



Teaching Faculty Handbook

2016-2017

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INTRODUCTION TO CHARTER OAK STATE COLLEGE

About Charter Oak State College

Charter Oak State College is governed by the Connecticut Board of Regents, and accredited by the Connecticut Board of Governors for Higher Education and the New England Association of Schools and Colleges. Charter Oak State College is a Servicemember Opportunity College. The purpose of Charter Oak State College is to serve those individuals who cannot or do not choose to complete a college degree program through conventional means, often because of family, job or financial responsibilities.

Governance

Charter Oak State College is one of the seventeen constituent units of the Board of Regents. The Board is comprised of 15 voting members with nine appointed by the Governor, four appointed by legislative leadership, of whom one is a specialist in K-12 education. Also serving on the Board as full voting members are the chair and vice-chair of the Student Advisory Committee. Funding comes from three sources: state appropriations, tuition and fees, voluntary contributions of individuals, foundations, and the corporate community.

History

The Connecticut General Assembly created the Board for State Academic Awards in 1973. In 1980, the Board received legislative authorization to designate its degree program as a college. The name chosen, "Charter Oak College," commemorated an early success in Connecticut's struggle for self-governance and was particularly suited to a public institution in what is popularly known as the Constitution State. In 1992, the name was changed to Charter Oak State College to facilitate recognition that the College was part of the state system of public higher education. In 2009, the State statute was changed to grant Charter Oak State College authority to offer master's degrees. In 2011, the Connecticut Legislature reorganized the state system of higher education, combining the twelve community colleges, the four state universities, and Charter Oak State College under one governing board called the Board of Regents.

Mission

As part of the Connecticut State Colleges & Universities (ConnSCU) system, Charter Oak State College, the state's only public, online, degree-granting institution, provides affordable, diverse and alternative opportunities for adults to earn undergraduate and graduate degrees and certificates. The College's mission is to validate learning acquired through traditional and non-traditional experiences, including its own courses. The College rigorously upholds standards of high quality and seeks to inspire adults with the self-enrichment potential of non-traditional higher education.

Role and Scope

As a nontraditional college, Charter Oak is designed to provide adults with 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 State College, 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 on ground 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 instructors 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 Credential Evaluation, 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.

Degree Offerings

Charter Oak State College is authorized to offer four undergraduate degrees and one graduate degree: Associate in Arts, Associate in Science, Bachelor of Arts, Bachelor of Science and a Master of Science. In addition to the majors in general studies, there are Bachelor of Science majors in business administration, cyber security, health information management, health care administration, and psychology. Currently, the only master's degree is in Organizational Effectiveness and Leadership. Degrees are awarded by the governing board, the Board of Regents, upon the recommendation of appointed core consulting faculty. This recommendation is based on the faculty's formal evaluation of transfer credit, non-collegiate instruction and portfolios; results of approved examinations; evaluation of Charter Oak State College courses; and other procedures by which they assess and validate academic learning.

Educational Philosophy

Charter Oak State College holds a unique place in American higher education. It pioneered the development of an alternative to the traditional college model. Instead of viewing college as a residential experience in which young adults mature intellectually and personally under the tutelage of faculty in a prescribed curriculum, Charter Oak State College developed an innovative distance learning program for adult learners that affords them the opportunity to apply towards a college degree the learning they acquired through life. Charter Oak's degree program model recognizes the characteristics of adult learners, honors the traditions of liberal education, and prepares students to apply knowledge in their daily lives.

The Charter Oak State College institutional philosophy asserts that:

- college level learning can be acquired anywhere, anytime, and in many ways;
- such learning can be assessed;
- when assessed, it should be accredited via appropriate means;
- learning is effectively enhanced via collaborative interaction with faculty and peers; and advisement is critical to student success

Charter Oak State College students can earn their credits in many different ways, and students come to Charter Oak State College having earned numerous credits. Since the average age of the Charter Oak State College student is around 40 years old, Charter Oak State College students have already acquired many of the skills necessary to succeed in life, such as being a responsible citizen, the ability to work with others, and the ability to

work independently. Therefore, the General Education requirements at Charter Oak State College build upon these skills. The General Education requirements emphasize the liberal arts and the skills necessary to enable students to succeed in their profession, be good citizens, and to continue as lifelong learners and meet the standards of both its state and regional accrediting associations.

Charter Oak State College believes that its students should be liberally educated, as evidenced by the 60-credit liberal arts requirement for a Bachelor of Science degree and the 90-credit liberal arts requirement for a Bachelor of Arts. The liberal arts component of the General Education requirement helps students:

- acquire knowledge of American history and the history and culture of another country;
- gain an understanding of what it means to be a part of a global and diverse society;
- acquire the ability to use scientific and mathematical inquiry to solve problems;
- learn how the arts and humanities enhance our lives; and
- understand how the social sciences and behavioral sciences explain past endeavors and guide future efforts at living together in political, economic and cultural communities

The General Education program is also designed to help students enhance specific skills and knowledge:

- to think critically;
- to communicate effectively;
- to use information literacy in conducting research; and
- to make ethical decisions

These skills are infused in a number of the liberal arts courses and in courses required for the concentration or major.

**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. In 2011, Charter Oak State College became part of the Connecticut State College and University System under the Board of Regents (BOR). The Board of Regents for Higher Education was established by the Connecticut General Assembly in 2011 (via *Public Act 11-48* as amended by *Public Act 11-61*) bringing together the governance structure for the Connecticut State Universities, Connecticut Community Colleges and Charter Oak State College.
- Section 2.** All diplomas or certificates signifying admission to an academic degree conferred by Charter Oak State College shall be authenticated by placing thereon the official seal of the Board together with the signatures of the President of the Board or Regents (BOR), Chair of the BOR, 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 Faculty
 - d. The Students
 - e. The Alumni
- Section 2.** **The Governing Board**
- The governing board of the College shall be the Board of Regents consisting of fifteen voting members: nine appointed by the Governor, four appointed by legislative leadership, of whom one is a specialist in K-12 education. Also serving on the Board as full voting members are the chair and vice-chair of the Student Advisory Committee. Six non-voting, ex-officio members include the Commissioner of the Department of Education, Commissioner of the Department of Economic and Community Development, Commissioner of the Department of Labor, Commissioner of the Department of Public Health, and the Chair and Vice Chair of the Faculty Advisory Committee.

Section 3. The President and the Officers of Administration

The President shall be hired by the Board of Regents. The Officers of Administration shall be hired by the College.

