTAL OPERATING EXPENDITURES	\$7,990,122	\$8,550,541	\$9,559,383	\$11,537,854	\$12,870,628
	CHANGE IN NET ASSETS FROM OPERATIONS	(\$2,981,273)	(\$2,667,366)	(\$2,628,085)	(\$3,374,124)	(\$4,169,422)
NON OPERATING REVENUES						
P	STATE APPROPRIATIONS (NET)	\$2,196,678	\$2,059,915	\$2,165,086	\$2,175,989	\$1,909,748
P	INVESTMENT RETURN	\$118,931	\$52,284	\$9,650	\$6,736	\$4,500
P	INTEREST EXPENSE (public institutions)					
	GIFTS, BEQUESTS & CONTRIBUTIONS NOT USED IN OPERATIONS					
P	OTHER (specify):	\$325,506	\$460,277	\$824,745	\$1,468,258	\$1,621,000
	OTHER (specify):	\$61,293	\$62,793	\$71,643	\$59,394	\$66,000
	OTHER (specify):	\$23,417	\$27,000	\$32,500	\$22,500	\$22,500
	NET NON OPERATING REVENUES	\$2,725,825	\$2,662,269	\$3,103,624	\$3,732,877	\$3,623,748
	INCOME BEFORE OTHER REVENUES EXPENSES, GAINS, OR LOSSES	(\$255,448)	(\$5,097)	\$475,539	\$358,753	(\$545,674)
P	CAPITAL APPROPRIATIONS (public institutions)	\$500,000		\$507,598		
P	OTHER	\$35,188	\$36,852	\$3,890	\$3,151	\$5,000
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$279,740	\$31,755	\$987,027	\$361,904	(\$540,674)

**Standard 9: Financial Resources
(Statement of Debt)**

FISCAL YEAR ENDS month & day (/)		3 Years Prior (FY2)	2 Years Prior (FY2)	Most Recently Completed Year (FY 2)	Current Budget* (FY 2)	Next Year Forward (FY 2)
	DEBT					
	BEGINNING BALANCE					
	ADDITIONS					
	REDUCTIONS					
	ENDING BALANCE	\$0	\$0	\$0	\$0	\$0
	INTEREST PAID DURING FISCAL YEAR					
	CURRENT PORTION					
	BOND RATING					
	DEBT COVENANTS (PLEASE DESCRIBE):					

*"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 9: Financial Resources
(Supplemental Data)**

FISCAL YEAR ENDS month & day (/)		3 Years Prior (FY2008)	2 Years Prior (FY2009)	Most Recently Completed Year (FY 2010)	Current Budget* (FY 2011)	Next Year Forward (FY 2012)
NET ASSETS						
	NET ASSETS BEGINNING OF YEAR	\$5,151,401	\$5,431,141	\$5,462,896	\$6,449,923	\$6,811,827
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$279,740	\$31,755	\$987,027	\$361,904	(\$540,674)
	NET ASSETS END OF YEAR	\$5,431,141	\$5,462,896	\$6,449,923	\$6,811,827	\$6,271,153
FINANCIAL AID						
SOURCE OF FUNDS						
	UNRESTRICTED INSTITUTIONAL					
	FEDERAL, STATE & PRIVATE GRANTS					
	RESTRICTED FUNDS					
	TOTAL	\$0	\$0	\$0	\$0	\$0
	% DISCOUNT OF TUITION & FEES					
?	% UNRESTRICTED DISCOUNT					
PLEASE INDICATE YOUR INSTITUTION'S ENDOWMENT SPENDING POLICY:						

*"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Information
How can inquiries be made about the institution? Where can questions be addressed?
Notice of availability of publications and of audited financial statement or fair summary
Institutional catalog
Obligations and responsibilities of students and the institution
Information on admission and attendance
Information on admission and attendance
Institutional mission and objectives
Expected educational outcomes
Requirements, procedures and policies re: admissions
Requirements, procedures and policies re: transfer credit
Requirements, procedures and policies re: transfer credit
Student fees, charges and refund policies
Rules and regulations for student conduct
Other information re: attending or withdrawing from the institution
Academic programs
Courses currently offered
Other available educational opportunities
Other academic policies and procedures
Requirements for degrees and other forms of academic recognition
List of current faculty, indicating department or program affiliation, distinguishing between full- and part-time, showing degrees held and institutions granting them
Names and positions of administrative officers
Names and principal affiliations of members of the governing board
Locations and programs available at branch campuses, other instructional locations, and overseas operations at which students can enroll for a degree, along with a description of programs and services available at each location
Programs, courses, services, and personnel not available in any given academic year.
Size and characteristics of the student body
Description of the campus setting
Availability of academic and other support services
Range of co-curricular and non-academic opportunities available to students
Range of co-curricular and non-academic opportunities available to students
Institutional learning and physical resources from which a student can reasonably be expected to benefit
Institutional goals for students' education
Success of students in achieving institutional goals including rates of retention and graduation and other measure of student success appropriate to institutional mission. Passage rates for licensure exams, as appropriate

Total cost of education, including availability of financial aid and typical length of study
Expected amount of student debt upon graduation
Statement about accreditation

Standard 10: Public Disclosure

Web Addresses	Print Publications
http://charteroak.edu/prospective/admissions	Brochures, Catalog
http://charteroak.edu/aboutus/public.cfm	
http://charteroak.edu/prospective/new/catalogs.cfm	
http://charteroak.edu/prospective/new/catalogs/cfm	College Catalog
http://charteroak.edu/prospective/apply	College Catalog, Course Shell
http://charteroak.edu/prospective/new/faq.cfm	College Catalog, course shell
http://charteroak.edu/aboutus/mission.cfm	College Catalog
http://charteroak.edu/prospective/new/catalogs/cfm	College Catalog, Course Shell
http://charteroak.edu/prospective/admissions	College Catalog, Course Shell
http://charteroak.edu/prospective/apply	College Catalog
http://charteroak.edu/prospective/new/faq.cfm	College Catalog
http://charteroak.edu/prospective/tuition	College Catalog
http://charteroak.edu/prospective/new/catalogs/cfm	College Catalog
http://charteroak.edu/current	College Catalog
http://charteroak.edu/prospective/programs	College Catalog, Brochures
http://www.chareroak.edu/current/courses/	Course Schedule Bulletin
http://www.charteroak.edu/current/academics/earningcredits/experiences	College Catalog
http://charteroak.edu/current	College Catalog
http://charteroak.edu/prospective/programs/degree.cfm	College Catalog
http://charteroak.edu/aboutus/faculty.cfm	College Catalog
http://charteroak.edu/aboutus/directories/staff.cfm	College Catalog
http://charteroak.edu/aboutus/board.cfm	College Catalog
NA	NA
NA	NA
http://charteroak.edu/aboutus/profile.cfm	
NA	NA
http://charteroak.edu/current/services/directory.cfm	College Catalog
http://charteroak.edu/current/services/elounge.cfm	College Catalog
http://www.charteroak.edu/current/services/studentassociation.cfm	College Catalog
http://www.esupport.ctdlc.org/support/www.charteroak.edu/current/academics/earningcredits/exam/	
http://www.charteroak.edu/PDF/Official%20Catalog.pdf	College Catalog
http:// charteroak .edu/aboutus/profile.cfm	

<http://charteroak.edu/prospective/tuition>
<http://www.charteroak.edu/Prospective/Tuition/>
<http://charteroak.edu/prospective/new/accreditation.cfm>

	College Catalog
	College Catalog
	College Catalog

Standard 11: Integrity

Policies	Last Updated	URL Where Policy is Posted	Responsible Office or Committee
Academy honesty	2011	gial%20Catalog.pdf	Provost
Intellectual property rights		http://www.charteroak.edu/Bb/co	Undergraduate programs
Intellectual property rights		http://www.charteroak.edu/Abou	Undergraduate programs
Intellectual property rights		http://www.charteroak.edu/Abou	Undergraduate programs
Conflict of interest	2005	Ethics Statement in SharePoint*	Finance & Administration
Privacy rights			
Fairness for students		http://www.charteroak.edu/current	
Fairness for faculty		http://www.charteroak.edu/Abou	Handbook for Consultnig
Fairness for staff	2009	Collective Bargaining Agreement	Finance & Administration
Academic freedom			
Other _____			
Other _____			

Non-discrimination policies

Recruitment and admissions	1973	www.charteroak.edu/aboutus/no	Registrar and Admissions
Employment	2009	http://www.charteroak.edu/about	Human Resources
Evaluation	2009	http://sharepoint/sites/main/HR/	Human Resources
Disciplinary action	2009	http://sharepoint/sites/main/HR/	Human Resources
Advancement	2009	http://sharepoint/sites/main/HR/	Human Resources
Other: Dealing with Troubled Students	2008	Faculty Resource Center	Provost

Resolution of grievances

Students	2011	www.charteroak.edu/PDF/Offic	Provost
Faculty	2010	Faculty Resource Center	Provost and Undergrad Dean
Staff	2009	Collective Bargaining Agreement	Finance & Administration
Other _____			

Other	Last Updated	Relevant URL or Publication	Responsible Office or Committee
1. Ethics Policy	2006	http://sharepoint/sites/main/HR/	Human Resources
2 Acceptable Use Policy	2011	SharePoint*	IT
3 DRM and Copyright	2011	SharePoint*	Human Resources
4 Red Flag Identity Flag	2010	SharePoint*	IT
5 Workplace Violence	2011	SharePoint*	Human Resources

*SharePoint is a web based technology that is used for document storage and sharing, project and team sites, workflow control and management by and for Charter Oak staff.

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY	(1) Have formal learning outcomes been developed?	(2) Where are these learning outcomes published? (please specify) Include URLs where appropriate.	(3) Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	(4) Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	(5) What changes have been made as a result of using the data/evidence?	(6) Date of most recent program review (for general education and each degree program)
At the institutional level:	Yes	See 2011-2012 Catalog Pg. 46 www.charteroak.edu/PDF/Official%20Catalog.pdf	ETS Proficiency Test (Pilot-optional for graduating students)	Assessment Committee	ETS Proficiency Test will be made mandatory	03/15/2011
For general education if an undergraduate institution:	Yes	See 2011-2012 Catalog Pg. 46 www.charteroak.edu/PDF/Official%20Catalog.pdf	ETS Proficiency Test (Pilot-optional for graduating students)	Assessment Committee	ETS Proficiency Test will be made mandatory	03/15/2011
List each degree program:						
1. Bachelor of Arts	Yes	See 2011-2012 Catalog Pg. 46 www.charteroak.edu/PDF/Official%20Catalog.pdf	Capstone Course	Assessment Committee	Faculty Tutorial for capstone course development	05/30/2011

2. Bachelor of Science	Yes	See 2011-2012 Catalog Pg. 46 www.charteroak.edu/PDF/Official%20Catalog.pdf	Capstone Course	Assessment Committee	Faculty Tutorial for capstone course development	05/30/2011
3..						
4						
5.						

Institutions selecting E1a should also include E1b.

Form S1. RETENTION AND GRADUATION RATES

Student Success Measures/ Prior Performance and Goals		2 Years Prior	1 Year Prior	Most Recent Year	Goal Next Year	Goal 2 Years Forward
IPEDS Retention Data						
Associate degree students		70%	75%	68%	70%	70%
Bachelors degree students		70%	75%	68%	70%	70%
IPEDS Graduation Data						
Associate degree students		60%	42%	51%	55%	55%
Bachelors degree students		53%	58%	63%	65%	65%
Other Undergraduate Retention Rates (1)						
a	<u>Minority retention rate</u>	69%	69%	61%	70%	70%
b	<u>Non-Minority retention rate</u>	71%	77%	71%	70%	70%
c						
Other Undergraduate Graduation Rates (2)						
a	<u>Minority bachelor's graduation rate</u>	59%	59%	62%	65%	65%
b	<u>Non-Minority bachelor's graduation rate</u>	51%	59%	65%	65%	65%
c						
Graduate programs *						
Retention rates first-to-second year (3)						
Graduation rates @ 150% time (4)						
Distance Education						
Course completion rates (5)		84%	85%	86%	85%	85%
Retention rates (6)		70%	75%	68%	70%	70%
Graduation rates (7)		53%	58%	63%	65%	65%
Branch Campus and Instructional Locations						
Course completion rate (8)						
Retention rates (9)						
Graduation rates (10)						
Definition and Methodology Explanations						
1	<u>Retention data is for first to second year</u>					
2	<u>Retention data is not broken down by degree goal</u>					
3	<u>Graduation data for Associate degree students is 3 years</u>					
4	<u>Graduation data for Bachelor's degree students is 6 years</u>					
5						
6						
7						
8						
9						
10						
* An institution offering graduate degrees must complete this portion.						

Form S2. OTHER MEASURES OF STUDENT ACHIEVEMENT AND SUCCESS

Measures of Student Achievement and Success/ Institutional Performance and Goals		2 Years Prior	1 Year Prior	Most Recent Year	Goal for the Future
Success of Students Pursuing Higher Degree					
1					
2					
3					
4					
5					
Definition and methodology explanations					
Rates at Which Graduates Pursue Mission Related Paths (e.g., Peace Corps, Public Service Law)					
1					
2					
3					
4					
Definition and methodology explanations					
Rates at Which Students Are Successful in Fields for Which They Were Not Explicitly Prepared					
1					
2					
3					
4					
Definition and methodology explanations					
Documented Success of Graduates Achieving Other Mission-Explicit Achievement (e.g., Leadership, Spiritual Formation)					
1					
2					
3					
Definition and methodology explanations					
Other (Specify Below)					
1	Percent of CT graduates gaining employment*	80%	85%	82%	85%
2	Increase in weekly wages	34%	32%	38%	35%
Definition and methodology explanations					
*Information from Connecticut Department of Labor					

Appendix A

List of Preparers

Shirley M. Adams, Provost

Cabinet members:

Adams, Shirley, Provost
Claffey, George, Chief Information Officer
Flinn, Deborah, Director, Financial Aid
Hebert, Carolyn, Dir. Of Marketing & Public
Relations
Hemenway, David, Director, Institutional
Effectiveness
Klonoski, Ed, President
Larkin, Linda, Director, Academic Services
McGoldrick, Rowena, Associate Manager,
Personnel and Business Services

Pendleton, Lori, Director of Admissions
Washington, Jennifer, Registrar
Wilkie, Dana, Dean of Undergraduate
Programs
Wilkinson, Laurence, Director, Finance and
Administration
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Administrative Officer
Zematis, Eric, Director of Management
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Karen Birch, Math, Science and Technology Committee
Cheryl Curtis, Social and Behavioral Science Committee

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Karen Birch
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Patrice Farquharson
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Regina Miller
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Board Members:

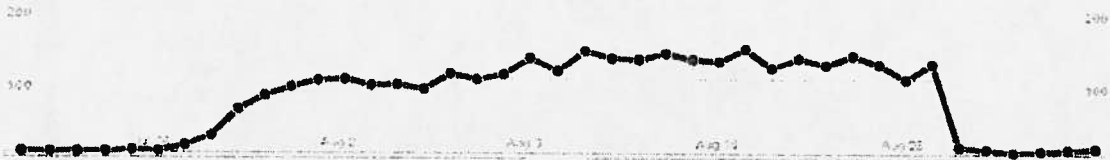
Lenny Winkler, Chair
Jerry Long, Vice Chair
Eric M. Janney, Esq.
Michael Nicasro
John Padilla, Secretary
Kathleen Richards
John Whitcomb
Nancy Whitehead, Alumni Representative
Lisa Wildman, Student Representative

Charter Oak Staff, and Student Government members

Appendix B: Marketing Data

Fall 2010 Marketing Report

Dan Russell - Senior Associate, Internet Marketing



The trend of visitors attributed to our Fall 2010 campaign to CharterOak.edu from 7/21 (1 week before Term 1 campaign) to 8/31 (1 week after Term 1 campaign end).

The Bottom-Line Numbers

Visits	3,056
Pageviews	7,251
Unique Pageviews	5,529
Pages/Visit	2.37
Bounce Rate	78.34
Avg. Time on Site	1:16
New Visits	91.43%

TERMS EXPLAINED:

Visits represents the number of times the site was visited.

Pageviews are the number of pages viewed in total and the

Pages per Visit show the average pages visited by each visitor.

Bounce Rate is the percent of visitors that leave *immediately* after reaching the site, seeing only one page. **Average Time on Site** is the how long the average visitor stayed.

Percentage of New Visits is the percentage of visitors that had never been to our site before.

The Pages

Page	Unique Page Views
MAIN LANDING PAGE (www.charteroak.edu/Fall2010/)	3216
TOTAL OF ALL OTHERS (the remaining Top 10:)	2574
www.charteroak.edu/Prospective/Programs/	289
www.charteroak.edu/	256
www.charteroak.edu/Prospective/Programs/Degree.cfm	148
www.charteroak.edu/Prospective/Programs/Concentrations.cfm	132
acorn.charteroak.edu/lcs/	90
www.charteroak.edu/Prospective/Tuition/	83
www.charteroak.edu/Prospective/Online/	79
www.charteroak.edu/Prospectice/Apply/	46
acorn.charteroak.edu/lcs/Admissions/	41

The "Fall2010" page was the main landing page for the Fall 2010 campaign. Based on the source information provided by the various tracking URLs, different welcome messages would be displayed to visitors. The page got 2,956 unique visits. On this landing page, users were presented with 2 options, randomly displayed based on a coin toss: An on-page simple (trackable) contact form, or a link to ACORN to our "Make an Inquiry" form.

Appendix B: Marketing Data

The on-page simple contact form was a limited-time experiment that was discontinued during the course of the Fall 2010 campaign. During this time, links to the inquiry form on the rest of CharterOak.edu also presented users with a coin-flip presentation of either a trackable contact form, or a link to ACORN's "Make an Inquiry" form.

The Ads: Overview

Media	Date	Cost	Visits	Cost per Visit
Radio Campaign (includes Oct.)	8/11 - 8/25	\$64,000.00	56	\$1,142.86
Hartford Courant post-it note	8/11	\$5,000.00	12	\$416.67
NH Register post-it note	8/11	\$3,000.00	13	\$230.77
Springfield Republican American	8/12	\$5,000.00	34	\$147.06
Google AdWords Search	7/30 - 8/25	\$2,388.21	557	\$4.29
Google AdWords Display	7/30 - 8/25	\$491.59	98	\$5.02
Facebook	7/30 - 8/25	\$1,248.10	1137	\$1.10
Yahoo	7/30 - 8/25	\$1,127.52	361	\$3.12
LinkedIn	8/10 - 8/24	\$353.73	67	\$5.28
courant.com	8/1 - 8/25	\$2,000.00	254	\$7.87
wtnh.com	8/1 - 8/25	\$2,000.00	169	\$11.83
masslive.com	7/28 - 8/25	\$2,000.00	204	\$9.80
Wwlp.com	?	\$1,000.00	56	\$17.86
State of CT Paycheck Stuffer	7/29	\$450.00	44	\$10.23
TOTALS:	7/28-8/25	\$90,059.15	3,056	\$29.14

Conversions

Note: The two trackable forms generate true conversions, while engagement with the "Make an Inquiry" form is counted here as a conversion, even though it cannot be determined whether the "Make an Inquiry" form was completed.

Source	Completed On-Page Inquiry Form	Completed Other Trackable Inquiry Form	Engaged "Make an Inquiry" Form	TOTAL	Cost	Cost per Conversion
facebook	4	2	4	10	\$1,248.10	\$124.81
google	3	2	3	8	\$2,879.80	\$359.98
springfield-republican	3	0	0	3	\$5,000.00	\$1,666.67
wkss	0	2	0	2	\$7,187.50	\$3,593.75
courant.com	1	0	1	2	\$2,000.00	\$1,000.00
new-haven-register	1	0	1	2	\$3,000.00	\$1,500.00
wthn.com	1	0	1	2	\$2,000.00	\$1,000.00
paycheck-stuffer	1	0	0	1	\$50.00	\$50.00
yahoo	1	0	0	1	\$1,127.52	\$1,127.52
wzmx	0	1	0	1	\$18,687.50	\$18,687.50
hartford-courant	0	0	1	1	\$5,000.00	\$5,000.00
TOTAL	15	7	11	33	\$90,059.15	\$2,729.07

Any source or medium not listed here produced zero trackable or inferred conversions. Cost & Cost per Conversion TOTAL line take into account cost of these non-performers.

Appendix B: Marketing Data

By Medium

Medium	Visits	Pages/Visit	Avg. Time	New Visits	Bounce
cpc	1860	1.91	1:01	93.01	82.85
online	1045	2.15	0:49	92.44	79.04
print	76	8.12	8:35	60.53	15.79
radio (incl. Oct.)	56	5.59	5:16	66.07	39.29
paycheck	44	10.18	7:18	68.18	9.09

In this campaign, we had essentially 2 types of ads: "clickable" and "unclickable". Users click on online ads, or Cost-Per-Click ads like Google, Yahoo! and Facebook ads, leading to an easy transportation to our site. Radio, the Paycheck Stuffer and Print require users to take our message from an offline format then exactly enter our tracking URL into their computer's web browser. This can lead to unaccounted visits from the offline "unclickable" ads. "Clickable" ads clearly dominate overall visits, accounting for 95% of all visits. This is clearly a great way to attract the greatest number of visitors to our site, especially new visitors. However, "clickable" ads have a higher bounce rate and lower number of pages per visit *on average* than the "unclickable" ads. "Unclickable" ads seem to have much greater "stickiness", meaning that visitors stay longer and visit more pages *on average* than those visiting via a link.

It needs to be understood that the Pages/Visit and Average Time on Site are *averages* and that the huge numbers of total visits from facebook, google and yahoo likely contain just as many if not more visitors that visit 10+ pages and spend 7+ minutes on the site.