Section 4. The Faculty

The College has three classifications of faculty: Core Faculty, Special Assessment Faculty, and Teaching Faculty. As provided by statute, there is no full-time faculty.

Section 4a. Core Faculty

They shall have no full-time teaching or administrative duties at Charter Oak, 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 regionally accredited, degree granting institutions in Connecticut and appointed in consultation with the Academic Council by the President or his/her designee (See below, ARTICLE V, Faculty). Specific duties are outlined in the Faculty Handbook.

Section 4b. Special Assessment Faculty

They shall have no full-time teaching or administrative duties at Charter Oak 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 or Teaching Faculty, appointees shall be selected primarily from the teaching faculties at other regionally accredited two and four year institutions. They may be hired from outside of Connecticut, if needed. Specific duties of the Special Assessment Faculty are further delineated in the Faculty Handbook. Special Assessment faculty members are appointed by the Provost or his/her designee.

Section 4c. Teaching Faculty

The members of the Teaching Faculty are hired by the Provost or his/her designee. 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 non-matriculated 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 administration. 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 President presides over the College. The President is authorized to designate Officers of Administration including the Provost, Vice Presidents, Deans, and their assistants. The Provost is the chief academic officer of the College, reports directly to the President, and serves as the leader of the College in the President's absence.

Section 2. Institutional Structure

The institutional structure shall be approved by the BOR at the recommendation of the President of the College. The Academic Council shall be consulted by the President or Provost regarding the organization of the Faculty.

ARTICLE V

Faculty

Section 1. Duties and Responsibilities

The duties and responsibilities of the 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 Faculty shall be professional expertise and skill in academic functions.
- b. Although faculty are considered employees for reporting purposes, 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 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 and Teaching Faculty, or if the expertise doesn't exist in the subject area needed, from other regionally accredited colleges and universities and/or from professional sources of content area expertise.
 - 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 gender 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 Faculty of the College as a Core Faculty member shall be made by the President or his/her designee upon consultation with the Academic Council and Provost.

Appointment and reappointment as a Special Assessment Faculty member shall be made by the Provost or his/her designee.

Teaching Faculty shall be hired by the Provost or his/her designee. Reappointment is based on need and performance.

Section 4. Special Assessment Faculty

- a. Members appointed on a contingent basis for advisory and/or evaluative services 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. Appointments are for a specific assessment project.

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 Chair of the specific core faculty committee, the Dean of the Faculty, and the Provost or his/her designee. All 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. If a Core Faculty member retires, he/she may finish out his/her term of appointment. If the retiree is still teaching for Charter Oak, he/she would be eligible to serve on the Distance Education committee.
- c. Reappointment of a Core Faculty Member is considered by the President or his/her designee 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, assessment projects, 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 30th 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 Education
 - ii. Assessment
 - iii. Graduate Programs
- c. Each Academic Committee, having responsibility for a specified subject-matter area, shall be authorized to conduct validation procedures within its area of competence and recommend academic policy to the Academic Council.
- d. The Program Committees having responsibility for distance learning and assessment shall be authorized to develop policies and procedures for the programs under its direction and to recommend same to the Academic Council for approval. The Graduate Committee will recommend policies for all graduate programs regardless of major.
- e. The Academic or Program committees may appoint subcommittees as needed.
- f. Any action requiring a vote of the Academic or Program committees needs to be sent to the committee prior to the vote, ideally it should be discussed, in person or electronically, one meeting before the vote takes place. If the action taken requires approval of the Academic Council, the chair of the appropriate Academic or Program committee will request that it be placed on the Academic Council agenda for discussion and then for vote.
- 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 Education 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 voting members of the Academic Council.

- h. One member of each program committee shall be a college staff member appointed by the President or his/her designee for a term of two years. Terms can be renewed.

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 Associate in Arts, Associate in Science, Bachelor of Arts, Bachelor of Science, and Master of 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.

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 President or his/her designee in consultation with the Academic Council.
- 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. At the Annual Meeting of the Academic Council, usually in June or July, the President or his/her designee 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 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 by the President or Provost following consultation with the Academic Council. The revised By-Laws will be sent to the BOR.

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, 1999.

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.

Amended by action of the Academic Council at a meeting on March 25, 2015.

Amended by action of the Academic Council via email August 1, 2016.

Policy of Nondiscrimination

Charter Oak State College recognizes its responsibility to the principles of affirmative action and equal opportunity and is committed to carrying out these principles with diligence and conviction. Charter Oak State College is committed to acknowledging the worth of all persons within the higher education community, to promoting pluralism and to seeking an end to acts of intolerance. The promotion of racial, religious and ethnic pluralism is a responsibility of all individuals within the Charter Oak State College community. Acts of violence and harassment reflecting bias or intolerance of race, religion, gender, sexual orientation, disability, and ethnic or cultural origins are unacceptable and Charter Oak State College will take corrective action if such acts of violence or harassment occur. Charter Oak State College does not discriminate on the basis of race, color, ethnic or national origin, sex, sexual orientation, gender identity, religion, age, ancestry, disability, military status, veteran status, or other non-merit reasons, in admissions, educational programs or activities and employment, and complies with all applicable federal and state laws regarding nondiscrimination and affirmative action, including Title IX of the Education Amendments of 1972 and Section 504 of the Rehabilitation Act of 1973, Title VII of the Civil Rights Act of 1964 and the Elliott-Larsen Civil Rights Act. Title IX of the Education Amendments of 1972 is a federal law that prohibits sex discrimination in education. It reads: *"No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance."*

--Legal Citation: Title IX of the Education Amendments of 1972, and its implementing regulation at 34 C.F.R. Part 106 (Title IX) Sex discrimination includes sexual harassment, sexual assault and other forms of sexually motivated misconduct (See "Sexual Misconduct Reporting, Support Services and Processes Policy"). If you are a student who has a question or complaint regarding the nondiscrimination policies, please contact:

Cliff Williams, Title IX Coordinator for Students
860-515-3760
cwilliams@charteroak.edu
85 Alumni Road
Newington, CT 06111

If you are an employee of Charter Oak Staff College and you have question or complaint regarding the nondiscrimination policies, please contact:

Shirley Adams, Title IX Coordinator for Staff
860-515-3836
sadams@charteroak.edu
55 Paul J. Manafort Dr.
New Britain, CT 06053

Inquiries regarding the application of the federal nondiscrimination policy may be referred to the Coordinator or the Assistant Secretary for Civil Rights, U.S. Department of Education, Washington, DC 20202, or the Regional Director, U.S. Department of Education, Office for Civil Rights, J.W. McCormack Post Office & Courthouse Building, Room 222, Boston, MA 02109.

Student Code of Conduct

When a student ignores or fails to act in accordance with local, state, and federal laws and regulations or Charter Oak State College policies, the Board of Regents and Charter Oak State College have the obligation and right to institute appropriate disciplinary action. Students whose conduct is determined to be unacceptable will be subject to sanctions, following due process, which are commensurate with the gravity of the offense and in the best interests of the College community. Sanctions may include suspension or expulsion.

Charter Oak State College recognizes its responsibility to the principles of affirmative action and equal opportunity and is committed to carrying out these principles with diligence and conviction. Charter Oak State College shall ensure that no person is excluded from participating in, denied benefits of, or otherwise discriminated against under any program because of race, color, gender, sexual orientation, national origin, religion, age, disability or marital status.

Please review the [BOR/CSCU STUDENT CODE OF CONDUCT](#) approved in April 2014. Students must abide by both the BOR/CSCU and Charter Oak codes of conduct.

Section 1: Policy Statement

The Board adopted this policy on student discipline for Charter Oak State College in recognition of the need to preserve the orderly process of the College, as well as to observe the student's procedural and substantive rights. Affirmative action grievances are administered by the College's Affirmative Action Officer.

The Student Code of Conduct applies to matriculated and nonmatriculated students, including those participating in portfolio assessment, credential evaluation, testing, or contract learning. Jurisdiction of the College: Generally, College jurisdiction shall be limited to student conduct that occurs while students are taking Charter Oak State College courses or availing themselves of Charter Oak State College services. This also applies to misrepresentation of records from other institutions. However, if a matriculated Charter Oak State College student is found guilty of student misconduct at another institution, the student may be subject to disciplinary action at Charter Oak State College.

Section 2: Proscribed Conduct

Conduct Rules and Regulations: As members of the College community, students have an obligation to uphold The Student Code of Conduct as well as to obey federal, state, and local laws. The following list of behaviors is intended to represent the types of acts that constitute violations of The Student Code of Conduct. This list should not be regarded as all-inclusive. Charter Oak State College may discipline a student in the following situations:

1. For knowingly making a false statement, either orally or in writing, including e-mail transmission, to any employee or agent of the College with regard to a College-related matter, including using a false identification or failing to provide identification upon request by security or College officials, or providing false information on the admissions application.
2. For forging, altering, or otherwise misusing any College document or record.
3. For academic dishonesty, which shall in general mean conduct that has as its intent or effect the false representation of a student's academic performance including but not limited to: (a) cheating on an examination; (b) plagiarizing, including the submission of another's ideas or papers as one's own; (c) stealing or having unauthorized access to examinations; (d) falsifying records, transcripts, test scores or other data; or (e) being represented by another individual for all or part of a distance learning course or examination (*See Academic Appeals and Academic Honesty Policy.*)
4. For the theft, misuse, abuse or unauthorized use of computers, computer programs or files; unauthorized alteration of computer programs or files; unauthorized duplication of computer programs or files; or other deliberate action which disrupts the operation of computer systems servicing the College community.
5. For conduct that damages or destroys, or attempts to damage or destroy, College property or property of others on College or College-related premises.
6. For unauthorized possession or attempted possession of College property or property of a member of the College community.
7. For acts which violate regulations of College rules.
8. For actual or threatened physical assault or intentional or reckless injury to Charter Oak State College faculty, students, College property or oneself.
9. For offensive or disorderly conduct which causes interference, annoyance, or alarm, or recklessly creates a risk thereof on College or College-related premises, College web or social media sites, at a College-sponsored

activity or in College courses; including cyberbullying. This offense does not apply to speech or other forms of constitutionally protected expression.

10. For interfering with the freedom of any person, including invited speaker, to express his/her views.
11. For lewd, obscene conduct or expression. That which is obscene shall be defined under Connecticut General Statute Section 53a-193.
12. For possession, sale, use, transfer, purchase or delivery of illegal or controlled substances on College or College related premises except as expressly permitted by law.
13. For possession or use of firearms, fireworks, dangerous weapons, or possession of dangerous chemicals on College or College-related premises when not authorized.
14. For starting fires, and/or explosions, and/or false reporting of a fire, bomb, incendiary device, or other explosive or any false reporting of an emergency on College or College related premises.
15. Violation of any restrictions, conditions, or terms of a sanction resulting from prior disciplinary actions.
16. Abuse of the College disciplinary system, including but not limited to:
 - Interference with the conduct of a disciplinary proceeding
 - Intentionally providing false or misleading information to a disciplinary body
 - Influencing or attempting to influence another person to commit an abuse of the disciplinary system
 - Failure to comply with a sanction or with an administrative agreement.

Section 3: Rights and Responsibilities of Hearing Participants

Hearing participants may include the accused student(s), a complainant, witnesses, support person(s), and the members of the hearing body. The complaining party, any alleged victim and the student who has been charged shall each have the right to:

1. Be notified of all charges.
2. Review any written complaint(s) submitted in support of the charge(s).
3. Be informed of the hearing process.
4. Request a delay of a hearing due to extenuating circumstances.
5. Be accompanied by a support person during the hearing.
6. Be present at all stages of the hearing process except during the private deliberations of the hearing body.
7. Submit a written statement regarding the incident.
8. Give a personal statement.
9. Question all statements and other information presented at the hearing.
10. Present information and witnesses when deemed appropriate and relevant by the hearing body.
11. Be informed of the finding(s) as well as any sanctions imposed.
12. Present a personal or community impact statement to the hearing body upon a finding of "Violation."

In addition to the above-mentioned rights, a student who has been charged with a violation of the Student Code of Conduct shall have the right to:

1. Be notified of the proposed information to be presented and to know the identity of witnesses who have been called to speak at the hearing when the Chair of the disciplinary hearing knows such information.
2. Request an alternate hearing panel member when there is reasonable cause to believe that the hearing panel will be unable to conduct an impartial hearing.
3. Be presumed not to be in "violation" of the code unless the facts presented at the hearing prove otherwise.
4. Deny or admit violating the Code of Conduct.

5. Decline to give a personal statement.
6. Present character witnesses, if appropriate.
7. Receive a written notice of the sanction(s) imposed.