"Quality" Visitors by Source / Medium

Source/Medium	Visits with 10+ Pages	Cost	Cost per Quality Visitor
google / cpc	37	\$1,248.10	\$33.73
facebook / cpc	24	\$2,879.80	\$119.99
wthn / online	13	\$2,000.00	\$153.85
courant / online	11	\$2,000.00	\$181.82
paycheck-stuffer	11	\$450.00	\$40.91
yahoo / online	11	\$1,127.52	\$102.50
springfield-republican / print	7	\$5,000.00	\$714.29
wkss / radio	6	\$7,187.50	\$1,197.92
hartford-courant / print	4	\$5,000.00	\$1,250.00
linkedin / cpc	3	\$353.73	\$117.91
new-haven-register / print	3	\$3,000.00	\$1,000.00
wccc / radio	3	\$6,587.50	\$2,195.83
masslive / online	2	\$2,000.00	\$1,000.00
wplr / radio	1	\$6,737.50	\$6,737.50
wwlp / online	1	\$1,000.00	\$1,000.00
wzmx / radio	1	\$18,687.50	\$18,687.50
TOTALS	138	\$90,059.15	\$652.60

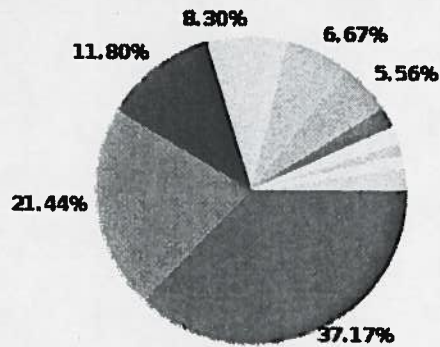
In the past too much emphasis and credence has been given to the high average page views of non-clickable or traditional advertising. Google, Facebook and other online ad buys are outperforming radio and print in terms of the sheer number of "quality" visitors (10+ pages per visit). While the same old argument can still be made that all print and radio traffic is not tracked, it's becoming more apparent that online and cost-per-click advertising is producing more trackable quality visits and conversions.

Appendix B: Marketing Data

By Source / Medium

Source/Medium	Visits	Pages/Visit	Avg. Time	% New	Bounce
facebook / cpc	1137	1.50	0:31	0.94	0.88
google / cpc	656	2.61	1:51	0.91	0.73
yahoo / online	361	2.08	0:48	0.96	0.82
courant / online	254	2.22	1:02	0.89	0.78
masslive / online	204	1.74	0:17	0.89	0.86
wthn / online	170	2.85	1:22	0.94	0.66
linkedin / cpc	67	2.12	1:09	1.00	0.85
wwlp / online	56	1.61	0:22	0.93	0.79
paycheck-stuffer	44	10.18	7:18	0.68	0.09
springfield-republican / print	34	5.59	6:25	0.68	0.26
catalog / print	17	10.76	14:18	0.18	0.06
new-haven-register / print	13	8.00	8:06	0.77	0.15
hartford-courant / print	12	11.33	7:10	0.83	0.00
wccc / radio	11	5.73	4:09	0.55	0.45
wkss / radio	11	9.64	9:56	0.73	0.18
wplr / radio	6	6.50	2:26	0.67	0.33
wtic / radio	3	4.00	3:40	1.00	0.33
waqy / radio	2	2.50	2:17	1.00	0.50
wzmx / radio	1	11.00	2:58	1.00	0.00
wwlp / email	0	0.00	0.00	0.00	0.00

facebook / cpc	1,137	37.17%
google / cpc	656	21.44%
yahoo / online	361	11.80%
courant / online	254	8.30%
masslive / online	204	6.67%
wthn / online	170	5.58%
linkedin / cpc	67	2.19%
wwlp / online	56	1.83%
paycheck-stuffer / paycheck-stuffer	44	1.44%
springfield-republican / print	34	1.11%



The Site Compared to Last Year

Note: this data reflects full site traffic, not just campaign-accountable traffic.

Comparing similar weeks from 7/2009-9/2009 to 7/2010-8/2010:

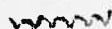
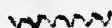





Visitors Overview

Jul 21, 2010 - Aug 31, 2010





Comparing to Jul 22, 2009 - Sep 1, 2009



40,938 people visited this site

-  **83,297 Visits**
Previous: 78,337 (+9.12%)
-  **40,938 Absolute Unique Visitors**
Previous: 38,837 (+5.41%)
-  **554,477 Pageviews**
Previous: 544,693 (+1.80%)
-  **6.66 Average Pageviews**
Previous: 7.14 (-6.71%)
-  **00:07:11 Time on Site**
Previous: 00:08:07 (+17.27%)
-  **29.46% Bounce Rate**
Previous: 28.52% (+11.07%)
-  **40.66% New Visits**
Previous: 44.58% (-8.74%)

Visitor Segmentation

-  **Visitors Profile:** languages, network locations, user defined
-  **Browser Profile:** browsers, operating systems, browser and operating systems, screen colors, screen resolutions, java support, Flash
-  **Map Overlay**
Geolocation visualization
-  **Try Google Ad Planner.**
Understand the demographics and behaviors of your website's visitors.

We can see that the Fall 2010 campaign period saw a 9.12% in overall site visits and a 5.41% increase in absolute unique visitors. The total pageviews increased just a bit. The higher bounce rate show that more visitors are leaving quickly, and the pages per visit also decreased.

Appendix B: Marketing Data

Geolocation

Our Top 10 US states during the Fall 2010 campaign

Detail Level	Region	Visits ↓	Pages/Visit	Avg. Time on Site	% New Visits	Bounce Rate
	Connecticut	59,943	6.66	00:07:17	36.79%	29.63%
	Massachusetts	4,075	6.25	00:07:45	47.14%	33.30%
	New York	3,890	6.36	00:06:05	47.02%	28.59%
	California	2,563	6.56	00:08:29	50.84%	27.74%
	Florida	2,026	7.44	00:07:37	35.49%	30.90%
	Texas	1,678	7.47	00:07:58	44.16%	32.96%
	Pennsylvania	1,167	6.33	00:07:38	43.86%	24.43%
	Georgia	1,162	7.14	00:08:13	46.70%	25.52%
	Illinois	1,161	5.01	00:04:45	38.05%	48.74%
	North Carolina	965	6.46	00:06:54	44.04%	19.79%

Keywords

Our top performing Google AdWords keywords by various metrics; **bold** appear in top 10 in all metrics.

Visits: go back to school, college courses, college for adults, online classes, online class, adult college, **correspondence schools, accredited degrees, colleges in connecticut, accelerated courses**

Pages/Visit: finish my degree, online associates degrees, **colleges in connecticut, degree completion, online education classes, adult degree, online education colleges, correspondence schools, online biology classes, accelerated courses**

Avg. Time on Site: online associates degrees, degree completion, **colleges in connecticut, accelerated courses, correspondence college, adult degree, online education classes, online biology classes, correspondence schools, online tuition**

Notes & Recommendations

Recommendations still applicable from the Spring 2010 report:

ACORN needs to be tapped into to greater determine conversion success. This requires a joint project between marketing and IT. It is crucial to future accuracy and ROI calculation. It must be first determined if it is possible, and if so, Google Analytics code must be implemented within the goal completion pages of ACORN.

Facebook and Google AdWords continue to be the most provably cost effective. Combined with their laser-focused targeting, it can only be recommended that these be increased.

TV advertising should be considered, especially Google's targeted TV ads.

A website redesign should positively affect conversion.

Run as many paycheck stuffer ads as possible. They are cost effective and very successful. We should continue to research the possibility of getting paycheck stuffers in our corporate partners' paychecks, like Aetna, Hartford Hospital, and Mohegan Sun.

Appendix B: Marketing Data

New Recommendations:

WCCC and WKSS outperformed other radio stations in terms of total visits, cost per visit and conversions (although WCCC recorded no conversions and WZMX recorded one). These stations should be focused on for our next radio buy. WLZX and WPKX produced zero hits at all. WTIC and WZMX were so relatively expensive that their cost-per-visit was the worst of all the radio stations that received any trackable traffic.

MassLive.com and WWLP.com were by far the worst performing online ads, producing no conversions, few quality visits, and a relatively high cost per visit. This may be indicative of a low interest or limited awareness in the Springfield market. Facebook, Google, Yahoo and LinkedIn were able to attract a combined 247 visits from Massachusetts, just a bit less than all Massachusetts-specific web, print and radio traffic combined. Recommendation: boost CPC spending in Massachusetts in lieu of further online ad buys in that market.

Reimplement an on-landing-page form as was used on a 50/50 random basis for part of the campaign. This enabled trackable conversions (a submitted contact form) for the first time in years.

Find more vectors for CPC advertising. Recommendations include Yahoo! Search, Bing, MySpace, Microsoft AdCenter, and on mobile platforms, AdMob and Apple's iAd program.

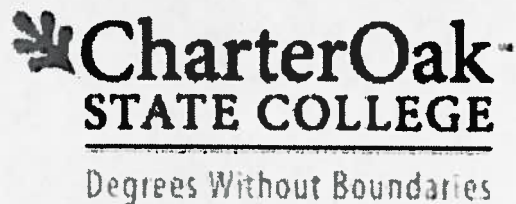
Consider coupling a future semester-based campaign with a retargeting campaign to increase the effectiveness of the semester-based campaign.

Consider running ads promoting our Facebook Page, Open Registration Events and Semester Start-Date Events on Facebook in conjunction with semester-based campaign advertising on Facebook. These will support each other.

Facebook demographic reporting shows that our highest click-thru rates are from people who are both female and over 35. This may indicate that women over 35 are simply more likely to click on any ad, but since it closely reflects our demographic, we may want to further target web properties (forums, etc.) that have this demographic.

Documents

See the related document "Fall 2010 Media Plan.xls" for various data and calculations.



Charter Oak State College

STRATEGIC INDICATORS DASHBOARD 2010-2011
As of June 30, 2011 (end of the FY 10-11 fiscal year)

	How Has COSC CHANGED?				FY 10-11 GOAL	FY 10-11 Year	FY 10-11 Total to FY 10-11 Goal Change	COSC Percent of Goal Achieved			Notes
	FY 09-10 to FY 10-11 Change		Percentage of GOAL					Percent of Goal Achieved			
	FY 06-07 Year	FY 07-08 Year	FY 08-09 Year	FY 09-10 Year				0%	50%	100%	
Number of Matriculated Students Served	2,421	2,299	2,365	2,599	3,200	2,778	▼	87%			
Applications	1,474	1,552	1,687	1,984	2,300	1,811	▼	79%			Includes Actua
New Matriculations, including reentries	732	754	850	1044	1,200	910	▼	76%			
Matriculation Renewals	DNA	695	862	936	1,070	916	▼	86%			Includes Actua
Number of Graduates	592	480	483	468	515	550	▲	107%			
Credit Course Enrollment Total Credits	12,112	15,807	18,597	22,404	25,541	27,593	▲	108%			
Non-Credit Course Total Number of Registrations	226	213	343	240	274	297	▲	108%			
Financial Aid Awarded- # of Students	dna	380	474	668	762	890	▲	117%			Includes consortium students
Financial Aid- Dollars Awarded	\$1,849,608	\$1,814,421	\$2,276,823	\$3,533,421	\$4,000,000	\$5,379,144	▲	134%			
Total Matriculation Revenue	\$944,273	\$994,370	\$1,093,230	\$1,364,848	\$1,466,996	\$1,211,630	▼	83%			
Overall ESA Revenue	\$4,284,447	\$4,925,673	\$5,763,553	\$6,876,816	\$7,768,758	\$8,052,514	▲	104%			

Symbol color:
 ▲ higher than last yr ▼ lower than last yr ● unchanged
 Blue = Improved Red = worsened
 Dashed = Data Not Available

Appendix D Results Based Accountability

Program Report Card: Online Learning Program, Charter Oak State College

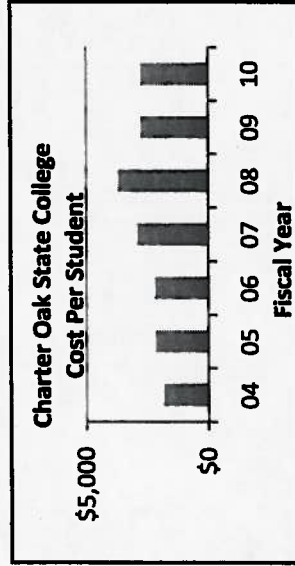
Quality of Life Result: All Connecticut residents will be lifelong learners.

Contribution to the Result: Charter Oak State College affords every adult CT resident access to an affordable and effective college education with minimal impact on state resources.

Actual SFY 10 Total Program Expenditures:	\$ 9,050,953	State Funding:	\$ 2,165,086	Federal Funding:	\$ 0	Other Funding:	\$ 6,885,867
Estimated SFY 11 Total Program Expenditures:	\$ 9,947,785	State Funding:	\$ 2,179,027	Federal Funding:	\$ 0	Other Funding:	\$ 7,768,758

Partners: (Connecticut Women's Education and Legal Fund, CT Charters-a-Course, CT League of Nursing, Workforce Development Boards, CT Community Colleges, Capital Workforce Partners)

Performance Measure 1:
Cost per student per year.



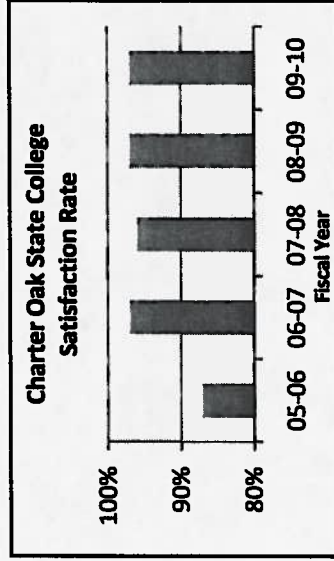
Story behind the baseline:

Charter Oak has been able to remain an affordable alternative for adults seeking to complete their college degrees due to a unique cost model and vigilance regarding student service and success. Costs in 2008 increased because of hiring of staff to support the growing distance learning initiative and student information system. Both afforded Charter Oak the opportunity to begin to scale its program development and services to students while maintain low fees and high quality.

Proposed actions to turn the curve:

Charter Oak has benchmarked its fees and staffing pattern against peer colleges to stay competitive in the adult, online education market place, while maintaining high standards of service as evidenced by its student satisfaction rate with its courses and staff, and its high retention rate in its courses and in its programs. Charter Oak has a successful course completion rate of 85%.

Performance Measure 2:
Survey response to satisfaction with educational experience and job/or college preparation.



Story behind the baseline:

Charter Oak, as a degree completion college, was legislated to give adults an opportunity to complete their degrees. From its beginnings in 1973, the College has had a philosophy of service. New employees (staff and adjunct faculty) receive an orientation that emphasizes this philosophy. To ensure the service provided is quality, Charter Oak has conducted surveys of its student to ensure that their needs are being met and has adjusted services as appropriate. Graduates respond to the question, how satisfied are you with the college overall.

Proposed actions to turn the curve:

Now that Charter Oak offers more of its own courses and more students are taking its courses, assessment becomes more important. The College will conduct assessments of its students at graduation and one year after graduation and adjust services as appropriate. It will also attempt to survey employers, although that is more difficult because of privacy concerns.

Performance Measure 3:
Salaries of Charter Oak graduates 6 months after graduation.

Fiscal Year	Starting Wage	Six Months after Graduation	Total Wage	Percent Increase
2005	\$626	\$285	\$911	46%
2006	\$654	\$300	\$954	46%
2007	\$694	\$352	\$1,046	51%
2008	\$729	\$346	\$1,075	47%

Source: Connecticut Department of Labor

Story behind the baseline:

Nearly 85-90% of Charter Oak students are employed, most are fulltime. Many are using Charter Oak to advance in their career or to change careers. To accommodate this need, Charter Oak has developed subject area concentrations and an individualized concentration that allows students to build upon their previous educational and work experience to meet their current job needs or to earn a degree to advance in their career. The DOL data shows that our graduates working in CT have increased their earnings by 46% to 51%.

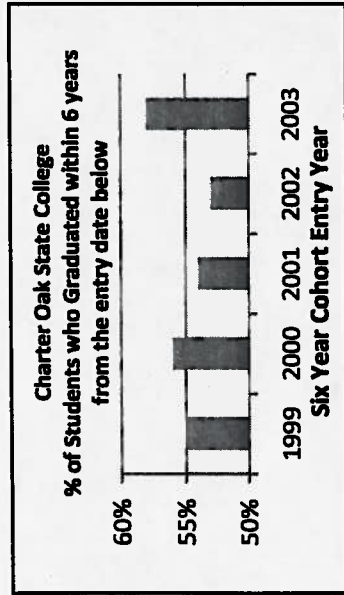
Proposed actions to turn the curve:

To continue to help CT residents increase their income level, Charter Oak will continue to work with such programs as WIA; continue to offer its Women in Transition and CT Wage Programs to help low income men and women increase their education and thus find better paying jobs; increase its business partnerships by two a year; continue to work with GraduateCT to help more adults complete their degrees; and begin offering graduate degrees and certificates.

Quality of Life Result: All Connecticut residents will be lifelong learners.

Performance Measure 4:

Degree completion rate within a 6 year time-frame.



Story behind the baseline:

Charter Oak has transitioned from an aggregator of credits to a college that offers over 250 online courses. This change began in earnest in 2002. As the college made this change a renewed focus was made on retention.

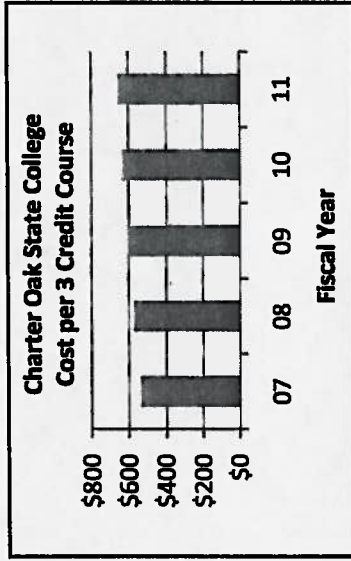
Charter Oak developed standards for course development and course review; a process for faculty development and review and a program of outcomes assessment. It has added online support services (library, tutoring, advising) to help the students succeed. In addition, the College is placing a greater emphasis on student retention through its advising office and through its implementation of a required Cornerstone course for all incoming students. Charter Oak's retention rate for minority students is the same as for non-minority students—59%.

Proposed actions to turn the curve:

Implement an online student course participation monitoring system (Starfish) so advisors can intervene immediately if students are demonstrating success issues with their courses. Continue to work with online faculty so that they understand the importance of faculty feedback and intervention consistent with retention goals. Monitor the retention rates and student evaluations of faculty. Survey those who withdraw from courses to ascertain the reason(s) and then take appropriate measures to address issues. The goal is for a 60% 6-year completion rate and an 80% one year retention rate.

Performance Measure 5:

Cost to student per credit.



Story behind the baseline:

Charter Oak prides itself on being an affordable option for adult students. To ensure that the college remains affordable, Charter Oak evaluates its need for fee changes in comparison to operational cost increases annually and compares its fees against the tuition and fees of its competitors and CT public institutions.

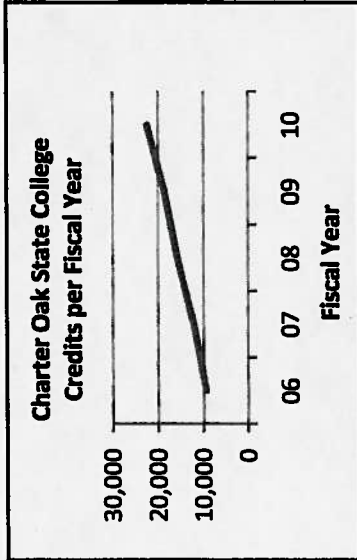
Charter Oak's fee philosophy is one of affordability and due to its model of adjunct faculty, staffing exclusively related to student instruction and support, and minimal infrastructure requirements (building and data center), fees are consistently under the other CT state colleges and its national competitors. Credit costs have risen less than 23% in 5 years.

Proposed actions to turn the curve:

Charter Oak is reexamining its fee structure to improve the financial entry point for students to the institution. It is also using data driven decisions to ensure that it has sufficient reserves for program growth and support. Charter Oak is mindful of fee increases consistent with the Higher Education Performance Index (HEPI) to ensure that its cost per credit remains low.

Performance Measure 6:

Number of credit hours taken by students.



Story behind the baseline:

Charter Oak began offering online courses in earnest in 2002. Based on its success and the national trend to online delivery, the college made a strategic decision to become a player in the online market. The college had to develop an infrastructure to support online courses. In its initial growth phase it relied on the support of the CT Distance Learning Consortium. Charter Oak's growth escalated with the hiring of a Director of Distance Learning and an Instructional Designer in 2008.

Charter Oak has successfully increased the number of credit hours annually while increasing the number of courses offered and maintaining student rigor, student satisfaction, and student completion. Since 2006, there has been a 140% increase from 9,318 to 22,404.

Proposed actions to turn the curve: Charter Oak will continue to add new programs using self-generated dollars and grants. Charter Oak has established an 80% first year retention goal and is monitoring retention activities to meet that goal. Additionally a marketing survey is being conducted to determine new program opportunities and the College has developed a data driven marketing plan based on data which includes an increase in marketing dollars new media marketing. These combined efforts will yield a 20% credit enrollment growth in 2011

Appendix E

Higher Education Reorganization

Sec. 211. (NEW) (Effective July 1, 2011) (a) There shall be a Board of Regents for Higher Education who shall serve as the governing body for the regional community-technical college system, the Connecticut State University System and Charter Oak State College. The board shall consist of nineteen members who shall be distinguished leaders of the community in Connecticut. The board shall reflect the state's geographic, racial and ethnic diversity. The voting members shall not be employed by or be a member of a board of trustees for any independent institution of higher education in this state or the Board of Trustees for The University of Connecticut nor shall they be employed by or be elected officials of any public agency as defined in subdivision (1) of section 1-200 of the general statutes, during their term of membership on the Board of Regents for Higher Education. The Governor shall appoint nine members to the board as follows: Three members for a term of two years; three members for a term of four years; and three members for a term of six years. Thereafter, the Governor shall appoint members of the board to succeed such appointees whose terms expire and each member so appointed shall hold office for a period of six years from the first day of July in the year of his or her appointment. Four members of the board shall be appointed as follows: One appointment by the president pro tempore of the Senate, who shall be an alumnus of the regional community technical college system, for a term of four years; one appointment by the minority leader of the Senate, who shall be an alumnus of the Connecticut State University System, for a term of three years; one appointment by the speaker of the House of Representatives, who shall be a specialist in the education of children in grades kindergarten to twelve, inclusive, for a term of four years; and one appointment by the minority leader of the House of Representatives, who shall be an alumnus of Charter Oak State College, for a term of three years. Thereafter, such members of the General Assembly shall appoint members of the board to succeed such appointees whose terms expire and each member so appointed shall hold office for a period of four years from the first day of July in the year of his or her appointment. The chairperson and vice-chairperson of the student advisory committee created under section 10a-3 of the general statutes, as amended by this act, shall serve as members of the board. The Commissioners of Education, Economic and Community Development and Public Health and the Labor Commissioner shall serve as exofficio, nonvoting members of the board.