Section 4: Disciplinary Procedures

The Administration and the Faculty of Charter Oak State College believe that all members of the academic community are entitled to expect compliance with Section 2: Proscribed Conduct. Accordingly, any student or employee of the College may initiate a disciplinary process in the manner specified by this section.

Once the process has been initiated, as provided in paragraph A below, all subsequent decisions concerning possible discipline of a student or students rest with the appropriate College officials. The President shall designate the Provost or another College official to have responsibility for the disciplinary procedures detailed in subsections (A) through (E), inclusive.

1. A statement of possible violation must be filed in writing with the Provost within thirty (30) business days of the date of the alleged violation or within thirty (30) business days of the date the alleged violation was known. Said statement must specify the student conduct in question and the part or parts of Section 2: Proscribed Conduct, which it is alleged said conduct violates, if applicable.
2. If the Provost determines that the alleged conduct may violate the provisions of the Section 2: Proscribed Conduct or otherwise threatens the safety or order of the College, the Provost shall, within ten (10) business days of receiving a written statement under section 4 A above, provide written notice to the student of the statement of possible violation(s) and the fact that the allegations will be investigated. The investigation shall be conducted by the Provost and/or his or her designee(s), and may include but not be limited to interviews with witnesses, the complainant(s), and review of any pertinent materials and information, and shall include an interview with the student suspected in engaging in the proscribed conduct unless the student suspected declines to be interviewed. The investigation shall be completed within thirty (30) business days of the Provost's receipt of the written statement of possible violation under Section 4 A. A record of the investigations will be maintained.
3. Following completion of the informal investigation specified above, the Provost will (a) determine that there is insufficient basis in fact and dismiss the matter or (b) conclude that there is a sufficient factual basis for discipline.
4. If the Provost determines there is a sufficient factual basis for moving forward with disciplinary proceedings, he or she shall cause a written statement of charges to be provided to the student. Said statement shall contain (a) a concise statement of the facts on which the charge is based; (b) a citation of the rule or rules alleged to have been violated; (c) a statement of the maximum penalty sought; (d) a statement that the student may request a hearing by responding in writing to the Provost within thirty (30) business days requesting such hearing; and (e) a statement that failure to request a hearing may result in imposition of the penalty sought.
5. If the student requests a formal hearing under Section 4 D, the student is entitled to the following: (a) a hearing be conducted within thirty (30) business days after receipt by the Provost of a written request for a hearing; (b) to be heard by an impartial panel chaired by the Dean of the Faculty or his/her designee and composed of no fewer than two members of the Charter Oak State College Faculty appointed by the Dean of the Faculty and one student appointed by the Student Association; (c) to appear in person or through a conference call or other mutually agreed upon electronic means, or to have a representative attend on his/her behalf; (d) be accompanied by a support person during the hearing; (e) to hear and have a reasonable opportunity to question adverse witnesses and to present evidence and testimony in his/her behalf; and (f) to receive a written decision within ten (10) business days following the hearing specifying the panel's findings and the penalty assessed, if any. The hearing shall be taped and a record shall be maintained of this hearing. See Section 7.
6. Hearing: A hearing shall be conducted following the guidelines specified below:

On-site:

1. A hearing shall be conducted in private.
2. Admission of any person into the hearing room shall be at the discretion of the chair of the hearing body. The chair, who is the Dean of the Faculty or his/her designee, shall have the authority to discharge or to remove any person whose presence is deemed unnecessary or obstructive to the proceeding.
3. Except as directed by the chair, support persons shall limit their role in a hearing to that of a consultant to the accused, to the complainant or to the victim.
4. The complainant and the accused are responsible for presenting their respective witnesses, any additional information, and any concluding statements regarding the charges and the information.
5. In a manner deemed appropriate by the chair, the complainant and/or the accused may question the statements of any person who testifies.
6. The hearing panel may question any witness presented by the accused and the complainant, including the complainant and the accused, as well as any other witnesses the chair may choose to call.
7. Pertinent records, exhibits, and written statements may be accepted as information for consideration by the hearing body at the discretion of the chair.
8. All procedural questions are subject to the final decision of the chair or the Provost.
9. After the hearing has concluded, the hearing panel, in private, will decide whether the student charged with misconduct is in violation of the Student Code of Conduct. The Dean of the Faculty or his/her designee may participate in the discussion, but is a non-voting member. Only evidence introduced at the hearing shall be considered in the determination of the decision. Each decision shall be made on the basis of whether or not the information presented at the hearing substantiates the charges in a clear and convincing manner.
10. If the panel finds that the student violated the Student Conduct Code, the panel, in private, shall review the student's academic transcript and disciplinary record, hear character witness, if appropriate, and impose the appropriate sanction (s). The decision of the panel will be provided in writing to the Provost. The decision and sanction will be sent to the student in writing by the Provost.
11. A taped record of the hearing will be maintained. See Section 7. The record shall be the property of the College.

Via the Phone:

1. For the accused or complainant who cannot attend in person, Charter Oak State College will set up a conference call.
2. Twenty-one (21) business days before the hearing, the Provost must receive all materials to be presented by the accused and by the complainant, including the names and relationships of the character witnesses and support persons. The Provost will send copies of the materials to the hearing panel, the accused, and the complainant at least seven (7) business days before the hearing. The Provost will arrange for the conference call.
3. The procedures outlined in the "on- site" section will be followed, unless they specifically apply only to the on-site hearing.
4. Within ten (10) business days of the conclusion of the formal hearing, a student may appeal the decision, in writing, to the President. An appeal shall be limited to a consideration of the verbatim record of the hearing and supporting documents for one or more of the following: a.) the process set forth in the guidelines was not

followed and resulted in prejudice to the student; b.) the evidence presented was insufficient to justify the decision; and c.) sanction(s) imposed was/were disproportionate to the gravity of the offense. The President may accept the decision of the hearing panel, overturn their decision, return the matter to the original hearing panel, or appoint a new hearing panel. The hearing procedures outlined in Sections 4E and F will be followed. The decision of the original hearing panel or the new hearing panel or the President will be sent to the student in writing by the President and will be final.

5. During any appeal period, any sanctions will remain in place and the student will not be allowed to participate in a graduation ceremony nor graduate until the review process has been completed and a final decision rendered.

Section 5: Interim Administrative Action

The President or his/her designee may impose an interim "College Suspension" and/or other necessary restrictions on a student prior to a hearing on the student's alleged violation.