(b) The initial members of the Board of Regents for Higher Education may begin service immediately upon appointment without regard to section 4-19 of the general statutes, but shall not serve past the sixth Wednesday of the next regular session of the General Assembly unless qualified in the manner provided in said section. Thereafter, all appointments shall be made with the advice and consent of the General Assembly, in the manner provided in section 4-19 of the general statutes. Any vacancy in the Board of Governors of Regents for Higher Education shall be filled in the manner provided in section 4-19 of the general statutes.

(c) The Governor shall appoint the chairperson of the board, who shall serve for a term of three years. The board shall elect from its members a vice-chairperson and such other officers as it deems necessary. Vacancies among any officers shall be filled within thirty days following the

occurrence of such vacancy in the same manner as the original selection. Said board shall establish bylaws to govern its procedures and shall appoint such committees and advisory boards as may be convenient or necessary in the transaction of its business.

Sec. 212. (NEW) (Effective July 1, 2011) (a) The Governor shall appoint an interim president of the Board of Regents for Higher Education who shall serve as president until a successor is appointed and confirmed. On or after January 1, 2012, the president of the Board of Regents for Higher Education shall be recommended by the board and appointed by the Governor in accordance with the provisions of sections 4-5 to 4-8, inclusive, of the general statutes with the powers and duties prescribed by said sections. The president shall (1) have the responsibility for implementing the policies and directives of the board and any additional responsibilities as the board may prescribe, (2) implement the goals identified and recommendations made pursuant to section 10a-11b of the general statutes, (3) build interdependent support among the Connecticut State University System, the regional community-technical college system and Charter Oak State College, (4) balance central authority with institutional differentiation, autonomy and creativity, and (5) facilitate cooperation and synergy among Connecticut State University System, the regional community technical college system and Charter Oak State College. Such president may designate an alternate to serve as a member of any commission, foundation or committee upon which the general statutes require such president to serve. Such designee may vote on behalf of such president. There shall be an executive staff responsible for the operation of the Board of Regents for Higher Education. The executive staff shall be under the direction of the president of the Board of Regents for Higher Education, who shall be the chief executive officer of the Board of Regents for Higher Education and shall administer, coordinate and supervise the activities of the board in accordance with the policies established by the board.

(b) The president may employ staff as is deemed necessary, including, but not limited to, temporary assistants and consultants. The board shall establish terms and conditions of employment of its staff, prescribe their duties and fix the compensation of its professional and technical personnel.

(c) Upon recommendation of the president, the Board of Regents shall appoint two vice presidents who shall serve as liaisons for the Board of Regents with respect to the Connecticut State University System and the regional community-technical colleges.

Sec. 213. Section 10a-3 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2011*):

(a) There shall be a [standing committee which shall serve as an advisory body] student advisory committee to the Board of [Governors of] Regents for Higher Education to assist the board in performing its statutory functions. The committee shall consist of the following student members: [(1)] One member from each of the [Boards of Trustees of the Connecticut State University System and The University of Connecticut, two members from the Board of Trustees of the Community-Technical Colleges, one of whom shall be an alumnus of a regional technical college or shall have expertise and experience in business, labor, industry or technical occupations, and one member from a board of trustees of an independent college; (2) one member from the administrative staff of each of said constituent units, except that for the

community-technical colleges there shall be two members, one of whom shall be an administrator at a former technical college, and one member from the administrative staff of an independent college; (3) one member from the faculty senate representing each of said constituent units, except that for the community-technical colleges, there shall be two faculty members, one of whom shall be a technical or technological education faculty member at a former technical college, and one member from the faculty of an independent college; (4) one student from each of said constituent units, except that for the community-technical colleges there shall be two students one of whom shall be enrolled in a technical or technological education program at a former technical college, and one student from an independent college; (5) one representative of the Board for State Academic Awards; and (6) one representative from the accredited private occupational schools of Connecticut] institutions within the jurisdiction of the Connecticut State University System, one member from each of the regional community-technical colleges and one member from Charter Oak State College. Such members shall serve a term of two years. If any member ceases to be a matriculating student in good standing, either as a full-time or part-time undergraduate or graduate student at the institution within the constituent unit system that elected such student, the membership of such student shall terminate. If the membership of any such student member terminates, the student government organization of the institution of higher education that elected such member shall, not later than thirty days after the membership terminates and in such a manner as the council determines, elect a student member who shall serve for the remainder of the term.

(b) The members of the committee and alternates for such members shall be elected by the [constituents] student government organization of the institution of higher education they are to represent. [, in accordance with procedures established by the respective boards of trustees, except the Connecticut Conference of Independent Colleges shall serve as the appointing authority for members to represent independent colleges and the Accredited Private Occupational Schools of Connecticut shall serve as the appointing authority for its member.] The alternate members of the committee may serve in the absence of the regularly elected member.

(c) The committee shall, on a rotating basis among its members and by a consensus vote of all its members, elect its own [chairman and secretary] chairperson and vice-chairperson, one of whom shall be a member from the Connecticut State University System and the other of whom shall be a member of the regional community-technical colleges, and such other officers as it deems necessary, to serve for a term of two years. The committee shall be deemed to be a public agency within the scope of the Freedom of Information Act, as defined in section 1-200, and shall keep such records as may be appropriate.

(d) The committee, established pursuant to subsection (a) of this section, shall meet at least [twice annually] biannually with the Board of [Governors of] Regents for Higher Education. Agendas shall be prepared for such meetings and shall be distributed by the board prior thereto and shall consist of matters recommended for inclusion by the chairman of the Board of [Governors of] Regents for Higher Education and the committee. Such meetings shall be chaired by the [chairman] chairperson of the Board of [Governors of] Regents for Higher Education and the committee members shall have the right to participate in all discussions and deliberations, but shall not have the right to vote at such meetings.

Sec. 214. (NEW) (Effective July 1, 2011) (a) There shall be a faculty advisory committee to the Board of Regents for Higher Education to assist the board in performing its statutory functions. The committee shall consist of the following members: Three faculty members from the Connecticut State University System, three faculty members from the regional community-technical college system and one faculty member from Charter Oak State College. Such members shall serve a term of two years. If the membership of any such faculty member terminates, the constituent unit that elected such member shall, not later than thirty days after the membership terminates and in such manner as the council determines, elect a faculty member who shall serve for the remainder of the term.

(b) The members of the committee and alternates for such members shall be elected pursuant to a system-wide election by the faculty senates representing each of the constituent units they are to represent. The alternate members of the committee may serve in the absence of the regularly elected member.

(c) The committee shall, on a rotating basis among its members, elect its own chairperson and vice-chairperson, one of whom shall be a member from the Connecticut State University System and the other of whom shall be a member of the regional community-technical colleges and such other officers as it deems necessary, to serve for a term of two years. The committee shall be deemed to be a public agency within the scope of the Freedom of Information Act, as defined in section 1-200 of the general statutes, and shall keep such records as may be appropriate.

(d) The committee, established pursuant to subsection (a) of this section, shall meet at least biannually with the Board of Regents for Higher Education. Agendas shall be prepared for such meetings and shall be distributed by the board prior thereto and shall consist of matters recommended for inclusion by the chairman of the Board of Regents for Higher Education and the committee. Such meetings shall be chaired by the chairperson of the Board of Regents for Higher Education and the committee members shall have the right to participate in all discussions and deliberations, but shall not have the right to vote at such meetings.

(e) Beginning on January 1, 2012, and annually thereafter, the faculty advisory committee shall report to the joint standing committees of the General Assembly having cognizance of matters relating to higher education and appropriations, in accordance with the provisions of section 11-4a of the general statutes, regarding the performance of its statutory functions and its biannual meetings with the Board of Regents for Higher Education.

Sec. 215. Section 10a-8 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2011*):

(a) The provisions of sections 4-77 and 4-78 shall not apply to the constituent units of the state system of higher education, and for the purposes of said sections only, the Board of [Governors of] Regents for Higher Education shall be deemed the budgeted agency for [such constituent units] the Connecticut State University System, the regional community-technical college system and Charter Oak State College. The Board of [Governors of] Regents for Higher Education shall develop a formula or program-based budgeting system to be used by each institution [and constituent board] in preparing operating budgets. The Board of [Governors of] Regents for

Higher Education shall prepare a single [public higher education] budget request itemized by the [individual institution and branch] Connecticut State University System, the regional community technical colleges and the Board for State Academic Awards using the formula or program-based budgeting system and shall submit such budget request displaying all operating funds to the Secretary of the Office of Policy and Management in accordance with sections 4-77 and 358 4-78, subject to procedures developed by the Board of [Governors of] Regents for Higher Education and approved by said secretary. The budget request [of the Boards of Trustees of The University of Connecticut, the Community-Technical Colleges and the Connecticut State University System] shall set forth, in the form prescribed by the Board of [Governors of] Regents for Higher Education, a proposed expenditure plan which shall include: (1) The total amount requested for such appropriation account; (2) the amount to be appropriated from the General Fund; and (3) the amount to be paid from the tuition revenues of [The University of Connecticut.] the regional community technical colleges and the Connecticut State University System. After review and comment by the Board of [Governors of] Regents for Higher Education, the proposed expenditure plans shall be incorporated into the single public higher education budget request including recommendations, if any, by said board. Any tuition increase proposed by the [Boards of Trustees of The University of Connecticut, the] Community-Technical Colleges and the Connecticut State University System for the fiscal year to which the budget request relates shall be included in the single public higher education budget request submitted by the Board of [Governors of] Regents for Higher Education for such fiscal year, provided if the General Assembly does not appropriate the amount requested by any such board of trustees, such board of trustees may increase tuition and fees by an amount greater than that included in the budget request in response to which the appropriation was made. The General Assembly shall make appropriations directly to the constituent [unit boards. Said constituent unit boards shall allocate appropriations to the individual institutions and branches with due consideration to the program or formula-based budget used to develop the appropriation as approved by the General Assembly or as otherwise specified in the approved appropriation] units. Allotment reductions made pursuant to the provisions of subsections (b) and (c) of section 4-85 shall be applied by the Board of [Governors of] Regents for Higher Education among the appropriations to the constituent [unit boards] units without regard to the limitations on reductions provided in said section, except that said limitations shall apply to the total of the amounts appropriated. [to the higher education budgeted agencies.] The Board of [Governors of] Regents for Higher Education shall apply such reductions after consultation with the Secretary of the Office of Policy and Management. [and the constituent unit boards.] Any reductions of more than five per cent of the appropriations of any constituent units shall be submitted to the appropriations committee which shall, within [ten] thirty days, approve or reject such reduction.

(b) The boards of trustees of each of the constituent units may transfer to or from any specific appropriation of such constituent unit a sum or sums totaling up to fifty thousand dollars or ten per cent of any such specific appropriation, whichever is less, in any fiscal year without the consent of the Finance Advisory Committee. Any such transfer shall be reported to the Finance Advisory Committee within thirty days of such transfer and such report shall be a record of said committee.

Sec. 227. Section 10a-143 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2011*):

(a) The Board of [Governors of] Regents for Higher Education in concert with the state's institutions of higher education, shall study, develop and coordinate the implementation of new methods of awarding undergraduate degrees and college credits including but not limited to: (1) External degrees awarded on the basis of acceptable performance in an educational field whether or not the necessary education was obtained by the candidate at an institution of higher education, and (2) examinations and methods other than classroom instruction for determining qualifications. On or before July 1, 1993, each constituent unit of the state system of higher education shall establish procedures to award college credits pursuant to this subsection and subsection (e) of this section.

(b) The Board of [Governors of] Regents for Higher Education shall promulgate regulations to authorize accredited institutions of higher education to award degrees by such new procedures.

(c) There shall continue to be a Board for State Academic Awards which shall be an independent constituent unit of the state system of higher education with authority to grant undergraduate and graduate credits and degrees on the basis of (1) examinations, (2) courses offered by Charter Oak State College, and (3) other forms of evaluation and validation of learning including transfer of credit. Said board is authorized to use the term "Charter Oak State College" on diplomas and other documents and utterances to affirm the status of the board as a degree-granting institution of higher education. It shall be the responsibility of the board to serve the interest of all Connecticut residents by providing open access to academic credentials which are based on a consensus of professional judgment. The purpose of such credentials shall be to identify and give recognition to higher learning acquired by individuals through independent study, work experience and programs of noncollegiate educational activity.

(d) [The] Beginning on January 1, 2012, the Board of Regents for Higher Education shall serve as the Board for State Academic Awards. The members of the Board for State Academic Awards in office on June 30, 2011, shall remain in office to provide assistance in transitioning duties and responsibilities to the Board of Regents for Higher Education during the period of July 1, 2011, to December 31, 2011. For the transition period of July 1, 2011, to December 31, 2011, any action of the Board for State Academic Awards shall not be final until ratified by the Board of Regents for Higher Education. Until December 31, 2011, the Board for State Academic awards shall consist of nine persons, eight to be appointed by the Governor, who shall reflect the state's geographic, racial and ethnic diversity; one of whom shall be an alumnus of Charter Oak State College; and one to be elected by the students enrolled in Charter Oak State College. On or before July 1, 1983, the Governor shall appoint two members of the board for a term of two years from said date, two members for a term of four years from said date and one member for a term of six years from said date. On or before July 1, 1984, the Governor shall appoint one member for a term of three years from said date. On or before July 1, 1996, the Governor shall appoint two members, one for a term of five years from said date and one for a term of one year from said date. Thereafter the Governor shall appoint members of said board to succeed those appointees whose terms expire, such members to serve for terms of six years each from July first in the year of their appointment. On or before November 1, 1984, and biennially thereafter, the

students enrolled with the board shall, in such manner as the board shall determine, elect one member of the board, who shall serve for a term of two years from November first in the year of his election. No member of said board, appointed by the Governor, shall be an employee of an institution of postsecondary or higher education. No member who has served consecutively for two full terms or portions thereof may again be appointed until two years have passed. The Governor shall, pursuant to section 4-9a, as amended by this act, appoint the chairperson of the board. The board shall, annually, elect from its members such other officers as it deems necessary. The Governor shall fill any vacancies in the membership of said board by appointment for the balance of the unexpired term. The members of said board shall receive no compensation for their services as such but shall be reimbursed for their necessary expenses in the course of their duties. The board shall meet at least once during each calendar quarter and at such other times as the chairperson deems necessary or upon the request of a majority of members in office. Any member who fails to attend three consecutive meetings or who fails to attend fifty per cent of all meetings held during any calendar year shall be deemed to have resigned from office.

(e) (1) The Board for State Academic Awards shall develop and implement programs to improve opportunities in higher education through alternative modes of service, including, but not limited to, guidance and information services, registration and validation services, examination and degree-granting services, technological delivery systems, and projects of research and development. With respect to its own operation the board may appoint and remove an executive director, who shall be the chief academic and administrative officer, and a professional academic staff. The board may appoint and remove executive staff responsible for the operation of the Board for State Academic Awards. The board may determine the size of the academic staff and the duties, terms, and conditions of employment of said director and staff. [subject to personnel guidelines established by the Board of Governors of Higher Education in consultation with the Board for State Academic Awards.] The board shall establish through appointments on an adjunct basis a faculty of consulting examiners to make recommendations as to requirements and standards of the board's programs and to make recommendations for the award of academic undergraduate and graduate credits and degrees. Persons serving as members of the faculty of consulting examiners shall have appropriate professional qualifications as determined by the board and may hold professional appointments in active status at accredited institutions of postsecondary or higher learning. Within the limit of appropriations, the board shall fix the compensation of persons serving with adjunct appointment as members of the faculty of consulting examiners. The board shall confer such undergraduate and graduate certificates and degrees as are appropriate to programs of postsecondary and higher learning and in accordance with the recommendations of the board's faculty of consulting examiners on the basis of (A) examinations, (B) courses offered by Charter Oak State College, and (C) other forms of validation and evaluation of learning, including transfer of credit. The board shall assist public institutions of higher education in establishing and implementing procedures to award college credits pursuant to subsection (a) of this section.

(2) The Board for State Academic Awards shall develop a mission statement which shall include, but not be limited to, the following elements: (A) The educational needs of, and constituencies served by the board; (B) the degrees offered by the board; and (C) the role and scope of the programs offered by the board. [The board shall submit the mission statement to the Board of

Governors of Higher Education for review and approval in accordance with the provisions of section 10a-6.]

[(f) The Advisory Council for Higher Education established in accordance with subdivision (13) of subsection (a) of section 10a-6 shall be the advisory council for the board.]

[(g)] (f) The board shall fix fees for examinations and for such other purposes as the board deems necessary and may make refunds and other disposition of same as provided by law or regulation. The board may make contracts, leases or other agreements in connection with its responsibilities.

[(h)] (g) The Board for State Academic Awards shall establish and administer a fund to be known as the Board for State Academic Awards Operating Fund, which shall be a separate account within the General Fund. The operating fund shall be used for the expenses of the board, including personnel expenses and equipment, and for the support of board activities pursuant to this section, including validation and evaluation of learning, guidance and public information services, projects of research and development for the improvement of learning materials and the technology of delivery systems, and for the purchase of such services, materials and equipment as are required for use in connection with said activities. Appropriations from general revenues of the state, all fees and proceeds of the board's activities, including grants and donations, not required by statute or regulation to be deposited to the credit of the General Fund, shall be credited to and become a part of the resources of said operating fund. Any balance of receipts above expenditures shall remain in said operating fund.

[(i)] (h) The Board for State Academic Awards shall promote fundraising to assist its programs pursuant to this section and shall report to the [Commissioner of Higher Education and the] joint standing committee of the General Assembly having cognizance of matters relating to higher education by January 1, 1994, and biennially thereafter, on such fund-raising.

Sec. 228. Subsection (a) of section 10a-6a of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2011*):

(a) There is established a Higher Education Coordinating Council composed of: The [chairmen of the boards of trustees and the] chief executive officers of each constituent unit of the state system of higher education, the Secretary of the Office of Policy and Management, [and] the [Commissioners of Higher Education and] Commissioner of Education and the president of the Board of Regents for Higher Education. The Secretary of the Office of Policy and Management shall call an annual meeting of the council.

Sec. 229. Section 10a-6b of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2011*):

(a) The accountability measures developed by the Higher Education Coordinating Council pursuant to subsection (b) of section 10a-6a shall be used by the [Department of] Board of Regents for Higher Education and each constituent unit of the state system of higher education in assessing [the constituent unit's] each public institution of higher education's progress toward

meeting the following goals to: (1) Enhance student learning and promote academic excellence; (2) join with elementary and secondary schools to improve teaching and learning at all levels; (3) ensure access to and affordability of higher education; (4) promote the economic development of the state to help business and industry sustain strong economic growth; (5) respond to the needs and problems of society; and (6) ensure the efficient use of resources. The council shall develop an implementation plan for use of the accountability measures.

(b) In developing the measures pursuant to subsection (a) of this section, the council shall consider graduation rates, student retention rates, completions, tuition and fees, allocation of resources across expenditure functions, as defined by the National Association of College and University Business Officers, revenues and expenditures broken out by programs, student financial need and available aid, transfer patterns of students transferring in and out of the constituent units, trends in enrollment and the percentage of incoming students who are state residents, strategic plans pursuant to section 10a-11, as amended by this act, data on graduates by academic program, faculty productivity, and any other factor that it deems relevant.

[In considering faculty productivity measures, the council shall consult with the committee established under section 10a-3.] All measures shall be made available for inspection and separated out by constituent unit, institution of higher education, campus and program.

(c) The council shall work with the Labor Department to (1) produce periodic reports on the employment and earnings of students who leave the constituent units upon graduation or otherwise, and (2) develop an annual affordability index for public higher education that is based on state-wide median family income.

[(c)] (d) The council shall submit the accountability measures to the Board of [Governors of] Regents for Higher Education for the board's review and approval. Once the measures are approved, each constituent unit shall provide the data to the [department] board that is necessary for purposes of applying the measures.

[(d)] The Commissioner of Higher Education, on behalf of the council, shall report, in accordance with section 11-4a, to the joint standing committee of the General Assembly having cognizance of matters relating to education on the accountability measures and the implementation plan developed pursuant to this section by February 1, 2000. The report shall include recommendations: (1) For any statutory changes needed for purposes of assessing the constituent units and public institutions of higher education based on the accountability measures; (2) to clarify and streamline planning and accountability reporting requirements of the constituent units and public institutions of higher education; (3) concerning goals, actions to achieve such goals and analysis of performance; and (4) for options to revise budgeting policies and programs to meet accountability goals and measures as outlined in subsections (a) and (b) of this section.

(e) The Commissioner of Higher Education shall develop, in concurrence with the Higher Education Coordinating Council, an accountability report prototype. Upon review and approval by the Board of Governors of Higher Education, the commissioner shall submit the report prototype to the joint standing committee of the General Assembly having cognizance of matters relating to education by October 1, 2000. The report prototype shall include

accountability measures developed and approved under this section for which data collection mechanisms exist as determined by the commissioner.

(f) Each constituent unit of the state system of higher education shall submit to the Commissioner of Higher Education its first accountability report by January 1, 2001. The commissioner shall compile and consolidate the reports. The commissioner shall submit, in accordance with section 11-4a, an accountability report that covers the state system of higher education and each constituent unit and public institution of higher education to the joint standing committee of the General Assembly having cognizance of matters relating to education by February 1, 2001. The report shall include baseline data for the accountability measures developed under this section for which data collection mechanisms exist and comparable peer data, as determined by the commissioner after consultation with the Higher Education Coordinating Council and reviewed and approved by the Board of Governors of Higher Education. The report shall also include a timeline for the collection of data and reporting of the remaining accountability measures and for the identification of performance improvement targets.]

[(g)] (e) Each [constituent unit] public institution of higher education of the state system of higher education shall submit an accountability report to the [Commissioner of] president of the Board of Regents for Higher Education annually, by [January] November first. The [commissioner] president shall compile the reports and shall submit, in accordance with section 11-4a, a consolidated accountability report for the state system of higher education to the joint standing committee of the General Assembly having cognizance of matters relating to higher education annually, by [February] December first. The report shall contain accountability measures for each constituent unit and public institution of higher education pursuant to subsections (a) and (b) of this section. The report shall include updated baseline and peer comparison data, performance improvement targets for each measure, and other information as determined by the commissioner.

Sec. 230. (NEW) (Effective July 1, 2011) The Board of Regents for Higher Education shall develop and implement, not later than December 1, 2011, a plan for maintaining the distinct missions of the Connecticut State University System, the regional community technical college system and the Charter Oak State College and report on such plan to the joint standing committees of the General Assembly having cognizance of matters relating to higher education and appropriations in accordance with the provisions of section 11-4a of the general statutes not later than January 1, 2012, and annually thereafter.

Sec. 231. (NEW) (Effective July 1, 2011) (a) There is established a Higher Education Consolidation Committee which shall be convened by the chairpersons of the joint standing committee of the General Assembly having cognizance of matters relating to higher education or such chairpersons' designee, who shall be members of such joint standing committee. The membership of the Higher Education Consolidation Committee shall consist of the higher education subcommittee on appropriations and the chairpersons, vice chairpersons and ranking members of the joint standing committees of the General Assembly having cognizance of matters relating to higher education and appropriations. The Higher Education Consolidation Committee shall establish a meeting and public hearing schedule for purposes of

receiving updates from the Board of Regents for Higher Education on the progress of the consolidation of the state system of higher education pursuant to sections 211 to 277, inclusive, of this act. The Higher Education Consolidation Committee shall convene its first meeting on or before September 15, 2011, and meet not less than once every two months until September 15, 2012.

(b) The Office of Financial and Academic Affairs for Higher Education shall enter into a memorandum of understanding with the Office of Legislative Management providing that up to one hundred thousand dollars appropriated to said office shall be used by the Higher Education Consolidation Committee to hire a consultant to assist said committee in fulfilling its duties.

Appendix F: Mission and Role and Scope

Mission

Board for State Academic Awards & Charter Oak State College

The Board for State Academic Awards provides diverse and alternative opportunities for adults to earn degrees. The Board accomplishes its mission through Charter Oak State College and the Connecticut Distance Learning Consortium. Relying on the judgment of professional educators, the Board validates learning acquired through examinations, independent study, work experience, non-collegiate-sponsored instruction, technology-mediated learning, and traditional study, including Charter Oak courses. The Board seeks to:

- ◆ offer coherent, college-level curricula and degree programs which incorporate transfer credit, examinations, and other methods of credit and competency validation;
- ◆ develop valid and reliable tests and other methods to evaluate and assess experiential and extra-collegiate learning as alternatives to classroom study;
- ◆ provide access to and offer educationally sound learning experiences, including courses, through a variety of means such as video, computer-mediated and other electronically mediated technologies;
- ◆ inform and guide the public about opportunities for earning credentials by alternative means;
- ◆ provide testing and credit registry services, and information regarding such services, to the public;
- ◆ extend access to higher education to all adults who demonstrate the ability to perform on the collegiate level and to foster the enrollment and graduation of diverse populations; and
- ◆ encourage innovation in meeting the needs of adult learners and to serve as an advocate for adult learners in higher education.

In all of its activities, the Board for State Academic Awards rigorously upholds standards of high quality and seeks to inspire adults with the self-enrichment potential of nontraditional higher education.

Clarified: November 20, 2008, by vote of Board of Trustees

CHARTER OAK STATE COLLEGE

Role and Scope

The Board for State Academic Awards, established in 1973, grants degrees through Charter Oak State College. As a nontraditional college, Charter Oak is designed to provide adults with an alternate means to earn degrees that are of equivalent quality and rigor to those earned at other accredited institutions of higher learning. The College, therefore, collaborates with and complements the missions of other Connecticut colleges and universities.

Charter Oak State College awards four undergraduate degrees: the Associate in Arts, the Associate in Science, the Bachelor of Arts and the Bachelor of Science and is authorized by the state to offer master's level graduate programs. These degree programs enable students to meet career and personal goals. The content of the bachelor's degree programs is structured to provide the foundations needed for advanced study since a large number of Charter Oak State College alumni continue their education in graduate school. In addition, the college offers a number of credit certificate and non-credit programs. Enrollment is open to any adult who demonstrates college-level achievement. The College endeavors to recognize the diversity and achievements of its entire community.

Recognizing that learning takes place in many forms, Charter Oak State College provides a flexible approach to higher education. Academic credit may be awarded for course work completed successfully at other accredited institutions, academic instruction sponsored by non-collegiate organizations, military training evaluations, and online courses offered by Charter Oak, testing, portfolio assessment, contract learning, and for learning acquired through many licensure and certification programs.

Charter Oak State College has no campus and offers no classroom instruction, but assists its students through a variety of academic support services including program planning, testing, and evaluation. The College also delivers online courses, serves as a testing center and provides credit registry services, as well as, information regarding other educational opportunities. The College identifies qualified faculty from regionally accredited colleges and universities and other experts to assess academic achievement in areas not measured by standardized tests and to serve as mentors for programs such as online courses, contract learning, and practica. In recruiting these faculty and experts, the College actively seeks to identify educators who value the impact of broad and diverse experience acquired by students.

Charter Oak State College also assists other Connecticut colleges and universities seeking to provide their students with alternate ways to validate college-level learning; develops partnerships with the corporate and non-profit community to meet the state's workforce needs; and through its Connecticut Credit Assessment Program and special assessments, evaluates and formally recognizes non-collegiate learning regardless of how or where such learning is acquired.

Charter Oak State College conducts institutional research and assessment to monitor and evaluate the progress and success of its students, graduates, and programs. The College uses the results of these assessments to evaluate its effectiveness and to make changes that respond to student, institutional, and societal needs. As part of its assessment process and to ensure that its students succeed academically, the college instituted a six credit residency requirement in the form of a cornerstone course for new students and a capstone course for seniors.

Revised March 1998

Revised July 2002

Revised September 2010

Appendix G: 2009/2010 Alumni Survey

Office of Institutional Effectiveness
David Hemenway, Director
Charlie martin, Graduate Intern

The Alumni Survey was reactivated in FY2009-2010 after the survey had not been completed since FY2005-2006. The survey was updated to include questions that are required by Transparency by Design and is now e-mailed to alumni one year after their graduation using the personal email address that they provided on the graduation survey.

While the response rate to the 2009-2010 Alumni Survey was low (9.4%), there are several interesting statistics in response data.

- Alumni that responded to the survey were very happy with Charter Oak State College. 99% of respondents would recommend Charter Oak State College and 98% indicated that they were "Satisfied" or "Very satisfied" with their COSC experience.
- A large portion of respondents report that their degree is helping them at work; 60% of respondents have received a salary increase since graduating and 42% have received a job promotion.
- When asked what they liked best about Charter Oak State College, a large group of respondents said convenience and/or flexibility.
- A group of respondents suggested that the college offer Master's degrees, while several suggested that COSC should do more to monitor instructor performance.
- 41% of respondents indicated that they have continued their education since graduating.

The results of the Alumni survey were reported to Transparency by Design. The survey will continue to be distributed one year after each graduation and the Office of Institutional Effectiveness is considering options to improve the response rate. Possibilities include revising all invitation emails and mailing a hard copy letter to alumni requesting their participation.

Appendix G: Graduation Survey Information

	Academic Year 05-06	Academic Year 06-07	Academic Year 07-08	Academic Year 08-09	Academic Year 09-10
Total Number of Graduates	698	592	481	483	467
Total number of responses	649	561	456	460	434
Response rate	93%	95%	95%	95%	93%

How important were the following factors in your choosing to matriculate (enroll) at Charter Oak State College?

	Academic Year 05-06	Academic Year 06-07	Academic Year 07-08	Academic Year 08-09	Academic Year 09-10
	#	#	#	#	#
	%	%	%	%	%
Cost					
Very important	331	296	264	263	278
Somewhat important	263	216	146	158	126
Not important	49	47	43	39	28
Total	643	559	453	460	432
	51%	53%	58%	57%	64%
	41%	38%	32%	34%	29%
	8%	8%	9%	8%	6%
	100%	100%	100%	100%	100%
Open Admissions					
Very important	410	337	265	269	249
Somewhat important	191	180	154	143	142
Not important	36	37	34	46	32
Total	637	554	453	458	423
	64%	61%	58%	59%	59%
	30%	32%	34%	31%	34%
	6%	7%	8%	10%	8%
	100%	100%	100%	100%	100%
Type of Concentrations Available					
Very important	476	428	355	362	338
Somewhat important	148	119	87	97	80
Not important	17	10	10	11	11
Total	641	557	452	480	429
	74%	77%	78%	77%	79%
	23%	21%	19%	21%	19%
	3%	2%	2%	2%	3%
	100%	100%	100%	100%	100%
Acceptance of Credits Regardless of Date Earned					
Very important	575	490	398	394	373
Somewhat important	42	53	40	45	42
Not important	23	14	16	20	16
Total	640	557	454	459	431
	90%	86%	86%	86%	87%
	7%	10%	9%	10%	10%
	4%	3%	4%	4%	4%
	100%	100%	100%	100%	100%
Acceptance of Non-college Credits					
Very important	236	214	162	178	166
Somewhat important	163	132	113	122	97
Not important	231	208	165	150	164
Total	630	554	440	450	427
	37%	39%	37%	40%	39%
	26%	24%	26%	27%	23%
	37%	38%	38%	33%	38%
	100%	100%	100%	100%	100%

	Academic Year 05-06	Academic Year 06-07	Academic Year 07-08	Academic Year 08-09	Academic Year 09-10
	#	#	#	#	#
	%	%	%	%	%
Flexibility of Program					
Very Important	583	479	402	417	388
Somewhat Important	53	72	49	39	35
Not Important	4	3	2	2	5
Total	640	554	453	458	428
	91%	86%	89%	91%	81%
	8%	13%	11%	9%	8%
	1%	1%	0%	0%	1%
	100%	100%	100%	100%	100%
Opportunity to Complete the Degree Quickly					
Very Important	543	475	373	378	349
Somewhat Important	85	76	64	62	72
Not Important	11	6	13	18	9
Total	639	557	450	458	430
	85%	85%	83%	83%	81%
	13%	14%	14%	14%	17%
	2%	1%	3%	4%	2%
	100%	100%	100%	100%	100%
Availability of Academic Counseling/Advising					
Very Important	384	351	283	283	249
Somewhat Important	217	181	140	142	157
Not Important	44	25	17	30	23
Total	645	557	450	455	429
	60%	63%	65%	62%	58%
	34%	32%	31%	31%	37%
	7%	4%	4%	7%	5%
	100%	100%	100%	100%	100%
Lack of Academic Residency Requirement					
Very Important	391	310	242	243	239
Somewhat Important	111	134	101	99	81
Not Important	135	109	106	114	106
Total	637	553	449	456	426
	61%	56%	54%	53%	56%
	17%	24%	22%	22%	19%
	21%	20%	24%	25%	25%
	100%	100%	100%	100%	100%
Availability of Financial Aid					
Very Important	219	181	140	124	126
Somewhat Important	118	106	75	87	75
Not Important	303	270	228	243	229
Total	640	557	443	454	430
	34%	32%	32%	27%	29%
	18%	19%	17%	19%	17%
	47%	48%	51%	54%	53%
	100%	100%	100%	100%	100%
Availability of Distance Learning Courses at Charter Oak					
Very Important	426	404	326	338	333
Somewhat Important	119	84	72	83	55
Not Important	94	71	51	36	44
Total	639	559	449	457	432
	67%	72%	73%	74%	77%
	19%	15%	16%	18%	13%
	15%	13%	11%	8%	10%
	100%	100%	100%	100%	100%

Please mark your level of satisfaction regarding the following policies and services of Charter Oak State College:

	Academic Year 05-06			Academic Year 06-07			Academic Year 07-08			Academic Year 08-09			Academic Year 09-10		
	#	%	adj. %	#	%	adj. %	#	%	adj. %	#	%	adj. %	#	%	adj. %
Overall Cost of Earning Your Degree															
Very Satisfied	219	34%	34%	231	41%	41%	186	43%	43%	211	46%	46%	209	48%	48%
Satisfied	280	43%	44%	237	42%	43%	188	43%	44%	202	44%	44%	185	43%	43%
Somewhat Satisfied	107	16%	17%	73	13%	13%	51	11%	11%	38	8%	8%	33	8%	8%
Not Satisfied	34	5%	5%	16	3%	3%	7	2%	2%	4	1%	1%	5	1%	1%
Does Not Apply	9	1%	—	4	1%	—	4	1%	—	0	0%	—	0	0%	—
Total	649	100%	100%	561	100%	100%	456	100%	100%	455	100%	100%	432	100%	100%
Level of Financial Aid Award															
Very Satisfied	97	15%	36%	66	12%	28%	69	15%	43%	66	15%	45%	76	19%	46%
Satisfied	94	14%	35%	89	16%	42%	56	12%	35%	52	11%	35%	57	13%	35%
Somewhat Satisfied	44	7%	16%	43	8%	18%	21	5%	13%	20	4%	14%	12	3%	7%
Not Satisfied	34	5%	13%	28	5%	11%	13	3%	8%	10	2%	7%	19	4%	12%
Does Not Apply	380	59%	—	327	58%	—	297	65%	—	307	67%	—	285	62%	—
Total	649	100%	100%	561	100%	100%	456	100%	100%	455	100%	100%	429	100%	100%
Timeliness of Response by Financial Aid Staff															
Very Satisfied	78	12%	30%	79	14%	33%	83	18%	51%	78	17%	50%	87	20%	53%
Satisfied	88	14%	33%	82	16%	39%	45	10%	28%	57	12%	37%	62	14%	38%
Somewhat Satisfied	58	9%	22%	42	7%	18%	25	5%	15%	11	2%	7%	11	3%	7%
Not Satisfied	40	6%	15%	25	4%	11%	10	2%	6%	9	2%	6%	5	1%	3%
Does Not Apply	385	59%	—	323	58%	—	283	64%	—	302	66%	—	267	62%	—
Total	649	100%	100%	561	100%	100%	456	100%	100%	457	100%	100%	432	100%	100%
Quality of Admissions Advising Prior to Matriculating															
Very Satisfied	143	22%	42%	208	37%	52%	248	54%	55%	232	51%	51%	228	53%	53%
Satisfied	114	18%	34%	140	25%	35%	141	31%	31%	168	37%	37%	150	35%	35%
Somewhat Satisfied	48	7%	14%	43	8%	11%	54	12%	12%	44	10%	10%	39	9%	9%
Not Satisfied	35	5%	10%	8	1%	2%	9	2%	2%	8	2%	2%	13	3%	3%
Does Not Apply	309	48%	—	162	29%	—	4	1%	—	3	1%	—	1	0%	—
Total	649	100%	100%	561	100%	100%	456	100%	100%	455	100%	100%	431	100%	100%
Timeliness of Response of Admissions Staff															
Very Satisfied	148	23%	44%	210	37%	53%	276	61%	61%	251	55%	55%	248	58%	58%
Satisfied	115	18%	34%	163	29%	41%	145	32%	32%	164	36%	36%	151	35%	35%
Somewhat Satisfied	41	6%	12%	21	4%	5%	27	6%	6%	38	8%	8%	28	6%	6%
Not Satisfied	34	5%	10%	6	1%	2%	6	1%	1%	4	1%	1%	5	1%	1%
Does Not Apply	311	48%	—	161	29%	—	2	0%	—	0	0%	—	0	0%	—
Total	649	100%	100%	561	100%	100%	458	100%	100%	457	100%	100%	430	100%	100%
Quality of Academic Advising (once matriculated at Charter Oak)															
Very Satisfied	303	47%	47%	252	45%	63%	318	70%	70%	310	68%	68%	294	68%	68%
Satisfied	187	29%	29%	113	20%	28%	98	21%	22%	113	25%	25%	109	25%	25%
Somewhat Satisfied	80	12%	12%	24	4%	6%	31	7%	7%	25	5%	5%	21	5%	5%
Not Satisfied	73	11%	11%	10	2%	3%	6	1%	1%	7	2%	2%	8	2%	2%
Does Not Apply	6	1%	—	162	29%	—	3	1%	—	1	0%	—	0	0%	—
Total	649	100%	100%	561	100%	100%	456	100%	100%	456	100%	100%	432	100%	100%

Timeliness of Response by Your Academic Advisor (once matriculated)	Academic Year 05-06			Academic Year 06-07			Academic Year 07-08			Academic Year 08-09			Academic Year 09-10		
	#	%	adj. %	#	%	adj. %	#	%	adj. %	#	%	adj. %	#	%	adj. %
Very Satisfied	190	29%	56%	277	49%	69%	314	69%	69%	332	73%	73%	315	73%	73%
Satisfied	78	12%	23%	97	17%	24%	97	21%	21%	102	22%	22%	91	21%	21%
Somewhat Satisfied	27	4%	8%	19	3%	5%	34	7%	8%	18	4%	4%	23	5%	5%
Not Satisfied	46	7%	13%	7	1%	2%	8	2%	2%	4	1%	1%	3	1%	1%
Does Not Apply	308	47%	-	161	29%	-	3	1%	-	1	0%	-	0	0%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	457	100%	100%	432	100%	100%
Amount and/or Level of Credit Awarded for Prior College or Other Experiences															
Very Satisfied	414	64%	64%	274	49%	69%	306	87%	70%	300	66%	67%	306	71%	71%
Satisfied	136	21%	21%	89	16%	22%	105	23%	24%	125	27%	28%	105	24%	24%
Somewhat Satisfied	39	6%	6%	24	4%	6%	26	6%	6%	19	4%	4%	12	3%	3%
Not Satisfied	54	8%	8%	10	2%	3%	3	1%	1%	4	1%	1%	7	2%	2%
Does Not Apply	6	1%	-	164	29%	-	16	4%	-	9	2%	-	0	0%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	457	100%	100%	430	100%	100%
General Education Requirements (Writing, Quantitative Analysis, etc.)															
Very Satisfied	299	46%	47%	187	33%	48%	196	43%	46%	184	40%	42%	200	47%	47%
Satisfied	242	37%	38%	187	33%	48%	209	46%	49%	237	52%	54%	202	47%	48%
Somewhat Satisfied	56	9%	9%	17	3%	4%	19	4%	4%	19	4%	4%	18	4%	4%
Not Satisfied	38	6%	6%	1	0%	0%	3	1%	1%	0	0%	0%	4	1%	1%
Does Not Apply	14	2%	-	169	30%	-	29	6%	-	17	4%	-	5	1%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	457	100%	100%	429	100%	100%
Requirements to Complete Your Concentration															
Very Satisfied	148	23%	44%	213	38%	54%	229	50%	51%	233	51%	52%	233	54%	55%
Satisfied	122	19%	36%	163	29%	41%	200	44%	45%	198	44%	44%	174	41%	41%
Somewhat Satisfied	39	6%	12%	15	3%	4%	15	3%	3%	13	3%	3%	19	4%	4%
Not Satisfied	30	5%	9%	5	1%	1%	4	1%	1%	3	1%	1%	0	0%	0%
Does Not Apply	310	48%	-	165	29%	-	8	2%	-	7	2%	-	2	0%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	454	100%	100%	428	100%	100%
Variety of Ways to Earn Credit															
Very Satisfied	362	56%	57%	259	46%	66%	301	66%	68%	272	60%	61%	264	62%	63%
Satisfied	183	28%	29%	123	22%	31%	116	25%	26%	159	35%	36%	142	33%	34%
Somewhat Satisfied	40	6%	6%	12	2%	3%	22	5%	5%	13	3%	3%	13	3%	3%
Not Satisfied	48	7%	8%	1	0%	0%	4	1%	1%	0	0%	0%	0	0%	0%
Does Not Apply	16	2%	-	166	30%	-	13	3%	-	8	2%	-	5	1%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	452	100%	100%	424	100%	100%
Test Administration Services Provided by COSC for Standardized Tests (e.g. DANTES, CLEP)															
Very Satisfied	82	13%	50%	93	17%	63%	108	24%	51%	108	24%	52%	107	25%	58%
Satisfied	49	8%	30%	50	9%	34%	84	18%	40%	88	19%	43%	69	16%	37%
Somewhat Satisfied	15	2%	9%	3	1%	2%	15	3%	7%	7	2%	3%	7	2%	4%
Not Satisfied	17	3%	10%	2	0%	1%	5	1%	2%	3	1%	1%	2	0%	1%
Does Not Apply	486	75%	-	413	74%	-	244	54%	-	250	55%	-	239	56%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	456	100%	100%	424	100%	100%

	Academic Year 05-06			Academic Year 06-07			Academic Year 07-08			Academic Year 08-09			Academic Year 09-10		
	#	%	adj. %	#	%	adj. %	#	%	adj. %	#	%	adj. %	#	%	adj. %
The Portfolio Assessment Process															
Very Satisfied	123	19%	35%	69	12%	39%	78	17%	35%	80	18%	38%	86	20%	42%
Satisfied	170	26%	48%	88	15%	49%	121	27%	54%	105	23%	50%	96	23%	47%
Somewhat Satisfied	40	6%	11%	13	2%	7%	21	5%	9%	17	4%	8%	22	5%	11%
Not Satisfied	20	3%	6%	8	1%	5%	6	1%	3%	7	2%	3%	2	0%	1%
Does Not Apply	286	46%	-	385	69%	-	230	50%	-	239	53%	-	220	52%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	448	100%	100%	426	100%	100%
Accommodations for Students with Disabilities															
Very Satisfied	32	5%	44%	17	3%	40%	35	8%	48%	36	8%	51%	29	7%	48%
Satisfied	26	4%	36%	21	4%	50%	29	6%	40%	30	7%	42%	24	6%	41%
Somewhat Satisfied	7	1%	10%	3	1%	7%	8	2%	11%	3	1%	4%	4	1%	7%
Not Satisfied	7	1%	10%	1	0%	2%	1	0%	1%	2	0%	3%	2	0%	3%
Does Not Apply	577	89%	-	519	93%	-	383	84%	-	379	84%	-	364	86%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	450	100%	100%	423	100%	100%
Service from Suggested Book Provider															
Very Satisfied	115	18%	31%	71	13%	32%	99	22%	38%	86	19%	33%	84	20%	37%
Satisfied	167	26%	44%	107	19%	48%	112	25%	43%	123	28%	47%	94	22%	41%
Somewhat Satisfied	55	8%	15%	35	6%	16%	36	8%	14%	40	9%	15%	33	8%	15%
Not Satisfied	39	6%	10%	9	2%	4%	11	2%	4%	12	3%	5%	16	4%	7%
Does Not Apply	273	42%	-	339	60%	-	188	43%	-	186	42%	-	186	46%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	447	100%	100%	423	100%	100%
Availability of Library Resources for Research Assignments															
Very Satisfied	122	19%	32%	69	12%	30%	98	21%	34%	99	22%	38%	77	18%	31%
Satisfied	184	28%	48%	120	21%	53%	152	33%	53%	133	30%	49%	121	29%	49%
Somewhat Satisfied	54	8%	14%	30	5%	13%	28	6%	10%	30	7%	11%	33	8%	13%
Not Satisfied	23	4%	6%	8	1%	4%	10	2%	3%	11	2%	4%	16	4%	6%
Does Not Apply	266	41%	-	334	60%	-	168	37%	-	172	39%	-	174	41%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	445	100%	100%	421	100%	100%
Payment Plan Option															
Very Satisfied	147	23%	40%	79	14%	39%	110	24%	43%	108	24%	48%	107	25%	44%
Satisfied	160	25%	43%	103	18%	51%	121	27%	48%	103	23%	44%	108	25%	44%
Somewhat Satisfied	41	6%	11%	14	2%	7%	18	4%	7%	20	4%	8%	21	5%	9%
Not Satisfied	22	3%	6%	5	1%	2%	4	1%	2%	5	1%	2%	7	2%	3%
Does Not Apply	279	43%	-	360	64%	-	203	45%	-	212	47%	-	180	43%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	448	100%	100%	421	100%	100%
Interaction with Charter Oak Business Office															
Very Satisfied	179	28%	36%	129	23%	44%	160	35%	46%	163	37%	48%	174	41%	50%
Satisfied	228	35%	46%	146	26%	50%	165	36%	47%	153	35%	45%	155	36%	45%
Somewhat Satisfied	60	9%	12%	17	3%	6%	21	5%	6%	17	4%	5%	15	4%	4%
Not Satisfied	27	4%	5%	2	0%	1%	4	1%	1%	5	1%	1%	2	0%	1%
Does Not Apply	155	24%	-	267	48%	-	106	23%	-	103	23%	-	79	19%	-
Total	649	100%	100%	561	100%	100%	456	100%	100%	441	100%	100%	425	100%	100%
The Charter Oak State College Program Overall															
Very Satisfied	356	57%	73%	286	73%	71%	315	71%	71%	306	70%	71%	288	71%	71%
Satisfied	186	30%	24%	95	24%	28%	118	28%	27%	119	27%	26%	111	26%	26%
Somewhat Satisfied	34	5%	3%	10	3%	2%	11	3%	3%	11	3%	2%	10	2%	2%
Not Satisfied	45	7%	1%	3	1%	1%	3	1%	1%	3	1%	0%	1	0%	0%
Total	621	100%	100%	394	100%	100%	446	100%	100%	439	100%	100%	420	100%	100%

Charter Oak State College's General Education requirements are designed to ensure that graduating students have the skills and knowledge that will help students be successful lifelong learners and workers. As a graduate of COSC, how competent do you feel in each of the areas listed?