Such action may be taken when, in the professional judgment of the President or his/her designee, a threat of imminent harm to persons or property exists. Interim Administrative Action is not a sanction. It is rather action to protect the safety and well-being of an accused student, or other members of the College community or greater community or to protect property. Such action is in effect only until a hearing is completed.

Section 6: Disciplinary Penalties

Disciplinary penalty shall mean any action affecting the status of an individual as a student taken by the College in response to a student's proscribed conduct in violation of Section 2 above, which penalties shall include but not be limited to:

1. Warning--A written notice that the student has violated College policy and a warning that another violation will likely result in a more severe sanction.
2. Restitution--Compensation for loss of or damage to property.
3. Academic Sanctions: Outlined in Section 4.
4. Suspension. Suspension is a temporary disciplinary separation from the College involving denial of all student privileges, including entrance to College premises. A notation of "suspension" will be placed in the student database but will not be placed on the student transcript. Charter Oak State College will not accept credits earned at another institution or through any other means during a period of suspension. Suspensions shall range from one semester to two years.
5. Students who are suspended will receive no refund of tuition or fees.
6. A student who has been suspended must apply to re-matriculate if he/she plans to return.
7. Expulsion. Expulsion is mandatory separation from the College involving denial of all student privileges, including entrance to college premises for a minimum of 5 years. After the length of the term for expulsion has expired, the student may request in writing directed to the Provost permission to re-matriculate. That permission must indicate why Charter Oak State College should allow the student to return.
8. Charter Oak State College will not accept credits earned at another institution or through any other means during a period of expulsion. A permanent notation of "Dismissed" shall be placed on the student's transcript. Failure to comply with requirements of B and C of this Section will result in dismissal from the institution. The student must complete the requirements of the sanction before he/she would be allowed to apply for readmission and/or graduate.

Section 7: Maintenance and Review of Disciplinary Records

A student's disciplinary record will be maintained by the Provost separately from any other academic or official

files. Disciplinary actions will not be a part of the student's academic transcript, unless the student is expelled. Generally, information from the disciplinary record is not released without the written consent of the student. However, certain information may be provided to individuals within or outside the College who have a legitimate legal or educational interest in obtaining it (Family Educational Rights and Privacy Act of 1974, as amended).

Disciplinary records will be destroyed seven (7) years after the student graduates or seven (7) years after the student ceases attending. The disciplinary record of an expelled student shall be retained indefinitely.

Section 8: Definitions

This list is not intended to be all-inclusive. If there are other terms in the Student Code of Conduct that require interpretation or clarification, the Provost shall make the final determination.

1. "College" means Charter Oak State College.
2. "Student" means any matriculated student or student using the services provided by the College.
3. "Instructor" means any person providing education services for Charter Oak State College (teaching, tutoring, evaluating portfolios, program proposals, etc.).
4. "Staff" means any non-faculty employed by the College.
5. "College official" means any person employed by the College to perform administrative, instructional, or professional duties.
6. "College premises" means all land, buildings, facilities and other property in the possession of or owned, used, or controlled by the College, either solely or in conjunction with another entity.
7. "Designee" means a staff or faculty member who has been delegated responsibility for implementing the disciplinary process, in part or whole.
8. "Hearing panel" means the committee that has been assigned to determine whether a student has violated The Student Code of Conduct.
9. "Support person" means any person who accompanies an accused student, a complainant, or a victim to a hearing for the limited purpose of providing individual consultation. A support person may not directly address the hearing body, question witnesses, or otherwise actively participate in the hearing process.
10. "Business Day" means any day, Monday through Friday, that the College is open.
11. "Shall" and "Will" are used in the imperative sense.
12. "May" is used in the permissive sense.
13. "Policy" is defined as the written regulations, standards, and the student conduct expectations adopted by the College and found in, but not limited to The Student Handbook and College website.

Adopted: September 13, 1990
Amended: November 16, 2000
Amended: May 20, 2004
Amended: July 26, 2007
Amended: May 26, 2011
Amended: July 1, 2012

**BOARD OF REGENTS FOR HIGHER EDUCATION
AFFIRMATIVE ACTION
POLICY STATEMENT**

As the statewide policy making authority for public higher education in Connecticut, the Board of Regents for Higher Education is committed to leading by example in the areas of equal employment opportunity and affirmative action. Additionally, the Board of Regents has been charged by state statutes to promote representative racial and ethnic diversity among the students, faculty, administrators and staff at public institutions of higher education. The Board of Regents for Higher Education's policies also advance compliance with the Americans with Disabilities Act at all Connecticut state colleges and universities. Equal employment opportunity and affirmative action are essential to achieving higher education's twin goals of academic excellence and equity.

The Board of Regents for Higher Education recognizes that affirmative action is positive action undertaken with diligence and conviction to:

Overcome any remaining effects of past practices, policies or barriers to equal employment opportunity, and;

Achieve the full and fair participation of all protected class members found to be underutilized in the workplace, or adversely impacted by policies or practices.

The Board of Regents for Higher Education deems equal employment opportunity to be the employment of individuals without consideration of race, color, sex, religious creed, marital status, national origin, ancestry, intellectual disability, past or present history of mental disability, learning disability, physical disability, age, gender identity or expression, sexual orientation or transgender status. The Board will not request or require genetic information from job applicants or employees, or otherwise discriminate against any person in employment conditions on the basis of genetic information. Additionally, the Board of Regents for Higher Education will not unlawfully discriminate against persons with a prior criminal conviction. Equal opportunity is the purpose and goal of affirmative action.

It is the policy of the Board of Regents for Higher Education to administer all personnel policies in manners that ensure that there is no discrimination based upon race, color, sex, religious creed, marital status, national origin, ancestry, intellectual disability, past or present history of mental disability, learning disability, physical disability, age, genetic information, gender identity or expression, sexual orientation or transgender status. The Board's personnel policies involve employment applications, job qualifications, job specifications, recruitment practices, job structuring, orientation, training, counseling, grievance procedures, evaluation procedures, layoffs and terminations. To ensure the full and fair participation of protected group members in the employment process, the Manager of Diversity and Equity shall be consulted and shall monitor the complete employment process. In addition, the Manager of Diversity and Equity has sign off responsibilities in all aspects of the staff recruitment and selection process.

The Board of Regents for Higher Education recognizes the hiring difficulties experienced by persons with disabilities and by many older persons. If necessary, the Board shall establish program goals within the Affirmative Action Plan for action eliminating hiring barriers and actively recruiting members from these groups, to overcome any remaining effects of past discrimination against these groups and to achieve full and fair participation of such persons in the workforce.