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10		
	#	%	#	%	#	%	#	%	#	%	
Writing Effectively	Very Competent	405	64%	400	72%	317	70%	321	71%	311	73%
	Competent	171	27%	151	27%	135	30%	131	29%	115	27%
	Somewhat Competent	19	3%	5	1%	3	1%	2	0%	1	0%
	Not Competent	41	6%	3	1%	0	0%	0	0%	0	0%
Total	636	100%	559	100%	455	100%	454	100%	427	100%	
Understanding History	Very Competent	312	49%	281	50%	230	51%	239	53%	220	52%
	Competent	242	38%	254	45%	207	46%	205	45%	194	45%
	Somewhat Competent	42	7%	23	4%	15	3%	11	2%	13	3%
	Not Competent	37	6%	1	0%	1	0%	0	0%	0	0%
Total	633	100%	559	100%	453	100%	455	100%	427	100%	
dna= data not available											
Conducting Research	Very Competent	400	63%	378	68%	295	65%	310	68%	284	67%
	Competent	172	27%	168	30%	156	34%	139	31%	133	31%
	Somewhat Competent	29	5%	11	2%	3	1%	6	1%	6	1%
	Not Competent	36	6%	1	0%	1	0%	0	0%	2	0%
Total	637	100%	558	100%	455	100%	455	100%	425	100%	
Understanding and Appreciating the Arts	Very Competent	280	46%	283	51%	227	50%	216	48%	202	48%
	Competent	256	40%	245	44%	199	44%	213	47%	194	46%
	Somewhat Competent	53	8%	27	5%	25	6%	22	5%	25	6%
	Not Competent	34	5%	2	0%	1	0%	0	0%	4	1%
Total	633	100%	557	100%	452	100%	451	100%	425	100%	
dna= data not available											
Understanding Analytic and Quantitative Reasoning and Data Interpretation	Very Competent	308	49%	277	50%	224	50%	245	54%	229	54%
	Competent	239	38%	248	45%	198	44%	191	42%	170	40%
	Somewhat Competent	59	9%	31	6%	27	6%	16	4%	25	6%
	Not Competent	29	5%	1	0%	3	1%	2	0%	2	0%
Total	635	100%	557	100%	452	100%	454	100%	426	100%	
dna= data not available											
Understanding How Groups and Communities Work	Very Competent	417	67%	409	74%	321	71%	338	74%	314	74%
	Competent	149	24%	138	25%	129	28%	110	24%	107	25%
	Somewhat Competent	23	4%	5	1%	4	1%	7	2%	5	1%
	Not Competent	37	6%	2	0%	0	0%	0	0%	1	0%
Total	626	100%	554	100%	454	100%	455	100%	427	100%	
dna= data not available											

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Understanding Science and its Impact on the World										
Very Competent	337	53%	317	57%	242	53%	288	59%	232	54%
Competent	218	34%	214	38%	185	41%	173	38%	181	42%
Somewhat Competent	41	6%	25	4%	25	6%	13	3%	12	3%
Not Competent	37	6%	2	0%	2	0%	1	0%	2	0%
Total	633	100%	558	100%	454	100%	455	100%	427	100%
dna= data not available										
Ethics and Citizenship										
Very Competent	402	64%	394	71%	309	68%	335	74%	298	70%
Competent	166	26%	148	27%	141	31%	115	25%	118	28%
Somewhat Competent	20	3%	8	1%	4	1%	3	1%	9	2%
Not Competent	40	6%	2	0%	0	0%	0	0%	0	0%
Total	628	100%	552	100%	454	100%	453	100%	425	100%
dna= data not available										
Understanding Western Civilization and Culture										
Very Competent	300	49%	271	50%	222	49%	232	51%	209	49%
Competent	236	38%	250	46%	206	45%	202	44%	203	48%
Somewhat Competent	51	8%	25	5%	24	5%	19	4%	14	3%
Not Competent	31	5%	1	0%	1	0%	1	0%	0	0%
Total	618	100%	547	100%	453	100%	454	100%	426	100%
dna= data not available										
Understanding and Appreciating the Implications and Responsibilities of Living in a Global Society										
Very Competent	386	61%	388	70%	295	66%	313	69%	295	69%
Competent	184	29%	160	29%	146	33%	137	30%	125	29%
Somewhat Competent	27	4%	7	1%	5	1%	4	1%	5	1%
Not Competent	39	6%	3	1%	0	0%	0	0%	0	0%
Total	636	100%	558	100%	446	100%	454	100%	425	100%
dna= data not available										

Did you take any distance learning courses from Charter Oak?

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Yes	357	59%	354	69%	330	77%	342	83%	314	80%
No	248	41%	159	31%	98	23%	68	17%	80	20%
Total	605	100%	513	100%	428	100%	410	100%	394	100%

How satisfied were you with:

The Availability of Distance Learning Courses at Charter Oak Necessary for Your Degree

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Very Satisfied	274	42%	304	54%	287	63%	289	65%	274	67%
Satisfied	93	14%	83	15%	67	15%	81	18%	60	15%
Somewhat Satisfied	22	3%	14	2%	9	2%	16	4%	9	2%
Not Satisfied	30	5%	3	1%	4	1%	2	0%	6	1%
Does Not Apply	230	35%	157	28%	89	20%	54	12%	60	15%
Total	649	100%	581	100%	458	100%	442	100%	409	100%

Quality of Service from the Distance Learning Office

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Very Satisfied	256	39%	279	50%	271	59%	267	60%	250	61%
Satisfied	98	15%	96	17%	81	18%	91	21%	76	19%
Somewhat Satisfied	22	3%	16	3%	3	1%	8	2%	7	2%
Not Satisfied	29	4%	4	1%	1	0%	6	1%	0	0%
Does Not Apply	243	37%	166	30%	100	22%	70	16%	78	19%
Total	649	100%	561	100%	458	100%	442	100%	409	100%

Timeliness of Service from the Distance Learning Office

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Very Satisfied	246	38%	277	49%	266	58%	263	60%	248	61%
Satisfied	106	16%	92	16%	80	18%	95	22%	77	19%
Somewhat Satisfied	20	3%	17	3%	5	1%	7	2%	7	2%
Not Satisfied	34	5%	4	1%	1	0%	4	1%	0	0%
Does Not Apply	243	37%	171	30%	104	23%	69	16%	75	18%
Total	649	100%	561	100%	458	100%	438	100%	407	100%

Would you have taken (more) distance learning courses from Charter Oak if they had been available?

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Yes	291	52%	278	56%	231	56%	223	53%	212	55%
No	267	48%	216	44%	185	44%	194	47%	173	46%
Total	558	100%	494	100%	416	100%	417	100%	385	100%

dna = data not available

What additional courses would you like Charter Oak to offer?

	Academic Year 05-06	Academic Year 06-07	Academic Year 07-08	Academic Year 08-09	Academic Year 09-10
	#	#	#	#	#
	%	%	%	%	%
Accounting	2	0	1	6	1
After School Education	0	0	0	0	0
Biology	9	4	4	4	4
Business	6	10	8	6	7
Chemistry	0	0	1	4	2
Communications	3	5	2	7	3
Criminal Justice	4	3	5	4	0
Early Childhood Education Administration	0	1	4	2	0
Earth Science	0	0	0	1	1
Economics	0	1	0	0	1
Education	27	28	22	9	8
Education Technology	1	0	0	0	0
English	5	9	6	10	9
Environmental Science	1	0	0	1	0
Finance	2	2	1	3	0
Fine Arts	4	2	0	8	5
Geography	0	0	1	0	2
Health Care Administration	0	0	5	8	7
History	12	9	8	9	6
Information Technology	7	4	7	11	9
Interdisciplinary	0	0	1	0	0
Journalism	0	0	0	0	0
Management	6	0	0	7	3
Marketing	1	0	0	6	2
Mathematics	15	5	10	10	9
Music	7	4	1	1	3
Nursing	0	3	2	0	2
Paralegal Studies	1	2	2	2	3
Philosophy	1	1	0	0	1
Political Science	2	0	1	3	0
Psychology	9	10	9	16	7
Public Administration	1	0	1	1	0
Public Safety Administration	0	0	0	9	3
Sociology	4	4	3	8	3
Spanish	1	3	1	1	3
Other	25	27	22	24	13
	156	137	128	181	117
Total					
	16%	20%	17%	13%	11%
	100%	100%	100%	100%	100%

dna = data not available

Additional course type

	Academic Year 05-06	Academic Year 06-07	Academic Year 07-08	Academic Year 08-09	Academic Year 09-10
	#	#	#	#	#
	%	%	%	%	%
Online	135	112	124	129	114
Video	11	9	17	25	17
Total	146	121	141	154	131
	92%	93%	88%	84%	87%
	8%	7%	12%	16%	13%
	100%	100%	100%	100%	100%

dna = data not available

If you will be receiving your Associate degree from COSC, will you continue with Charter Oak State College to earn a Bachelor's degree?

	Academic Year 05-06	Academic Year 06-07	Academic Year 07-08	Academic Year 08-09	Academic Year 09-10
	#	#	#	#	#
Yes	38	33	36	46	37
No	11	13	12	12	8
Not Sure	17	10	7	8	12
Not Continuing My Education Now	10	9	14	12	9
N. A. (not enrolled in AS degree program)	573	496	236	213	206
Total	649	561	305	291	272
	6%	6%	12%	16%	14%
	2%	2%	4%	4%	3%
	3%	2%	2%	3%	4%
	2%	2%	5%	4%	3%
	88%	88%	77%	73%	76%
	100%	100%	100%	100%	100%

dna = data not available

If you received a BA/BS, have you been accepted at a graduate school?

	Academic Year 05-06	Academic Year 06-07	Academic Year 07-08	Academic Year 08-09	Academic Year 09-10
	#	#	#	#	#
Yes	43	33	23	26	17
No	163	122	110	87	92
Not Sure	106	87	67	79	68
Not Continuing My Education Now	249	241	165	172	166
Total	561	483	365	364	343
	8%	7%	6%	7%	5%
	29%	25%	30%	24%	27%
	19%	18%	18%	22%	20%
	44%	50%	45%	47%	48%
	100%	100%	100%	100%	100%

dna = data not available

If you are currently employed, please indicate the category of your present job?

	Academic Year 05-06	Academic Year 06-07	Academic Year 07-08	Academic Year 08-09	Academic Year 09-10
	#	#	#	#	#
Agriculture	3	0	3	2	1
Architecture	2	0	1	2	0
Business Professional: Other	104	101	87	83	77
Business Professional: Other	52	54	23	44	30
Clerical	23	17	8	9	8
Construction	2	7	1	2	3
Health	126	109	67	62	69
Health	25	6	14	12	13
Health	51	65	41	37	36
Marketing or Sales	19	3	14	14	9
Mathematician or Natural Scientist	1	13	3	4	1
Mechanic or Repairer	3	0	0	1	0
Military	31	30	13	16	12
Military	3	16	5	8	5
Protective Service (e.g. Fire, Police, etc.)	30	20	22	23	31
Protective Service (e.g. Fire, Police, etc.)	25	3	20	9	18
Religious Worker, Legal, Counselor	17	44	22	14	17
Technologies or Technician (not in health field)	2	0	2	3	5
Writer, Artist, Musician, Performing Artist	48	0	42	32	21
Other	56	52	47	56	53
Not employed	623	541	435	433	410
Total	817	623	435	433	410
	0%	0%	1%	0%	0%
	0%	0%	0%	0%	0%
	17%	19%	20%	19%	18%
	8%	10%	5%	10%	7%
	4%	3%	2%	2%	2%
	0%	1%	0%	0%	1%
	20%	20%	15%	14%	17%
	4%	1%	3%	3%	3%
	8%	12%	9%	9%	9%
	3%	1%	3%	3%	2%
	0%	2%	1%	1%	0%
	5%	6%	3%	4%	3%
	0%	4%	5%	2%	1%
	4%	3%	5%	5%	8%
	4%	1%	2%	2%	4%
	3%	8%	5%	3%	4%
	0%	0%	0%	1%	1%
	8%	0%	10%	7%	5%
	9%	10%	11%	13%	13%
	100%	100%	100%	100%	100%

dna = data not available

Employer State

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Connecticut	158	35%	162	31%	171	33%	187	58%	181	58%
Massachusetts	8	2%	9	2%	7	1%	8	2%	4	1%
New York	10	2%	16	3%	16	3%	11	3%	8	3%
Other	280	61%	225	43%	332	63%	118	36%	119	38%
Total	456	100%	412	78%	526	100%	324	100%	312	100%

dna = data not available

Does your employer have a newsletter?

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Yes	167	34%	144	32%	120	34%	95	28%	113	35%
No	330	66%	301	69%	234	66%	246	72%	206	65%
Total	497	100%	445	100%	354	100%	341	100%	319	100%

dna = data not available

Would you like us to send information about your graduation to the newsletter?

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Yes	71	15%	49	12%	45	13%	39	12%	38	12%
No	403	85%	375	88%	294	87%	297	88%	272	88%
Total	474	100%	424	100%	339	100%	336	100%	310	100%

dna = data not available

Does your employer provide tuition reimbursement?

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Yes	249	48%	223	47%	202	55%	194	52%	188	58%
No	266	52%	249	53%	163	45%	170	48%	138	42%
Total	515	100%	472	100%	365	100%	354	100%	326	100%

dna = data not available

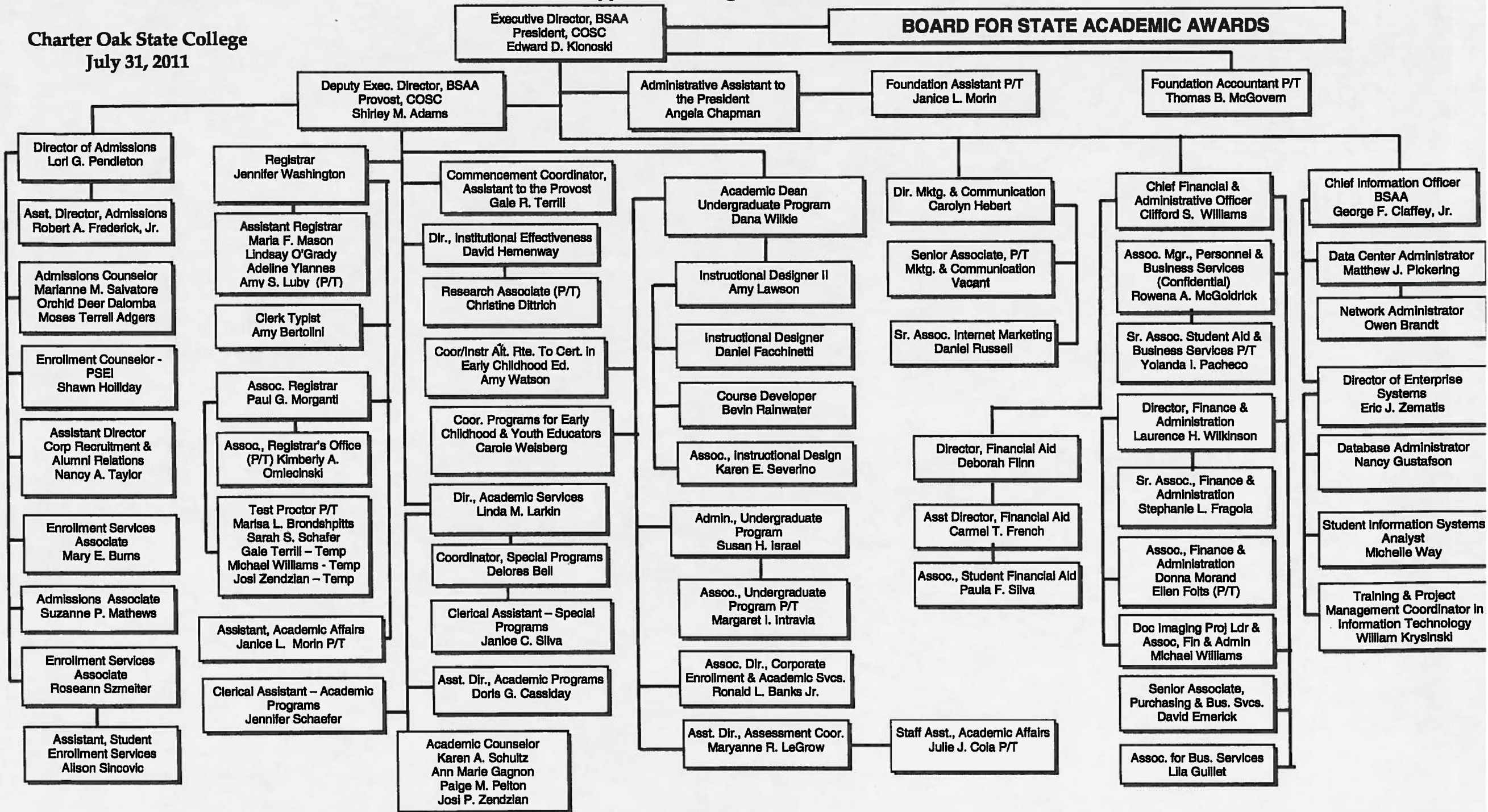
Does your employer provide reimbursement of Charter Oak Fees?

	Academic Year 05-06		Academic Year 06-07		Academic Year 07-08		Academic Year 08-09		Academic Year 09-10	
	#	%	#	%	#	%	#	%	#	%
Yes	106	21%	104	23%	106	31%	86	25%	112	36%
No	383	79%	353	77%	240	69%	258	75%	203	64%
Total	499	100%	457	100%	346	100%	344	100%	315	100%

dna = data not available

Appendix H: Organizational Chart

Charter Oak State College
July 31, 2011



Appendix I

CHARTER OAK STATE COLLEGE BYLAWS

Adopted November 15, 1984

ARTICLE I

Name

The name of this organization shall be Charter Oak State College.

ARTICLE II

Object

- Section 1.** Charter Oak State College shall be a collegiate organization established to serve as a vehicle for implementation of the degree-granting functions of the State of Connecticut Board for State Academic Awards.
- Section 2.** All diplomas or certificates signifying admission to an academic degree conferred by the Board for State Academic Awards shall be awarded in the name of Charter Oak State College and shall be authenticated by placing thereon the official seal of the Board together with the signatures of the Chairman of the Board and the President of Charter Oak State College.
- Section 3.** The services of the College shall be offered to all without restriction as to age (except for the provisions in Article III, Sections 5a and b), or any factor cited in the nondiscrimination statutes of the State of Connecticut.

ARTICLE III

Members

- Section 1.** The membership of the College shall comprise five classifications:
- a. The Governing Board
 - b. The President and Officers of Administration
 - c. The Consulting Faculty
 - d. The Students
 - e. The Alumni

Section 2. The Governing Board

The governing board of the College shall be the State of Connecticut Board for State Academic Awards, the Chairman and members of which are appointed by

the Governor, and a student representative elected by the students. Their duties and responsibilities are as set forth in Section 10a-143 of the Connecticut General Statutes.

Section 3. The President and the Officers of Administration

The President and Officers of Administration with their staff assistants shall be designated from among the employees of the Board for State Academic Awards. (See below, ARTICLE IV, Officers.)

Section 4. The Consulting Faculty

The members of the Faculty of Consulting Examiners (subsequently referred to as Core Faculty Special Assessment Faculty, and Teaching Faculty), as provided by statute, shall be appointed by the governing board in adjunct status as consultants.

Section 4a. Core Faculty

They shall have no full-time teaching or administrative duties under the Board, and their services shall be of an intermittent, consultative nature as arranged by mutual agreement. Appointees shall be nominated mainly from the teaching faculties of baccalaureate-granting institutions in Connecticut. (See below, ARTICLE V, Consulting Faculty.) Specific duties of the Core Faculty are further delineated in the Faculty Handbook.

Section 4b. Special Assessment Faculty

They shall have no full-time teaching or administrative duties under the Board, and their services shall be of an intermittent, consultative nature as arranged by mutual agreement. If the expertise is not available within the Core Faculty, appointees shall be nominated mainly from the teaching faculties at other regionally accredited two and four year institutions. Specific duties of the Special Assessment Faculty are further delineated in the Faculty Handbook.