The Board of Regents for Higher Education shall explore alternative approaches wherever personnel practices have a negative impact on protected classes and establish procedures for the extra effort deemed necessary to assure that the recruitment and hiring of protected group members reflect their availability in the job market. To this end, the Board of Regents for Higher Education shall continuously review its personnel policies and procedures to ensure that barriers that unnecessarily exclude protected classes and

practices that have a discriminatory impact are identified and eliminated. Recognizing that there are residual effects of past discrimination, the Board of Regents for Higher Education pledges not only to provide services in a fair and impartial manner, but also establish, through this policy, affirmative action and equal opportunity as immediate and necessary Board objectives.

The Board of Regents for Higher Education is committed to maintaining a work environment free from influence or prejudicial behavior and sexual harassment and a workplace in which all terms, conditions, privileges and benefits are administered in an equitable manner.

Dr. Gregory W. Gray, the President of the Connecticut State College University System, is committed to successfully implementing the Affirmative Action Plan within timetables set forth. The President assures that all employees, especially managers and professionals, understand the policies and their responsibilities for implementing such, and take positive steps to ensure compliance with the Affirmative Action Plan, AA/EEO policies and procedures.

Leah Glende, Manager of Diversity and Inclusion is the appointed Affirmative Action Officer for the Board of Regents for Higher Education. The Affirmative Action Plan is available to all members of the workforce through the Human Resources Office which is located at 61 Woodland Street, Hartford, CT 06105. Ms. Glende can be reached by telephone at (860) 723-0794 or by email at glendel@ct.edu.



Dr. Gregory W. Gray
President

6/30/14

Date

ONLINE LEARNING AT CHARTER OAK STATE COLLEGE

Introduction

The Charter Oak State College began developing its own asynchronous online courses in Fall 1998. Currently, the College offers over 200 online courses on the Blackboard Learn platform. The courses are developed and facilitated based on NEASC's "Policy on the Review of Electronically Offered Degree and Certificate Programs" and based on Quality Matter (QM) quality standards (See Appendix E).

Statement on Online Instruction & Copyrights/Intellectual Property Rights

An online course implemented in the Blackboard Learn platform course-management system at Charter Oak State College is an organized collection of articles, notes, media, assignments, online communications, tests, and similar materials. Most of the materials are developed specifically for online courses with the college's support. Other learning resources may exist as links to other copyrighted materials existing on the Internet. Thus, the course exists as a specific configuration or collection of teaching artifacts, some of which are separately copyrighted and some of which originate from the college's supported development.

A new course (as a designed collection of assembled and authored materials) produced under Charter Oak State College, where the college provides the specific authorization or supervision for the preparation of the course, is work made for hire. A new or redeveloped course requested by the College and for which the College has agreed to specially compensate or provide other support to the developer(s) is work made for hire. In all cases (course developments and/or redevelopments where compensation was provided), the copyright and intellectual property components of the course(s) will be held and exercised exclusively by Charter Oak State.

A course developer is defined as a subject matter expert hired to develop or redevelop a course for Charter Oak State College. As a part of the course development process, he/she agrees to develop or redevelop and maintain the course content for compensation.

Course Developer Roles & Responsibilities:

- Subject matter expert hired to develop a course
- Complete Faculty Orientation Course
- Complete Developers Course
- Complete the course build process within the timelines prescribed by the Provost or his/her designee
- Teach the course the first time it is offered to make any necessary edits to the course content. The course developer is not obligated to continue in this role after teaching the course. The course developer that chooses to take on the role of maintaining the course becomes the lead instructor. As the lead instructor, he/she agrees to the roles and responsibilities outlined below.

Lead Instructor Roles & Responsibilities:

- Ensures that the Master Shell for your course(s) are technically functional and ready for delivery each term it is offered (i.e. checking links, creating Discussion Board "parent" postings, checking that content is accurate, etc.);
- Keeps the master course shell(s) current, if you are the only instructor or the lead instructor of a multi-section course;
- Ensures the course contains two graded activities per week in all weeks of the course;
- Participates in any program assessment processes, including the state and national accreditation, to ensure the quality and integrity of Charter Oak programs
- Makes necessary updates to the course as a result of new course materials and/or new textbook editions. The Administrator, Undergraduate Programs staff member will notify the course developer/lead instructor to make the appropriate updates. The Administrator, Undergraduate Programs Office, will order a desk copy of the correct textbook edition and send it to the instructor.

Teaching Faculty

Teaching faculty who are not lead instructors are hired on an as-needed basis to teach distance online learning courses. They teach the course as it has been developed by the developer/lead instructor.

Faculty Recruitment and Teaching Appointment. Teaching faculty are recruited from our Core Faculty, from advertisements, and through unsolicited applications. Applicants selected from the recruitment process are interviewed and credentials are checked by the Provost or his/her designee. The Connecticut State University System employment policy requires “all regular, full-time and part-time external candidates for employment to undergo a pre-employment background investigation according to this procedure as part of the employment screening process. Full-time and part-time employees including University Assistants, Lecturers and other temporary and contracted employees are covered by this policy. No external employment candidate may begin work for the University or the CSU System until the appropriate screenings have been completed.” Teaching faculty hired from within the CSU System complete the Dual Employment Request form (Appendix A).

The recruitment and teaching appointment process also complies with Standard Five of the Standards for Accreditation, Commission on Institutions of Higher Education, to ensure that “the preparation and qualifications of all faculty are appropriate to the field and level of their assignments. Qualifications are measured by advanced degrees held, evidence of scholarship, advanced study, creative activities, teaching abilities and relevant professional experience, training, and credentials” (Commission on Institutions of Higher Education, 2011, p. 14). Therefore, Charter Oak State College requires candidates to submit a cover letter, resume, two references from individuals that can verify the candidate’s teaching experience and official transcripts for his/her highest degree.

Procedures for recruitment and appointment of faculty, as outlined in Section 3 of Article V of the faculty bylaws, are designed to assure that a thorough and systematic effort is made to recruit broadly and affirmatively for qualified persons. Every effort is made to assure that the College’s faculty are representative of the faculty composition of Connecticut’s higher education community as a whole.

Teaching faculty are hired to teach for Charter Oak State College on an as needed basis. Therefore, teaching appointments are not guaranteed and are contingent on student enrollments. The roles and responsibilities for teaching faculty are provided below.