Section 4c. Teaching Faculty

The members of the Teaching Faculty are hired by the Provost and shall be appointed by the governing Board in adjunct status. Their services will be delineated in their appointment letters/contracts. Teaching faculty will have appropriate credentials and expertise. Their duties, hiring process, evaluation process, and termination process are specified in the Faculty Handbook. The Teaching Faculty, since they teach online, may be hired from outside of Connecticut.

Section 5. The Students

- a. Enrollment as degree candidates is limited to persons who are beyond the age for compulsory school attendance as defined by the State of Connecticut and who have demonstrated the ability to benefit from participation in the programs of Charter Oak State College.
- b. Enrollment in the status of special student may be available to persons who do not meet the basic age and/or educational requirements stated above for enrollment as a regular student and degree candidate.
- c. Persons whose applications for enrollment as degree candidates have been accepted shall be Student Members of the College until such time as they receive a degree or their enrollment is cancelled by action of the governing board. Student Members are further classified as Active or Inactive depending on the status of their degree candidacy. A Student Member who receives an associate degree from Charter Oak State College shall retain the status and privileges of a Student Member if continuing or re-enrolling as a Baccalaureate Degree Candidate.

Section 6. Alumni

All recipients of an Associate or Baccalaureate Degree from Charter Oak State College shall be designated as Alumni of the College.

ARTICLE IV

Officers

Section 1. The President and Officers of Administration

The Executive Director of the Board for State Academic Awards shall serve also as the chief executive officer of the College with the title of "President." As the President of the College, the Executive Director is authorized to designate Officers of Administration including Provost, Vice Presidents, Deans, and their assistants from amongst the employees of the Board for State Academic Awards. The Provost and Deputy Executive Director of BSAA is the chief academic officer of the College, reports directly to the President, and serves as the leader of the College and CTDLC in the President's absence.

Section 2. Institutional Structure

The institutional structure shall be approved by the Board at the recommendation of the President of the college. The Academic Council shall be consulted by the President regarding the organization of the Faculty.

ARTICLE V

Consulting Faculty

Section 1. Duties and Responsibilities

The duties and responsibilities of the Consulting Faculty shall include the following:

- a. To establish requirements for such degrees as the College is authorized to award;
- b. To establish requirements and standards for award of academic credit and academic assessment;
- c. To advise students;
- d. To validate credits earned at other accredited institutions;
- e. To make original awards of credit;
- f. To make recommendations to the governing board for award of degrees to duly enrolled and qualified candidates; and
- g. To teach and develop courses and assess student work.

Section 2. Members

- a. The primary qualifications for appointment as a Member of the Consulting Faculty shall be professional expertise and skill in academic functions.
- b. Such individuals shall be appointed in the capacity of independent consultants and as independent consultants they may in no circumstances be deemed to represent any agency or institution with which they may otherwise be affiliated.
- c. The College shall make every effort to maintain a Consulting Faculty balanced in terms of academic scope, diversity, geographical representation and public/private institutional background.

- d. Due provision shall be made for the initial orientation and training of new appointees and for the subsequent development of their expertise so as to qualify for further responsibilities.

Section 3. Recruitment, Appointment and Reappointment

a. Recruitment

- i. Nominees for the Core Faculty shall be from a list of candidates compiled by solicitation of the academic departments of accredited institutions of higher education in Connecticut where persons having the particular competence sought may be employed.
- ii. Special Assessment Faculty are recruited from within our Core Faculty, or if the expertise doesn't exist in the subject area needed, from other regionally accredited colleges and universities.
- iii. Teaching Faculty will be recruited through an application process and selected based on their credentials and expertise.
- iv. The searches described above shall be clearly identified as both affirmative and nondiscriminatory in nature. Further, in cases where two or more candidates have substantially equal qualifications, preference shall be given to the one whose sex or racial group is under-represented in the Core Faculty and Teaching Faculty, if known.

b. Appointment and Reappointment

All appointments and reappointments to the Consulting Faculty of the College as a Core Faculty member shall be made by the governing board on recommendation of the President's Advisory Committee (according to specifications of Section 5, b., c.), and nomination by the President.

Appointment and reappointment as an Special Assessment Faculty member shall be made by the Provost and reported to the governing board. Teaching Faculty shall be hired by the Provost and, upon the Provost's recommendation, appointed by the Board.

Section 4. Special Assessment Faculty

- a. Members appointed on a contingent basis for advisory and/or evaluative services as required by the Faculty shall be appointed in the classification of Special Assessment Faculty.
- b. Appointments as Special Assessment Faculty shall normally be proposed for the purpose of augmenting the scope of professional resource persons available. Lengths of such appointments shall be determined by the need as perceived when the appointment is made but shall not exceed three years. Reappointment by the governing board for successive periods is permitted.

Section 5. Core Faculty

- a. Members appointed for a term of service on one or more of the Standing Committees of the Faculty which are responsible for establishing and implementing the policies and procedures of the Faculty shall be appointed in the classification of Core Faculty.
- b. Terms of Service
 - i. The initial appointment of a Core Faculty Member is for service on an Academic or Program Committee for a period of up to three years. Core Faculty may be reappointed for additional five-year terms as long as they are employed full time at an accredited college or university in Connecticut and are fulfilling their responsibilities to Charter Oak based on the recommendation of the Committee Chairperson.
 - ii. Initial appointment of a Core Faculty Member for service on the Academic Council for a five-year term may be made after completion of an initial term on an Academic or Program Committee. Members to the Academic Council may be reappointed for additional five-year terms as long as they are employed full time at an accredited college or university in Connecticut and upon recommendation of the President's Advisory Council. All Consulting Faculty Members of the Academic Council serve concurrently on an Academic or Program Committee. Staff representatives to the Academic Council and Program Committees shall be appointed by the President for a term of two years.
 - iii. After service of at least three years as a member of an Academic or Program Committee, a Core Faculty Member who is no longer employed full time at an institution of higher education in Connecticut may be appointed to one or more five-year terms as a member of the President's Advisory Committee.

- c. Reappointment of a Core Consulting Faculty Member is considered by the President's Advisory Committee on the basis of written evaluations prepared by, or at the direction of, the Chairperson of the academic or program committee(s) on which the Core Faculty Member is serving, during the final year of current appointment, according to the procedure outlined in Section 3, b. above.
- d. Evaluation of Core Faculty members is based upon the degree and quality of their contributions to the mission of Charter Oak State College. Evidence of such contributions may include such activities as active participation in Committee meetings, consultation with staff members, student advising, special evaluations and subject-matter area consultative services and mentoring distance learning or contract learning courses.
- e. Except in extenuating circumstances, a Core Faculty Member who fails to participate for an entire year shall be deemed to have vacated his or her appointment.
- f. Scheduling of Appointments

All appointments for which a term of service is specified will normally end on September 30 in the year of expiration. Terms of appointments to all committees shall be staggered so as to assure some continuity of membership. If an appointment is for the unexpired term of another Core Faculty Member the Core Faculty Member so appointed may, after completing the unexpired term, serve the number and length of terms so specified in subsection b. of this section.

Section 6. Academic and Program Committees

- a. There shall be the following Academic Committees:
 - i. Social and Behavioral Sciences
 - ii. Business
 - iii. History and Humanities
 - iv. Mathematics, Science and Technology
- b. There shall be the following Program Committees:
 - i. Distance Learning

- ii. **Assessment**
- c. Each Academic Committee having responsibility for a specified subject-matter area and shall be authorized to conduct validation procedures within its area of competence and recommend academic policy to the Academic Council.
- d. Each Program Committee having responsibility for distance learning and assessment programs shall be authorized to develop policies and procedures for the programs under its direction and to recommend same to the Academic Council for approval.
- e. Action on matters to be recommended to the Academic Council may be taken at any meeting of an academic or program committee, provided information regarding the item was sent to members prior to the committee meeting or it is a recommendation of a special committee authorized by an Academic or Program Committee, provided information regarding the items was sent to members prior to the committee meeting or it is a recommendation of a special committee authorized by an Academic or Program Committee or the Academic Council.
- f. The number of members appointed to an Academic Committee or to the Assessment Committee may not exceed sixteen (16), and the number of members appointed to the Distance Learning Committee may not exceed twenty (20).
- g. The Chairs of the Academic and Program Committees shall be recommended for appointment by the Provost to the Academic Council for its approval. Chairs normally shall serve no more than two years consecutively. The Chairs of Academic and Program Committees shall serve as *ex officio* voting members of the Academic Council.
- h. An Academic or Program Committee may act through subcommittee at its discretion.
- i. One member of each program committee shall be a college staff member appointed by the president for a term of two years.

Section 7. Policy Committees

- a. There shall be a standing committee designated as the "Academic Council."
 - i. Members of this committee shall be qualified as specified in Section 5, b., ii. of this article. Appointed members of the Academic Council shall not exceed nineteen (19). Two members

of the Academic Council shall be staff members of the college appointed by the president for a term of two years.

- ii. The Academic Council shall develop academic policy and speak for the Faculty in matters pertaining to program requirements, validation of credits, and recommendation for the award of academic degrees. All formal actions by the Academic Council within the scope of its competence shall have the force of an action by the entire membership of the Consulting Faculty.
 - iii. Subject to the approval of the governing board, the Academic Council shall establish the requirements and academic standards for earning the degrees of Bachelor of Arts, Bachelor of Science, Associate in Arts, and Associate in Science and for earning such other degrees and certificates as may from time to time be authorized.
 - iv. Action on matters of general academic policy may be taken at any meeting of the Academic Council, provided information regarding the item was sent prior to the meeting and the item either was discussed at a prior meeting of the Academic Council or was recommended following discussion by an academic or program committee or a special committee authorized by the Academic Council.
- b. There shall be a standing committee designated as the "President's Advisory Committee."
- i. Members of this committee shall be qualified as specified in Section 5, b., iii. of this article and shall be deemed *ex officio* non-voting members of the Academic Council, but not counted within the nineteen (19) appointed member size limitation. The number of members shall not exceed seven (7). The chair shall be appointed by the President.
 - ii. This committee will function as a nominating and steering committee. It shall, upon request, coordinate the work of special and *ad hoc* committees and advise and assist the President and the governing board.

Section 8. Officers

- a. The officers of the Faculty shall be the Dean of the Faculty, one or more Associate Deans, and such other officers as may be authorized from time to time.

- b. Officers shall be appointed by the governing board upon the recommendation of the President's Advisory Committee after consultation with the Academic Council and nomination by the President.
- c. Eligibility for appointment as an Officer of the Faculty shall be limited to those serving currently as members of the Academic Council.

Section 9. Meetings

- a. In July, the President shall call the annual meeting of the Academic Council. At said annual meeting, the Academic Council shall consider recommendations for faculty appointments and reappointments and shall consider recommendations for officers and committee chairpersons.
- b. All standing and *ad hoc* committees shall meet as necessary at the call of the Dean of the Faculty, Provost or the President.
- c. The members present shall constitute a quorum at any committee meeting provided that the call was sent or direct telephone contact was made with all members at least ten days in advance of the meeting.
- d. The chair of a committee may participate in all votes of that committee.

ARTICLE VI

These bylaws may be amended at the pleasure of the governing board following consultation with the Academic Council and the President.

Approval

Approved by action of the Faculty Committee on Degrees at a meeting on September 9, 1987, superseding Faculty Bylaws adopted on November 15, 1984.

Approved by action of the Board for State Academic Awards at a meeting on October 15, 1987, superseding Faculty Bylaws adopted on November 15, 1984.

Approved by action of the Board for State Academic Awards at a meeting on May 10, 1990, superseding Faculty Bylaws on October 15, 1989.

Amended by action of the Board for State Academic Awards at a meeting on May 9, 1991.

Approved by action of the Board for State Academic Awards at a meeting on March 19, 1998.

Approved by action of the Board for State Academic Awards at a meeting on November 19, 1998.

Amended by action of the Board for State Academic Awards at a meeting on January 17, 2002.

Amended by action of the Board for State Academic Awards at a meeting on July 29, 2004.

Amended by action of the Board for State Academic Awards at a meeting on July 27, 2007.

Amended by action of the Board for State Academic Awards at a meeting on February 23, 2011.

Appendix J

Library Data Bases and Expenditures

ABI/Inform Complete	History Resource Center (World)
Academic OneFile	iCONN.org – CT's Research Engine
CINAHL	Informel (Revistas en Espanol)
ebrary	Legal Trac
EBSCOhost	LexisNexis
Educator's Reference Complete	Project Muse
Expanded Academic ASAP	ProQuest
Gale Databases - Powered by InfoTrac	PsyARTICLES
General OneFile	PsycINFO
General Reference Center Gold	Question Point
GreenFILE	Science Resource Center
Health & Wellness Resource Center	SocINDEX
History Resource Center (US)	

Expenditures for Library					
2008	2009	2010	2011	2012	2013
\$20,405	\$6,664	\$18,932	\$23,017	\$34,700	\$38,170
Expenditures for Library Consultant					
2008	2009	2010	2011	2012	2013
\$4,265	\$12,577	N/A	N/A	\$20,000	N/A

Appendix K

Credit Certificates and Credentials

Certificate in Computer Security

Certificate in Health Insurance Customer Service

Certificate in Health Care Studies

Certificate in Leadership in Health Care Administration

Paralegal Certificate

Certificate in Land Surveying

Certificate in Project Management

Certificate in Public Safety Administration—Level 1 and Level 2

Credential in After School Education

Connecticut Director's Credential

Certificate in Infant-Toddler Care

Connecticut Parenting Educator Credential

Special Education Paraprofessional Certificate

Speech and Language Pathology Assistant Certificate

Appendix L

Non-credit Certificates and Courses

Advanced Classroom Management

Attention Deficit Disorder

Child Abuse and Neglect

Coping with Aggressive Behavior in the Classroom

Diversity in the Classroom

Drugs and Alcohol in Schools

Educational Assessment

Home Care Nursing

Inclusion: Working with Special Needs Students in General Education Classrooms

Learning Disabilities

LPN refresher

Perioperative Nursing

(This program was discontinued in summer 2011 due to lack of enrollment. It was discontinued with the consent of the Connecticut Hospital Association. A meeting was held with the CHA members in the late fall of 2010 to discuss need. At that meeting it was agreed that due to the economy there was not a current need. Charter Oak agreed to teach the last course in the spring of 2011 and send a letter to all of the hospitals notifying them of the discontinuance of the program.)

Pharmacy Refresher

RN Refresher

Strategies for Managing Disruptive Behavior

The Effects of Stress, Trauma & Violence on Student Learning

Violence in Schools: Identification, Prevention & Intervention Strategies

Working More Effectively with Talented and Gifted Students

Appendix M

Charter Oak State College National Survey of Student Engagement 2008 and 2010 Results

Introduction:

Charter Oak State College participated in the National Survey of Student Engagement (NSSE) in the 2008 and the 2010 academic years. According to NSSE, "The National Survey of Student Engagement annually surveys first-year and senior students at participating baccalaureate-granting colleges and universities to assess the extent to which they engage in and are exposed to proven educational practices that correspond to desirable learning outcomes. Institutions use the results to develop programs and practices that promote student engagement. The survey is administered in the spring term and is short, reliable, and easy for students to complete. It asks undergraduates about: their exposure to and participation in effective educational practices, their use of time in and out of class, what they feel they have gained from their educational experience, the quality of their interactions with faculty and other students, and the extent to which they feel the institution provides a supportive environment."

Charter Oak uses the results of this survey to evaluate the services and instruction provided to its students. In 2008, Charter Oak and other members of Transparency by Design agreed to use fifteen NSSE questions to measure student engagement and satisfaction at their institutions. This NSSE information is an excellent source of benchmarking information. It is reported to the Transparency by Design project which posts it on its website (<http://www.collegechoicesforadults.org>). In addition, Charter Oak can use this information to see how its ratings have changed over time and how they compare to other participating institutions. In 2008 there was an On-Line Educators Consortium and we can compare Charter Oak's results to their results. In 2010 there was no On-Line Educators Consortium within the NSSE project and the only comparable information produced by NSSE is New England Public Colleges. These colleges are often very different than Charter Oak as they include public colleges and universities, on ground and on line colleges, and the students are more often traditional college students who tend to be younger than Charter Oak student and take more courses and work less than Charter Oak students. Nevertheless, we can make some worthwhile comparisons to these institutions as long as we remember the inherent differences between the students in these institutions.

Methodology:

We have produced a summary spreadsheet that summarizes the results for 16 NSSE questions for the 2008 and the 2010 surveys that are relevant to Charter Oak students. In addition, all except one (the question on academic advising) were included in the Transparency by Design project. This spreadsheet has the 2008 On-Line Educators and the 2010 New England Public College comparison groups. Where appropriate, we have combined the two highest categories to summarize the data as much as possible. In the following section of this report, we list the measures that Charter Oak is noticeably different (five or more percentage points) than its comparison group. We have chosen a five

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percentage point difference because this ensures that there is a statistically significant difference on the particular question. We have completed this analysis three ways: 1) Comparing Charter Oak's 2008 results with its 2010 results, 2) Comparing Charter Oak's 2008 results with those of the 2008 On-Line Educators, and 3) Comparing Charter Oak's 2010 results with those of the New England Public Colleges. We have presented this information in tabular form and in graphical form. These are attached to the end of this report.

Results:

There are a number of questions in the NSSE survey they summarize a student's experience at his or her college. These include "How would you evaluate your entire educational experience at this Institution." In the 2008 NSSE survey, 89% of the Charter Oak students said good or excellent. This was below the similar percentage for 2008 On-line Educators- 93%. However, Charter Oak students in the 2010 NSSE survey responded at 95% which compares favorably to both the 2008 On-Line Educators response of 93% and the 2010 New England Public College response of 84%. Another summary question is "If you could start over again, would you go to the same institution you are now attending." Eighty-eight percent of the 2008 Charter Oak students said yes or definitely yes to this question. This compares negatively to the 2008 On-Line Educators average of 93%. However, when Charter Oak students were asked this question in the 2010 NSSE survey 94% responded yes or definitely yes. This compares favorably to the 2008 On-Line Educators results (93%) and the 2010 New England Public College rate of 78%. It appears that Charter Oak students are as satisfied with their college as other On-Line Educators' students and more favorably than other New England Public College students.

There are three questions in the NSSE survey which ask about our student's satisfaction with faculty, administrative personnel and advising. In each of these areas, Charter Oak scored well. The NSSE survey asked students to evaluate their relationship with faculty members. In the 2008 NSSE survey, 80% of the Charter Oak students said they were available, helpful and sympathetic. This is slightly lower than the 2008 NSSE On-Line Educators average of 82%. However, the comparable 2010 NSSE survey for Charter Oak had a satisfaction level of 84% which is higher than the 2008 On-Line Educators average (82%) or the New England Public College average of 79%. When asked about the quality of relationships with administrative personnel and office, 77% of the 2008 Charter Oak students said they were helpful, considerate and flexible. This compares favorably to the 2008 On-Line Educators rate of 76%. In the 2010 NSSE survey Charter Oak's rate satisfaction rate increased to 84% which is noticeably higher than the 2008 On-Line Educators rate of 76% or the 2010 New England Public College rate of 54%. When students were asked to evaluate the quality of academic advising, 84% of the 2008 Charter Oak students and 89% of the 2010 Charter Oak students said good or excellent. These percentages compare favorably with the 2008 on-line college student rate of 87% and the 2010 New England Public College rate of 69%. In summary, Charter Oak students' satisfaction with faculty, administrative services and advising are increasing and are comparable, or are exceeding, the comparable On-Line Educators or New England Public College rates.

We have summarized the results of these surveys into three comparisons: Charter Oak 2008 results compared with Charter Oak 2010 results, Charter Oak 2008 results compared to On-Line

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Educators 2008 results and Charter Oak 2010 results with New England Public College 2010 results. It is important to evaluate the percentage change for each question on its own merit. Our goal here is to highlight the changes between the responses to these questions, not to evaluate whether the change is positive or negative. When the Charter Oak 2008 results are compared to Charter Oak 2010 results we see that eight areas showed a five percentage point increase change while no areas showed a five percentage point decrease change between the two surveys. When Charter Oak 2008 results are compared to the On-Line Educators 2008 results, we see that Charter Oak had eight areas showed a five percentage point increase while no areas had a five percentage point decrease between Charter Oak and the On-Line Educators. When the Charter Oak 2010 results are compared to the New England Public College 2010 results, Charter Oak had fourteen areas that were rated five percentage points above the New England Public College 2010 results and no areas that were below the New England Public College 2010 results. It appears that Charter Oak students are more similar to other on-line college students than students attending New England Public Colleges. The results of these comparisons are shown below:

The following aspects scored more than five percentage points higher in the 2010 survey than in the 2008 survey for Charter Oak students only:

Worked harder than you thought you could to meet an instructor's standards or expectations (71% to 62%)

Learn something that changed the way you understand an issue or concept (76% to 70%)

Quality of relationships with other students (82% to 75%)

Quality of relationships with administrative personnel and offices (84% to 77%)

Acquiring job or work-related knowledge and skills (79% to 74%)

Overall, how would you evaluate the quality of academic advising you have received at your institution (89% to 84%)

How would you evaluate your entire educational experience at this institution (95% to 89%)

If you could start over again, would you go to the same institution you are now attending (94% to 88%)

The following aspects scored more than five percentage points lower in the 2010 survey than in the 2008 survey for Charter Oak students only:

None

The following aspects scored more than five percentage points higher in the 2008 survey of Charter Oak Students than in the 2008 survey for other On-Line Colleges:

Work effectively with others (77% to 65%)

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The following aspects scored more than five percentage points lower in the 2008 survey of Charter Oak Students than in the 2008 survey for On-Line Educators:

Acquiring job or work-related knowledge and skills (74% to 80%)

Writing clearly and effectively (82% to 89%)

If you could start over again, would you go to the same institution you are now attending (88% to 93%)

The following aspects scored more than five percentage points higher in the 2010 survey of Charter Oak Students than in the 2010 survey for other New England Public Colleges:

Provided prompt written or oral feedback from faculty on your academic performance (77% to 66%)

Worked harder than you thought you could to meet an instructor's standards or expectations (71% to 64%)

Learn something that changed the way you understand an issue or concept (76% to 67%)

Quality or relationships with faculty members (84% to 79%)

Quality of relationships with administrative personnel and offices (84% to 54%)

Providing the support you need to help you succeed academically (83% to 70%)

Acquiring job or work-related knowledge and skills (79% to 74%)

Writing clearly and effectively (86% to 79%)

Thinking critically and analytically (91% to 85%)

Use computing and information technology (88% to 79%)

Solving complex real-world problems (67% to 61%)

Overall, how would you evaluate the quality of academic advising you have received at your institution Good or Excellent (89% to 69%)

How would you evaluate your entire educational experience at this institution Good or Excellent (95% to 84%)

If you could start over again, would you go to the same institution you are now attending (94% to 78%)

The following aspects scored more than five percentage points lower in the 2010 survey of Charter Oak Students than in the 2010 survey for other New England Public Colleges:

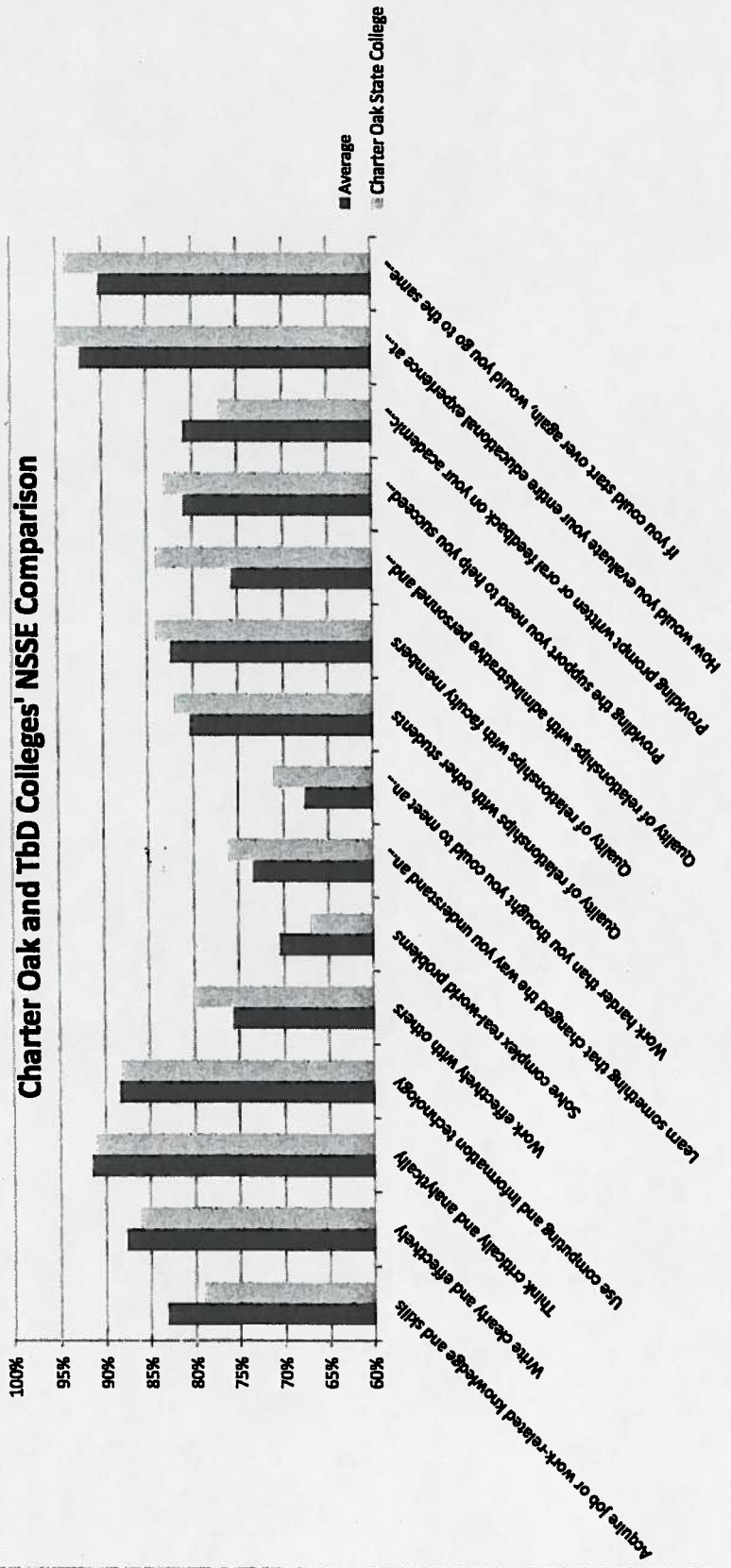
None

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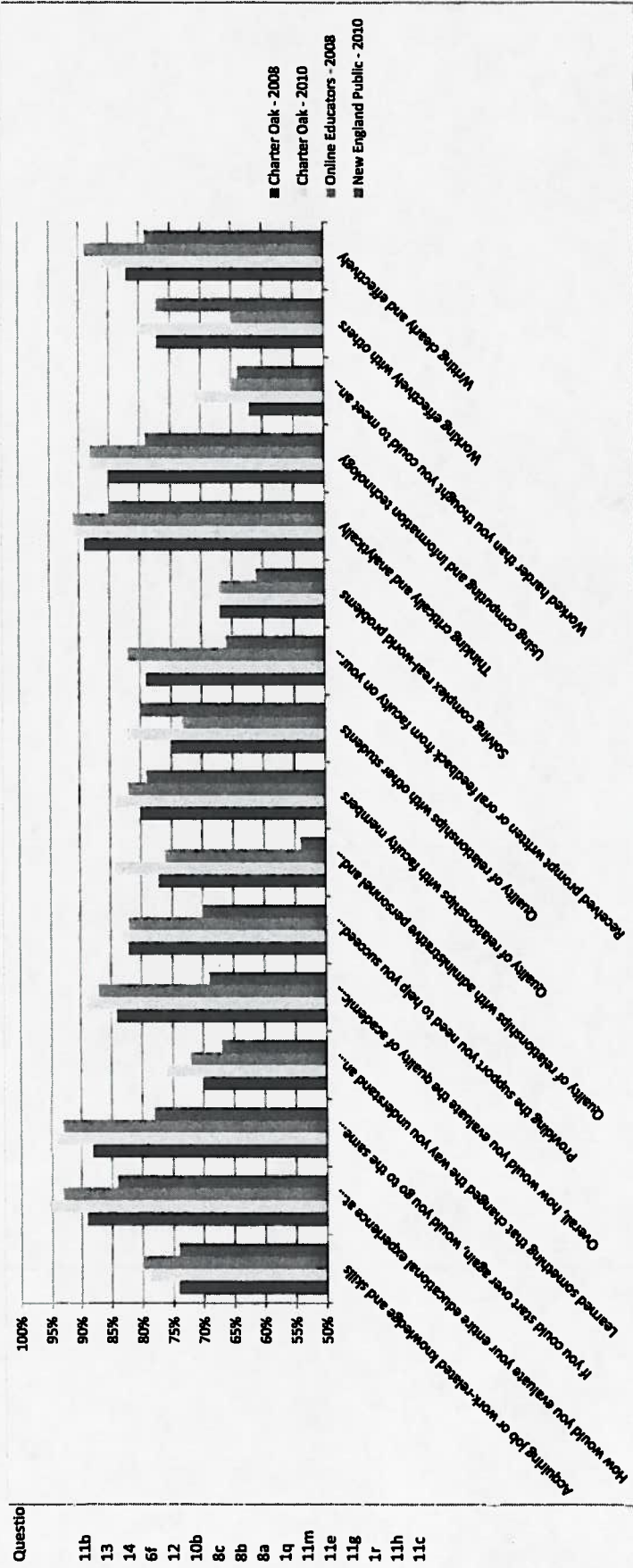
Charter Oak Compared to Transparency by Design Institutions

There are fourteen Transparency by Design (TbD) institutions that provided NSSE results. The attached spreadsheet compares the results of these TbD institutions on fifteen NSSE questions. The percentages are the percentages of students who responded positively for each aspect. I compared Charter Oak to the averages of all institutions that provided NSSE information on the TbD website. Charter Oak is above the average of these institutions on nine aspects, the same on one, and below on five aspects. The aspects that Charter Oak students rated above average include: "Work effectively with others", "Learn something that changed the way you understand an issue or concept", "Work harder than you thought you could to meet an instructor's standards or expectations", "Quality of relationships with other students", "Quality of relationships with faculty members", "Quality of relationships with administrative personnel and offices", "Providing the support you need to help you succeed academically", "How would you evaluate your entire educational experience at this institution", and "If you could start over again, would you go to the same institution you are now attending." Charter Oak was the same as the average for "Use of computing and information technology." It was below average on "Acquire job or work-related knowledge and skills", "Write clearly and effectively", "Providing prompt written or oral feedback on your academic performance", "Solve complex real world problems", and "Think critically and analytically". This information is included in the following table and chart.

Charter Oak and TBD Colleges' NSSE Comparison



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Charter Oak 2008 and 2010 NSSE Results Compared to 2008 On-Line Educators and 2010 New England Public Colleges

Question	Response	Charter Oak		On Line	New England
		2008	2010	Educators	Public
		2008	2010	2008	2010
Acquiring job or work-related knowledge and skills	Quite a Bit or Very Much	74%	79%	80%	74%
How would you evaluate your entire educational experience at this institution	Good or Excellent	89%	95%	93%	84%
If you could start over again, would you go to the same institution you are now attending	Probably Yes or Definitely Yes	88%	94%	93%	78%
Learn something that changed the way you understand an issue or concept	% Often or Very Often	70%	76%	72%	67%
Overall, how would you evaluate the quality of academic advising you have received at your institution	Good or Excellent	84%	89%	87%	69%
Providing the support you need to help you succeed academically	Quite a Bit or Very Much	82%	83%	82%	70%
Quality of relationships with administrative personnel and offices	% 5, 6 or 7 Helpful, Considerate, Flexible	77%	84%	76%	54%
Quality of relationships with faculty members	% 5, 6 or 7 Available, Helpful, Sympathetic	80%	84%	82%	79%
Quality of relationships with other students	% 5, 6 or 7 Friendly, Supportive, Sense of Belonging	75%	82%	73%	80%
Providing prompt written or oral feedback from faculty on your academic performance	% Often or Very Often	79%	77%	82%	66%
Solve complex real-world problems	Quite a Bit or Very Much	67%	67%	67%	61%
Think critically and analytically	Quite a Bit or Very Much	89%	91%	91%	85%
Use computing and information technology	Quite a Bit or Very Much	85%	88%	88%	79%
Work harder than you thought you could to meet an instructor's standards or expectations	% Often or Very Often	62%	71%	65%	64%
Work effectively with others	Quite a Bit or Very Much	77%	80%	65%	77%
Write clearly and effectively	Quite a Bit or Very Much	82%	86%	89%	79%

Appendix N: Record Retention and Acceptable Use Policy

STATE AGENCIES' RECORDS RETENTION/DISPOSITION SCHEDULE S5: HIGHER EDUCATION RECORDS (Revised: 01/2010)



STATE OF CONNECTICUT
Connecticut State Library
Office of the Public Records Administrator
231 Capitol Avenue, Hartford, CT 06106
www.cslib.org/publicrecords

1. **AUTHORITY:** The Office of the Public Records Administrator issues this retention and disposition schedule under the authority granted it by CGS §11-8 and §11-8a.
2. **SUPERSEDEENCE:** This schedule supersedes all previously approved *State Agencies' Records Retention/Disposition Schedules: S5: Higher Education Records*.
3. **FORMAT:** Retention periods listed on this schedule apply to the record, regardless of physical format. Records may be either hard copy or electronic. If the record is electronic, the custodian of the record must be able to interpret and retrieve the data for the minimum retention period listed for the records series.
4. **DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108). The RC-108 must be signed by the agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator *prior* to the destruction of public records.

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
A. ACCREDITATION RECORDS					
(S1-015)	Accreditation Records	Consists of records that document the accreditation process from accrediting and regulatory bodies. Including but not limited to: data, correspondence, other supporting documentation, reports received from study committees of accreditation associations and suggestions and recommendations concerning organizational structure and administration.	5 years from date accreditation granted, or until next accreditation, whichever is later	Destroy after receipt of signed Form RC-108	Applies to accreditation at the program, department, and institutional levels.
B. ATHLETICS RECORDS					
(S5-090)	Athletic Participation Records	Consists of records that document <i>Athletic Participation / Equity in Athletics Disclosure Act</i> (EADA) data, which is disclosed annually to students and other required parties.	3 years from annual required disclosure date [34 CFR §668]	Destroy after receipt of signed Form RC-108	Annual required disclosure date is currently October 15 th .
(S3-680)	Inventories of Equipment	Consists of detailed inventory reports, fixed assets, property inventory report, inventory summary, controllable property inventory, and Generally Accepted Accounting Principles (GAAP) reporting form.	3 years, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	Includes sportswear and equipment by student athletes (e.g., equipment room daily activity reports, equipment rental charts, and statements of lost equipment).

Appendix N: Record Retention and Acceptable Use Policy

State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 2 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S5-030	Game Records	Consists of records that document the practice, playing, and attendance of games and sporting events. Including but not limited to: scrapbooks, audio/video recordings, sports history, and memorabilia.	2 years from date of event	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
S5-040	Recruiting Records	Consists of records related to recruitment and eligibility for participation in athletics. Including but not limited to: official visit of prospective athletes, student-athletes' affirmation of eligibility, and national letters of intent.	5 years from end of recruitment period	Destroy after receipt of signed Form RC-108	
S5-050	Scheduling Records	Consists of records that document competition schedules between other institutions. Including but not limited to: correspondence and final schedules.	6 years from date of event	Destroy after receipt of signed Form RC-108	
C. CAREER SERVICES RECORDS					
S5-060	Employer Records	Including but not limited to: job descriptions, company information, contact information, and job qualifications.	2 years from end of academic year	Destroy after receipt of signed Form RC-108	
S5-070	Internship Records	Consists of records that document internships, practicum, cooperative education, student teaching, and field experience.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-080	Student Career Placement and Planning Records	Consists of records that document assistance provided to students in planning career goals and objectives. Including but not limited to: résumés, cover letters, career goals, and academic credentials.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	

Appendix N: Record Retention and Acceptable Use Policy

State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 3 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
D. FEDERAL DISCLOSURE RECORDS					
Pursuant to 34 CFR §668, the 1998 Amendments to the Higher Education Act of 1965 (HEA) and Student Assistant General Provisions require institutions to retain records developed in compliance with the <i>Campus Crime, Student Right-to-Know Act</i> , and <i>Athletic Participation / Equity in Athletics Disclosure Act</i> (EADA) requirements. These records should be established and disclosed annually to students and other required parties.					
S5-090	Athletic Participation Records	Consists of records that document <i>Athletic Participation / Equity in Athletics Disclosure Act</i> (EADA) data, which is disclosed annually to students and other required parties.	3 years from annual required disclosure date [34 CFR §668]	Destroy after receipt of signed Form RC-108	Annual required disclosure date is currently October 15 th .
S5-100	Crime Statistics and Security Report Records	Consists of crime information, annual <i>CLERY</i> Report, the <i>Drug-Free Schools and Communities Act</i> (DFSCA), and <i>Security Protocol Plan</i> (CGS §10a-156a). Including but not limited to: institutional policies and proceedings for reporting crimes and disciplinary actions, crime statistics, education programs, and security and access policies for campus facilities.	3 years from annual required disclosure date [20 USC §1092]	Destroy after receipt of signed Form RC-108	<i>CLERY</i> is the <i>Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act</i> .
S5-110	Graduation and Completion Records	Consists of graduation, completion, and transfer-out data disclosed to students and other required parties.	3 years from annual required disclosure date	Destroy after receipt of signed Form RC-108	Annual required disclosure date is currently July 1 st .
S5-120	Institutional Information Records	Consists of institutional information disclosed annually to students and federal government. Including but not limited to: cost of attendance, withdrawal procedures, refund policy, and other items not covered in student/faculty handbooks.	3 years from annual disclosure date	Destroy after receipt of signed Form RC-108	Annual required disclosure date is currently October 15 th .
S5-130	Veterans Administration Certifications	Including but not limited to: application for benefits, correspondence and requests for certification, birth certificates for children of deceased veterans, and notices of benefits for guard and reservists.	3 years from date of graduation or date of last enrollment [38 CFR §21.4209]	Destroy after receipt of signed Form RC-108	

Appendix N: Record Retention and Acceptable Use Policy

State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 4 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
E.	FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) RECORDS	Pursuant to 20 USC §1232(g) and 34 CFR §99, the <i>Family Educational Rights and Privacy Act (FERPA)</i> defines "education records" as "those records that are (1) directly related to a student and (2) maintained by an educational agency or institution or by a party acting for the agency or institution." Exceptions include (1) personal notes kept in the maker's sole possession, (2) certain campus law enforcement records, (3) alumni records, and (4) certain medical records used only for treatment purposes. Thus, with few exceptions, almost any record about a student must be handled in compliance with FERPA. When the stated retention period is "life of student file or until terminated by the student," the retention period of the FERPA document is the same as the retention period for the student record to which it pertains. Note that if the retention period for the student record is permanent, then the retention period for the associated FERPA document is also permanent.			
SS-140	Annual Notice of Rights		Until superseded	Destroy after receipt of signed Form RC-108	
SS-150	Requests for Formal Hearings		5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
SS-160	Requests and Disclosures of Personally Identifiable Information		Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	
SS-170	Student Requests for Nondisclosure of Directory Information		Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	See 34 CFR §99.3 for list of directory information.
SS-180	Student Statements on Content of Records Regarding Hearing Panel Decisions		Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	
SS-190	Student's Written Consent for Records Disclosure		Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	
SS-200	Waivers for Rights of Access		Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	
SS-210	Written Decisions of Hearing Panels		5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
F.	INSTITUTIONAL RECORDS				
SS-220	Alumni Relations Records	Consists of records that document alumni and fundraising efforts. Including but not limited to: information about alumni, solicitation plans, donation histories, and related materials.	3 years, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
SS-230	Catalogs	Consists of annual catalog publications used to present information about institution (e.g., course descriptions, schedule of classes, and academic calendar).	Permanent	Maintain in agency	Retention requirement applies to official record copy.

Appendix N: Record Retention and Acceptable Use Policy

State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 5 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
SS-240	Commencement Programs	Consists of commencement programs for graduation ceremonies and graduation lists.	Permanent	Maintain in agency	Retention requirement applies to official record copy.
SS-250	Handbooks – Faculty / Student	Consists of faculty and student handbooks outlining rules, regulations, overview of institution, by-laws, and overview of tenure.	Permanent	Maintain in agency	Retention requirement applies to official record copy.
SS-260	Honorary Societies Records	Consists of records that document department, college, and university-related honorary societies. (NOTE: does not include non-university affiliated honorary societies.)	5 years from end of academic year	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
SS-270	Lab School and Child Care Records	Consists of records of lab schools for pre-school children. Includes university run child care and family resource centers.	4 years from date licensed	Destroy after receipt of signed Form RC-108	If program is exempt from being licensed, retain for 4 years from end of academic year.
(S1-350)	Presentation Records	Consists of records of presentations, training sessions, conferences, and workshops conducted by agencies. Including but not limited to: handouts and presentations.	1 year from date of presentation	Destroy after receipt of signed Form RC-108	
SS-280	Schedule of Classes	Consists of institutional schedules and directories of classes.	Permanent	Maintain in agency	Retention requirement applies to official record copy.
SS-290	Statistics, Institutional	Consists of degree, enrollment, grade, and race / ethnicity statistics about the institution.	Permanent	Maintain in agency	
SS-300	Student Government Records	Consists of records that document student governing associations. Including but not limited to: minutes, elections, reports, and related correspondence.	5 years from end of academic year	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
SS-310	Student Organization Records	Consists of records that document student associations and organizations affiliated with the institution. Including but not limited to: minutes, elections, reports, and related correspondence.	5 years from end of academic year	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.

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State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 6 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S5-320	Syllabi, Course	Consists of course syllabi (e.g., summary of course, class schedule, office hours, and assignments) maintained by department or university.	1 year from end of semester	Destroy after receipt of signed Form RC-108	Instructor copy of syllabi may be destroyed at will provided university maintains record copy. May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
G. RESIDENCE / HOUSING RECORDS					
S5-340	Room Inspections and Assignments	Consists of records that document the processing of residents, inspection of rooms, and status of room and housing assignments. Including but not limited to: check-in and out forms, room condition forms, and inspection reports.	1 year from end of semester	Destroy after receipt of signed Form RC-108	
H. STUDENT ADMISSIONS RECORDS – APPLICANTS WHO DO NOT ENROLL The <i>Family Education Rights and Privacy Act (FERPA)</i> (20 USC §1232g / 34 CFR §99) does not apply to records for applicants who <i>do not</i> enroll (whether accepted or rejected) at the institution.					
S5-350	Acceptance Letters	Consists of letters and other forms advising applicant of acceptance or denial to institution.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-360	Advanced Placement Records	Consists of records that document the applicant's advanced placement (AP) activities.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-370	Applications for Admission	Consists of applications for admission or readmission to institution.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-380	Correspondence	Consists of correspondence related to the admissions process.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-390	Entrance Examinations	Consists of records of examination and test scores (e.g., ACT, ASSET, SAT, LSAT, MCAT, and GRE).	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-400	International Student Records	Consists of documents used by international students for enrollment purposes. Including but not limited to: Employment Authorizations, Alien Registration Receipt Cards, Arrival/Departure Record (Form I-94), passport numbers, statements of educational costs, and translation documents.	2 years from date of application	Destroy after receipt of signed Form RC-108	Some documents from other countries may be originals and therefore difficult or impossible for the applicant to replace; the records custodian may want to return these documents to the applicant after receipt of signed Form RC-108.