Teaching Faculty Role & Responsibilities

- New faculty must complete the COSC Faculty Orientation Program.
- Correct and return assignments within 7 days of receiving;
- Respond to any student correspondence within 48 hours (emails, Q&A's, etc.);
- Alert administration of students who have not participated during the first week of class, of any who have not participated for any two-week period;
- Post grades weekly in the Grade Center;
- Issue final grades in ACORN within three days of the last day of class - all "F" grades must be submitted with the last date of attendance of the student;
- Participate in at least one faculty development activity on an annual basis and documenting your participation;
- Post weekly announcements outlining overview of previous week and presenting an overview of the current week’s activities;
- Faculty Discussion Forum Participation Requirement Policy: Charter Oak State College online course format is designed to support the institution’s mission. The discussion forum is an essential component that assists to support student success in the online environment. Faculty presence in the online course is a key component to the teaching and learning process;

The discussion forum activities are designed to support the achievement of the student learning outcomes for the course. Therefore, faculty members are required to maintain a presence in the discussion forum. The faculty responses to students in the discussion forum can take place on any of the four days per week the faculty member is required to be present in his/her course. Faculty should not be absent from his/her course for more than two (2) consecutive days. Every faculty member must have access to the Internet to fulfill the participation requirements to teach for Charter Oak State College.

Failure to comply with the discussion forum participation requirements will influence further teaching opportunities. If you are going to be absent from your course for any reason, please contact the Provost immediately.

- Lead instructors are required to email any updates to their syllabi to the Instructional Design Associate 45 days prior to the start of the semester. The Registrar's Office will post the course syllabi in the ACORN portal for students to access as they enroll in their courses;
- Additional responsibilities may be established by the Provost or his/her designee.

Teaching Faculty Contract Learning. Contract Learning at Charter Oak State College is a type of independent study. It is an appropriate method of choice when regular courses are not available in a particular subject or when a student wants to learn course content that the college does not offer. The instructor for a contract learning course is that of facilitator of self-directed learning, content expert and evaluator of the learning.

Contract Learning Student responsibilities:

1. Submit fee and learning contract proposal
2. Take initiative to contact instructor or academic advisor as needed
3. Take initiative to renegotiate deadlines if necessary
4. Sign and submit contract
5. Submit evaluation of contract learning process itself

Contract Learning Faculty responsibilities:

1. Sign and submit learning contract proposal
1. Review or assist in developing the student's learning contract to ensure that it is complete and those components reflect appropriate college quality achievement
2. Recommend learning resources such as books, journals, people, agencies, etc.
3. Be a resource for information but do not assume the responsibility for "teaching" the student
4. Be available to confer with student when necessary, e.g. to review progress, encourage or share resources
5. Evaluate student's work as agreed upon in the contract
6. Report results of evaluation accurately and on time
7. Evaluate quality of contract program by keeping track of all time spent, by reporting problems encountered and negotiating resolution of same to the administrator of Contract Learning
8. Submit evaluation of Contract Learning process itself

New Faculty Orientation. New teaching faculty are required to participate in a faculty orientation program prior to beginning his/her teaching appointment. The Provost or his/her designee will provide information to new teaching faculty regarding registering for the New Faculty Orientation.

Ongoing Faculty Development. Teaching faculty are required to participate in at least one faculty development activity on an annual basis that supports specific strategic plan initiatives. Documentation outlining the development activity must be submitted annually to the Provost or his/her designee. Failure to meet the annual faculty development requirement will influence further teaching opportunities. Attending faculty meetings is highly recommended and will count as the required development activity.

Teaching Faculty Evaluations.

Student evaluations. Faculty should encourage students to complete the anonymous course evaluation. A link to the final evaluation will be emailed to students during the last two weeks of the course.

Faculty evaluations. The faculty evaluation process consists of numerous processes that take place throughout the year.

Evaluation Processes:

1. To ensure the quality and integrity of Charter Oak State College's online courses, every new instructor and instructor teaching a course for the first time is assigned a faculty monitor. The purpose for having a monitor review a teaching faculty member's course is to ensure the faculty understands the expectations for teaching a Charter Oak State College course. This review will also allow the teaching faculty members to receive valuable feedback regarding his/her interactions with students, facilitation skills and other best practices for teaching online courses (Appendix C).
2. Faculty activity reports are run each semester on specific days of the week for each session, term, and full-semester. A teaching faculty activity report that consistently indicates failure to actively participate in his/her course will not be offered another teaching appointment.
3. End of course surveys are examined to monitor student satisfaction.

Policy on Terminating Teaching Faculty. Although teaching faculty are hired on an as-needed basis, Charter Oak values its faculty and wants to ensure that it has the best qualified faculty teaching its students. Therefore, the College takes seriously the course evaluations conducted by the students and the peer reviews conducted by its faculty. The College recognizes, however, that all faculty are not suited to online teaching and that there will be instances where teaching agreements are not renewed.

Policy:

If a teaching faculty receives, on average, negative student or peer review evaluations during one term or semester, the Provost will discuss the evaluations with the instructor and, if appropriate, come up with a plan to remediate the situation, including having a faculty monitor "sitting in" on the course and viewing the interactions that take place between the instructor and student during the next term. During that term, the faculty monitoring the course will provide ongoing feedback to the instructor and to the Provost. If the instructor receives another poor evaluation, the Dean will again review the evaluations and discuss the situation with the instructor. The instructor will be given one more chance to improve the evaluations. The Dean (or his/her designee) will monitor the course during this second offense. If an instructor receives a third poor evaluation, the instructor will not receive another teaching appointment.

Textbooks and Other Course Materials. The College will order desktop copies of textbooks and other courses materials that can be obtained from our bookstore. Faculty are required to submit a request for course materials to the Administrator, Undergraduate Programs, to determine if the bookstore can obtain the textbook or course materials from the publisher.

Faculty Technology Requirements. Charter oak State College does not have traditional face-to-face classroom courses. All coursework is facilitated through the College's Blackboard Learning Management System (LMS). Faculty teaching online courses and students enrolled in Charter Oak courses are required to have reliable access to a computer with an Internet connection.

Student Services

Charter Oak State College prides itself on its efforts to provide student services to meet the needs of busy adult learners. The list below are some of the student services Charter Oak provides.