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State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 7 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S5-410	Interview Records	Consists of summaries or reports of interviews of the applicant.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-420	Letters of Recommendation	Consists of recommendations written on behalf of the applicant.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-425	Medical Records	Consists of records that document the applicant's proof of immunization and physical exams.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-430	Military Records	Consists of records that document the applicant's military history for enrollment purposes.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-440	Placement Scores	Consists of records that document the applicant's placement test scores or reports.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-450	Residency Classification Forms	Consists of records that document residency status for tuition purposes.	2 years from date of application	Destroy after receipt of signed Form RC-108	
S5-460	Transcripts	Consists of applicant's high school and college transcripts.	2 years from date of application	Destroy after receipt of signed Form RC-108	
I. STUDENT ADMISSIONS RECORDS – APPLICANTS WHO ENROLL					
The <i>Family Education Rights and Privacy Act (FERPA)</i> (20 USC §1232g / 34 CFR §99) applies to students who <i>enroll and attend</i> the institution. The provisions of FERPA apply to these students' admissions records. Educational institutions that participate in federal, state, and/or private student loan programs must retain student admission and placement records for "5 years from date of graduation or date of last enrollment (withdrawal)."					
S5-470	Acceptance Letters	Consists of letters and other forms advising applicant of acceptance to institution.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-480	Advanced Placement Records	Consists of records that document the applicant's advanced placement (AP) activities.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-490	Applications for Admission	Consists of applications for admission or readmission to institution.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-500	Correspondence	Consists of correspondence related to the admissions process.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-510	Entrance Examinations	Consists of records of examination and test scores (e.g., ACT, ASSET, SAT, LSAT, MCAT, and GRE).	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	

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State Agencies' Records Retention/Disposition Schedule SS: Higher Education Records (Revised: 01/2010), Page 8 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
SS-520	International Student Records	Consists of documents used by international students for enrollment purposes. Including but not limited to: employment authorizations, alien registration receipt cards, Arrival/Departure Record (Form I-94), passport numbers, statements of educational costs, and translation documents.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	Some documents from other countries may be originals and therefore difficult or impossible for the applicant to replace; the records custodian may want to return these documents to the applicant after receipt of signed Form RC-108.
SS-530	Interview Records	Consists of summaries or reports of interviews of the applicant.	Until admitted	Destroy after receipt of signed Form RC-108	
SS-540	Letters of Recommendation	Consists of recommendations written on behalf of the applicant.	Until admitted	Destroy after receipt of signed Form RC-108	Pursuant to 20 USC §1232g, letters of recommendation not accompanied by waivers, and retained beyond their intended use, may be viewed by the student. It is recommended that these letters be destroyed after student is admitted.
(S4-280)	Patient Medical Records - Higher Education Student Health Services	Consists of records that document the health status and immunization of a patient at higher education institutions. Includes mental health, counseling, and substance abuse for students.	7 years from date of graduation or date of last enrollment [Conn. Agencies Regs. §19-13-D43a(g)(5)(B)]	Destroy after receipt of signed Form RC-108	Pursuant to CGS §10a-155(b), a record of the immunization (measles, mumps, rubella, and varicella) must be part of the student's permanent record. The statute does not require the permanent retention of the certificate or other acceptable proof of immunization. DPH requires that the original doctor's certificate or other evidence of immunization be retained until the student leaves the school. For institutions that maintain a separate health facility, these certificates should be incorporated into the students' health records.
SS-550	Military Records	Consists of records that document the applicant's military history for enrollment purposes.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
SS-560	Placement Scores	Consists of records that document the applicant's placement test scores or reports.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	

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State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 9 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S5-570	Recruitment Records	Consists of records used to recruit the applicant. Including but not limited to: advertising, sales, and marketing materials.	3 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	Pursuant to 38 CFR §21.4209, Department of Veterans Affairs requires that recruitment materials (advertising, sales, or enrollment materials) be retained for 3 years from date of last enrollment.
S5-580	Residency Classification Forms	Consists of records that document residency status for tuition purposes.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-590	Transcripts	Consists of applicant's high school and other college transcripts.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
J. STUDENT DISCIPLINARY RECORDS					
S5-600	Disciplinary Files – Action Less Than Expulsion	Consists of records that document disciplinary actions resulting in an action less than expulsion. Including but not limited to: incident reports, correspondence, academic transcripts, witness statements, discipline history, and incident database.	5 years from date of resolution	Destroy after receipt of signed Form RC-108	Disciplinary actions should not be part of the academic record or transcript.
S5-610	Disciplinary Files – Expulsion	Consists of records that document disciplinary actions resulting in expulsion. Including but not limited to: incident reports, correspondence, academic transcripts, witness statements, discipline history, and incident database.	Permanent	Maintain in agency	
S5-620	Disciplinary Files – Recordings	Consists of audio / video recordings of disciplinary hearings.	Until end of appeals process	Destroy after receipt of signed Form RC-108	
S5-630	Student Honor Code Records	Consists of records that document the actions, findings and recommendations of student honor code / council hearings. Including but not limited to: hearing records and results.	3 years from end of academic year	Destroy after receipt of signed Form RC-108	

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State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 10 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
K. STUDENT FINANCIAL AID RECORDS					
Pursuant to the 1998 Amendments to the Higher Education Act of 1965 and Student Assistant General Provisions (34 CFR §668), Title IV institutions are required to maintain and retain records developed in compliance with the Campus Crime, Student Right-to-Know, and Athletic Participation / EADA disclosure requirements.					
S5-640	Student Financial Aid Records	Consists of campus-based aid (e.g., Federal Work Study, Perkins loan, and Supplemental Educational Opportunity Grants) and federal student financial aid programs records (e.g., Direct PLUS loans, Federal Family Education Loans, Pell grants, Stafford loans, and Ford Federal Direct Loans).	3 years from end of award year [34 CFR §668.24]	Destroy after receipt of signed Form RC-108	
L. STUDENT RECORDS					
S5-650	Absence Notices	Consists of records that document absence of student (e.g., medical emergency, jury duty, or religious observance).	Until end of semester	Destroy after receipt of signed Form RC-108	
S5-660	Academic Action Authorizations	Consists of records that document student dismissals and other related actions.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	See S5-600, S5-610, S5-620, and S5-630 for student disciplinary records.
S5-670	Academic Counseling Records	Consists of records that document academic counseling. Including but not limited to: group files, test results, peer group leader program, pre-professional student files, student history files, and tutor applications.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-680	Academic Progress Records	Consists of records that document student academic progress (department / school files). Including but not limited to: activity reports, copies of partial transcripts, evidence of date of graduation, and enrollment verifications.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-690	Academic Records, Student	Consists of records that document the student academic record. Including but not limited to: narrative evaluations and competency assessments.	Permanent	Maintain in agency	Although student records maintained by medical and dental schools are usually an assessment of student progress, such records are included in the same category as the academic record.
S5-700	Course Substitution Records	Consists of records that document requests for substitution of courses.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	

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State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 11 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S5-710	Credit by Examination Files	Consists of records that document placement test records and credit by examination records (e.g., CLEP).	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-720	Dissertations and Theses	Consists of dissertations and theses written in partial fulfillment of graduate or undergraduate degree requirements.	Permanent	Maintain in agency	Includes Ph.D. dissertations, M.A. theses, and B.A. Honors theses.
S5-730	Evaluations	Consists of evaluations by students of courses and instructors. Including but not limited to: completed evaluations, survey sheets of professors and/or courses, student comments, and faculty or course identifying materials.	1 year from end of semester	Destroy after receipt of signed Form RC-108	
S5-740	Final Grade	Consists of final grades, which contains names of all students officially registered for a course and their respective grade.	Permanent	Maintain in agency	
S5-750	Grade Change Records	Consists of records that document appeals of grades, requests to change grades, and grade review boards.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	Some indication that the grade has been changed must be retained permanently; see S5-740 for the final grade.
S5-760	Grade Books, Faculty	Consists of grade books maintained by faculty members.	5 years from end of semester	Destroy after receipt of signed Form RC-108	
S5-770	Grade Progress Reports	Consists of grade progress reports (reported by class).	No requirement	Destroy	
S5-780	Graded Coursework and Final Examinations	Consists of graded coursework and final examinations that were not returned to the student. Including but not limited to: assignments, exams, and papers.	No requirement	Destroy	
S5-790	Graduation Records	Consists of applications and related materials used to apply for graduation, forms to authorize graduation, and audits conducted to verify graduation.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-800	Hold or Encumbrance Authorization Records	Consists of authorizations to place or remove a hold or encumbrance from a student's account to prohibit the student from registering for classes, releasing transcripts, or delay reception of diplomas.	Until date hold or encumbrance released	Destroy after receipt of signed Form RC-108	The release should be noted on the student record.

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Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S5-810	Identification Card Records	Consists of records associated with the creation and maintenance of identification (ID) cards for students, faculty, and staff. Including but not limited to: applications, forms, photographs, and unclaimed ID cards.	Until date of graduation, date of last enrollment, or date of employee termination	Destroy after receipt of signed Form RC-108	
S5-830	Independent Study Records	Consists of records documenting independent study. Including but not limited to: request forms and authorizations.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
(S5-070)	Internship Records	Consists of records documenting internships, practicum, cooperative education, student teaching, and field experience.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-840	Major / Curriculum Records	Consists of forms and authorizations to declare a major, change a major, or to set up curriculum studies.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-850	Name Change Records	Consists of records that document authorizations of name change for current students.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-860	Personal Data Information Records	Consists of documents used to obtain personal information about the student, such as name, address, and phone number, for use by the institution.	Until superseded	Destroy after receipt of signed Form RC-108	
S5-870	Registration Records	Consists of records that document course registration (e.g., pass / fail, audit, credit, and no credit classes) and course changes (e.g., add, drop, and withdrawal).	No requirement	Destroy	
S5-880	Student Employment Records	Consists of employee file for student employees. Including but not limited to: applications, résumés, CVs, transcripts, and interview materials.	5 years from date of termination	Destroy after receipt of signed Form RC-108	Although state employee files are maintained for "Duration of employment plus 30 years," student employment files are maintained for "5 years from the date of termination" <i>except</i> that a record of the student's employment must be retained for longevity purposes.
S5-890	Transcripts, Official	Consists of students' undergraduate or graduate academic transcript.	Permanent	Maintain in agency	

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State Agencies' Records Retention/Disposition Schedule S5: Higher Education Records (Revised: 01/2010), Page 13 of 13

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S5-900	Transcripts, Requests for	Consists of requests and authorizations for copies of transcripts.	1 year from date of request	Destroy after receipt of signed Form RC-108	
S5-910	Transfer Credit Records	Consists of requests to transfer credit and authorizations or denials.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	

Appendix N: Record Retention and Acceptable Use Policy

Board for State Academic Awards

Acceptable Use Policy

Revised February 2011

Computer Hardware/Software and Electronic Communications

The Board for State Academic Awards (BSAA) Information Technologies System connects over fifty computers both on and off site. Network connectivity has many advantages such as electronic mail, Internet access, and file sharing. Our network is continuing to develop and constitutes an expensive and valuable resource. The capacity of this resource to fulfill all the legitimate administrative needs of staff is limited. Working in a networked environment requires that the users understand their responsibilities in order to protect the integrity of the system and the privacy of other users.

Information Technology resources shall be interpreted to include all BSAA computing and telecommunications facilities, equipment, hardware, software, systems, networks, and services which are used for the support of the teaching, research, and administrative activities of the organization. Authorized users are required to read, understand and comply with the terms and conditions set forth herein.

Hardware/Software

All computer hardware and software, whether proprietary or procured, are for the sole use of Charter Oak State College (College) and the Connecticut Distance Learning Consortium (CTDLC). Unauthorized uses of the Information Technologies system include but are not limited to the following:

- Copying any proprietary or procured software (Microsoft Windows, MS Office, etc.)
- Making software available to any unauthorized person
- Operating or storing any privately-owned software on state-owned computer equipment
- Attempting to capture or crack passwords
- Destroying or altering data or programs belonging to other users
- Accessing the files or directories of another user without authorization
- Entering or transmitting computer viruses or any form of intentionally destructive programs
- Intentional disruption of network services
- Connection of any device to the network or a workstation without permission (digital camera from home, personal laptop, etc.)
- Deliberately harming any piece of computer equipment

Staff is responsible for all actions taken using any computer logon ID assigned. Appropriate use of a logon ID includes proper password protection for the logon ID, not allowing anyone else to use the logon ID, not using someone else's logon ID, and not abusing the privileges granted to the logon ID. Do not remotely login to (or otherwise use) any workstation or computer not designated explicitly from public logins over the network-- even if the configuration of the computer permits remote access -- unless you have explicit permission from the owner and the current user of that computer to log into that machine.

Internet Responsibilities

Appendix N: Record Retention and Acceptable Use Policy

Although the Internet is a tremendous tool for work-related purposes it is not considered a secure environment. The Internet is to be used for professional purposes, information research, and for BSAA business matters. In addition, all access to the Internet is subject to being monitored or recorded.

The programs below are in violation of this policy and are no longer acceptable to use unless for explicit College business.

- No Spinner, Tunes.com, or any other "music over internet" type radios
- No Napster, Winmx, or Morpheus
- No AOL instant Messenger, MSN messenger, etc.
- No online shopping
- No personal e-mail
- Do not download/play movies, songs, games, pictures, etc.
- Do not connect to other e-mail accounts that you may have outside Charter Oak i.e. Hotmail, Yahoo, Att, etc.

Internet Usage of Names, Trademarks, or Logos

The College and CTDLC reserve the use of company trademarks, logos, and names. We do not endorse the use of College or CTDLC name for any activity on the Internet, such as the establishment of an unauthorized Internet site, which uses the company name or logo.

Data and System Security

The State of Connecticut has the right and a duty to protect its valuable computer resources and to restrict user access to uses that are strictly related to the users productivity. BSAA staff may monitor user accounts, files, and/or login sessions for appropriate management purposes. Such purposes include but are not limited to performing archival and recovery procedures, forensic investigation, etc. to evaluating system performance, and ensuring system integrity, security, or comply with State or Federal court orders.

- No institutional or personal data should be stored on the local computer (laptop or desktop), removable media (USB key, thumb drive, portable hard-drive). Data that is critical to the mission of the BSAA shall be located, or backed up, on centralized servers maintained by the institution. User network shared drives, departmental network shared drives, and organizational shared drives have been setup to facilitate the storage of confidential and secure BSAA information.
- All users should secure and maintain computer accounts, passwords, and other types of authorization in confidence, and inform the ITS department immediately if a known or suspected security breach occurs.
- Users should maintain confidential and other protected or proprietary data and information, particularly that prescribed by law and University policy, in accordance with appropriate security measures.
- Users accept full responsibility for any publication resulting from the use of computing resources and/or publishing Webpages and similar resources, and ensure that all copyrights and trademarks have been authorized for use.
- Where laptops are provided for users and when they are not in the physical BSAA, laptops should be stored in a secure, cool, dry place. Computer equipment should not be left unattended

Appendix N: Record Retention and Acceptable Use Policy

Electronic Communications (E-mail and Voice Mail)

E-Mail and Voice Mail have been established to assist employees in becoming more efficient and effective while performing their work. They must not be used for any communication that violates College policy, including, but not limited to, the transmission of unlawful, defamatory, discriminatory, offensive, or harassing messages, or information protected by copyright or could otherwise compromise the College or CTDLC.

Laws that apply in "the real world" also apply in the "virtual" networked computer world. Laws pertaining to libel, harassment, privacy, copyright, stealing, threats, etc. are not suspended for computer users, but apply to all members of society whatever medium they happen to be using. The institution's harassment policy extends to the networked world. Any member of the Charter Oak community who feels harassed is encouraged to seek assistance and resolution of the complaint. To report incidents of online harassment, see the Chief Financial & Administration Officer.

In addition, all electronic communications are considered the property of the State and are subject to being monitored or recorded. Always be aware that Voice Mail/E-mail messages may be heard, read, reprinted, and or forwarded to someone other than the original receiver.

Unauthorized uses of the Electronic Communications System include, but are not limited to, the following:

- Development and/or transmitting of chain letters
- Development and/or transmitting of commercial advertisements or solicitations
- Development and/or transmitting of political campaign material
- Development and/or transmitting of off-color or sexually explicit jokes
- Intercepting and/or otherwise monitoring any network communications not explicitly intended for you

We recognize that as "receivers" of messages it is impossible to eliminate all non-business e-mail. We ask users to reply to all non-business users with a statement asking to be removed from the mailing distribution list. In addition, we encourage personnel to respond by forwarding a personal e-mail address for continued communications. Free e-mail accounts are available from both yahoo.com and hotmail.com.

Initiators or "senders" of messages, forwarders, or relayers are held to a higher standard. Email Abuse is an abuse of mail facilities and not necessarily abuse on the Internet. Email abuse includes, but is not limited to, bulk (or broadcast) e-mail, commercial e-mail, or unsolicited e-mail that is non-business related.

The intent of this policy is to characterize uses that are consistent with the purposes of the BSAA and uses that are irresponsible or illegal. Unacceptable use can be defined generally as activities that do not conform to the purpose, goals, and mission of the BSAA and to each user's job duties and responsibilities. The examples outlined above do not exhaust all possible uses. The Chief Information Officer of the BSAA will make determinations that other uses are or are not consistent with the purposes of the policy. Final authority for the *Acceptable Use Policy* lies with the Executive Director of the BSAA.

Any electronic mail usage in which acceptable use is questionable should be avoided. When in doubt, seek policy clarification with the Chief Information Officer prior to pursuing the activity. Should a violation of this policy occur, the individual who committed the violation is liable for his/her actions.

Appendix N: Record Retention and Acceptable Use Policy

Violations that cause serious disruptions or damage may result in disciplinary action up to and including termination. This policy applies to all BSAA employees and, in the case of bargaining unit members, is subject to the relevant contract sections (i.e. Article 11).

All users wishing to use the State internal networks, or multi-user systems that are connected to the State internal networks, must sign a compliance statement.

Additional Responsibilities for Remote Users or Users using the Virtual Private Network (VPN):

The BSAA Network Team will install the VPN client and hardware encryption software on your laptop prior to your receipt of the laptop. In addition, the network team will provide an informal training on how to connection to the BSAA network via the VPN software. The informal training will include some configuration as well as basic troubleshooting information. Users that leverage the VPN solution to provide work at home access should be reminded of the below issues concerning the usage and storage of BSAA computing resources outside of the BSAA offices.

Confidential Data: No institutional or personal data should be stored on the local computer (laptop or desktop), removable media (USB key, thumb drive, portable hard-drive). Data that is critical to the mission of the BSAA shall be located, or backed up, on centralized servers maintained by the institution. User network shared drives, departmental network shared drives, and organizational shared drives have been setup to facilitate the storage of confidential and secure BSAA information.

Anti-Virus: Check daily to insure your anti-virus software is up-to-date. The anti-virus on your computer will be configured one of two ways. The first method is your computer receives virus definitions from the BSAA anti-virus console server or your machine may be configured to retrieve definitions directly from our software vender via automatic internet downloads. IT staff will make you aware of your configuration but regardless of the configuration it is your responsibility keep you anti-virus current. In addition, you should be familiar enough with the interface to perform manual anti-virus scans as needed. In the informal training you will be instructed on how to keep you anti-virus definitions current. Please note, ninety percent of the time virus definition updates are performed automatically.

Passwords: Various programs (e.g., email programs, web browsers, etc.) can be configured to save user name and password information. This can be convenient for you, but if you share your computer with others, they will also have access to your accounts. Additionally, if your computer is lost or stolen, then the saved account passwords are now compromised. The informal training will provide further instruction.

End of Day Procedures: Logout of finished sessions and lock computer when left unattended: Windows XP has the ability to lock and password-protect the screen and system so that an unauthorized person with physical access cannot tamper with your computer. Every time you leave your computer logout of the session if you no longer need access to the computer, press CONTROL + ALT + DEL and select the lock computer option and/or enable password-protected screensaver to lock your computer. The password-protected screensaver should be set for 5 minutes or less. The informal training will provide further instruction.

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Physically secure your machine: Never assume any location is completely secured, even if the location is restricted via a locked door. There is almost always a way for someone to get to a restricted area. Never leave an unsecured laptop computer unattended.

Appendix N: Record Retention and Acceptable Use Policy

Acceptable Use of State Systems Policy

Acknowledgement of Receipt

I, _____, have received a copy of the BSAA
(Please print or type full name)

Acceptable Use of State Systems Policy and understand as a user of the BSAA Information technology equipment, I am responsible for adhering to this policy.

Signature

Date



**NEW ENGLAND ASSOCIATION OF SCHOOLS AND COLLEGES
COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION**

209 Burlington Road, Bedford, MA 01730

Voice: (781) 271-0022 Fax: (781) 271-0950 Web: <http://cihe.neasc.org>

AFFIRMATION OF COMPLIANCE WITH FEDERAL REGULATIONS RELATING TO TITLE IV

Periodically, member institutions are asked to affirm their compliance with federal requirements relating to Title IV program participation, including relevant requirements of the Higher Education Opportunity Act.

- 1. Credit Hour:** Federal regulation defines a credit hour as an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutional established equivalence that reasonably approximates not less than: (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or (2) At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours. (CIHE Policy 111. See also *Standards for Accreditation* 4.34.)

URL	http://www.charteroak.edu/Prospective/New/FAQ.cfm#online COSC Resource Page in each course shell
Print Publications	Guidelines for Course Development, College Catalog

- 2. Credit Transfer Policies.** The institution's policy on transfer of credit is publicly disclosed through its website and other relevant publications. The institution includes a statement of its criteria for transfer of credit earned at another institution of higher education along with a list of institutions with which it has articulation agreements. (CIHE Policy 95. See also *Standards for Accreditation* 4.44 and 10.5.)

URL	http://www.charteroak.edu/community-college/transfer-agreement.cfm http://www.charteroak.edu/Current/Academics/EarningCredits/RegionallyAccreditedColleges.cfm
Print Publications	College Catalog

- 3. Student Complaints.** "Policies on student rights and responsibilities, including grievance procedures, are clearly stated, well publicized and readily available, and fairly and consistently administered." (*Standards for Accreditation* 6.18, 10.5, and 11.8.)

URL	http://www.charteroak.edu/PDF/Official%20Catalog.pdf COSC Resource Center in each course shell has the grade appeal process Online Student Handbook is underdevelopment. Should be done next week. Replaces paper copy. http://www.charteroak.edu/current/sfa/policies.cfm for FA appeals
Print Publications	Catalog, Student Handbook

- 4. Distance and Correspondence Education: Verification of Student Identity:** If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit. . . .The institution protects student privacy and notifies students at the time of registration or enrollment of any projected additional student charges associated with the verification of student identity. (CIHE Policy 95. See also *Standards for Accreditation* 4.42.)


Method(s) used for verification	Unique password and identifier; Acxiom identification software There is no charge to the students. Students are notified that we use
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	Axiom. We adhere to FERPA guidelines. We only correspond with the students via their Charter Oak e-mail.
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5. FOR COMPREHENSIVE EVALUATIONS ONLY: Public Notification of an Evaluation Visit and Opportunity for Public Comment: The institution has made an appropriate and timely effort to notify the public of an upcoming comprehensive evaluation and to solicit comments. (CIHE Policy 77.)

URL	
Print Publications	

The undersigned affirms that Charter Oak State College meets the above federal requirements relating to Title IV program participation, including those enumerated above.

Chief Executive Officer:  Date: 8/11/11