- Disability Services (Disabilities Specialist, at (860) 515-3846 or ODS@charteroak.edu)
- Online Database, library resources (ask a Librarian)
- Online Bookstore
- Online Tutoring (eTutoring or embedded tutoring – one-on-one tutoring for students that need additional support services such as students with disabilities and ESL)
- Turnitin (Electronic monitoring to check students papers for plagiarism)
- Student government
- VA support services
- Student online orientation
- Prior Learning Assessment

Student Related Policies

The College's policies presented in this section emphasize specific student policies and does not provide the entire collection of policies. It is important to review the College's catalog located on the website for all the student policies in its entirety.

Academic Honesty Policy

Introduction

A fundamental tenet of all educational institutions is academic honesty. Academic work depends upon respect and acknowledgement of the research and ideas of others. Charter Oak State College is a nontraditional college, and because some of the student's work may be done at a distance, upholding academic integrity is of utmost importance. Charter Oak State College expects students and its faculty to uphold high standards of academic honesty in their scholarship and learning.

To this end, Charter Oak State College provides information about various websites that will help students write research papers, provides free tutoring for those who need assistance in writing research papers, and offers a one-credit research writing course. Faculty make it clear on their course syllabi what constitutes academic dishonesty and the staff make it clear in publications and on the website.

When an instructor receives academic work from a student, the instructor expects the work to be that of the student, therefore:

1. A student shall not receive credit for work that is not the result of the student's own effort or for work that is falsified. A student who is in doubt regarding standards of academic honesty in a course or assignment should consult the faculty member responsible for that course or assignment before submitting the work. A student's lack of understanding is not a valid defense to a charge of academic dishonesty.
2. A student's name on any written assignment (e.g., examination, report, thesis, project, computer program, laboratory report, etc.) or in association with an oral presentation constitutes a representation that the work is the result of that student's own thought and study, stated in the student's own words, and produced without the assistance of others, except as quotation marks and references accurately acknowledge the use of other sources, including sources found on the Internet.
3. Since many of our courses require group projects, it is important to clarify with the instructor which assignments can be turned in by the group and which must be the work of the individual student.

4. Unless permission is received in advance from the faculty member in charge of the course involved, a student may not submit, in identical or similar form, work for one course that has been used to fulfill any academic requirement in another course at Charter Oak State College or any other institution. If a student perceives the possibility of overlapping assignments, the student should consult with the appropriate faculty. At Charter Oak State College, faculty are encouraged to use a software package that checks for plagiarism. This software package becomes a database for all papers ever turned in. Therefore if a student's paper has been submitted to the database for checking, if it or a similar paper had been turned in before, the results of the review of the new paper will show that a previous similar or identical paper had been submitted for another course.

Plagiarism

Plagiarism is a serious offense. Faculty should report any suspected acts of plagiarism to the College.

Students are expected to follow the proper method of writing and citing a research paper. All faculty should run their students' research papers through Turnitin.com licensed by the College and available to all faculty. The Undergraduate Administrator will send each faculty directions and a password to access the software.

Sanctions. Any cheating in courses, on credential evaluations or exams, or plagiarism shall result in an "F" for the course.

Plagiarizing Threaded Discussions: If a student plagiarizes a threaded discussion post and it is his/her first offense, the student will receive a warning and zero points for that threaded discussion. The second time a student plagiarizes a threaded discussion post, he/she will receive a grade of "F" for the course.

Plagiarizing Written Assignments -- The first offense for plagiarizing a written assignment (research paper, report, presentation, etc.) will result in a warning and zero points for that assignment. If the plagiarized written assignment is the student's final paper, he/she will receive a grade of "F" for the course. If a student's draft paper is plagiarized, and if points are given for the draft, he/she will receive 0 points.

Plagiarizing Oral Assignments -- The first offense for plagiarizing an oral assignment (report, presentation, etc.) will result in a warning and zero points for that assignment. If the plagiarized assignment is the student's final for the course, he/she will receive a grade of "F" for the course. If a student's draft/practice presentation is plagiarized, and if points are given for the draft/practice presentation, he/she will receive 0 points.

Course Audit Policy

Any student may audit one course per semester on a space-available basis. Auditing carries no credit and no grade. Even though a course is entered on the student's transcript, it does not affect a student's part-time or full-time status.

An audited course cannot be changed to a letter grade once the course has begun (or vice versa). If a letter grade is required, a student must retake the course and pay full tuition. Students wishing to audit a course must complete the Audit Registration Form and pay 50% of the cost of the course as well as the Student Services Fee.

Grading

The "semester hour" is the unit by which academic credit is earned. A "typical" online course semester is 14-16 weeks except for eight-week sessions that may be offered. As of July 1, 2004, the college began giving pluses (+) or minuses (-) in its final grades. Faculty should develop grading rubrics that align with the student learning outcomes.

The grading policy is:

A	4.0
A-	3.7
B+	3.3
B	3.0
B-	2.7
C+	2.3
C	2.0
C-	1.7
D+	1.3
D	1.0
D-	0.7
F	0.0
I	Inc.
AU	Audit
W	WD

Graduate students are required to repeat a graduate-level course if they receive a grade lower than a "C".

Letter Grade	Range (%)	Grade Point	Letter Grade	Range (%)	Grade Point
A	93.0-100.0	4.0	C	73.0-76.9	2.0
A-	90.0-92.9	3.7	C-	70.0-72.9	1.7
B+	87.0-89.9	3.3	D+	67.0-69.9	1.3
B	83.0-86.9	3.0	D	63.0-66.9	1.0
B-	80.0-82.9	2.7	D-	60.0-62.9	0.7
C+	77.0-79.9	2.3	F	0.0-59.9	0.0
W	Officially Withdrew -Students who want to withdraw from a course must do so in writing by completing the electronic withdrawal form . If they do not withdraw “officially,” the instructor will grade them on the work they did in the course.				
I	Incomplete - Issued with the approval of the Instructor and the Provost, due to special circumstances, a student is granted an extension.				
AU	Audit - Audits will be allowed if the instructor of the course grants permission				
AW	Administrative Withdrawal - Students who do not attend a registered course by the end of the first week (by Sunday, 11:59 PM, EST) or who fail to maintain active participation in a course for two consecutive weeks will be administratively withdrawn from the course with a final grade of 'AW'.				
P	Pass – Students do not have an option of electing to take a course as Pass/Fail. P grades are allowed for courses that have been approved by the Academic Council as Pass/Fail. A student must earn a "C" or better in order to receive a passing grade.				

Request for a Grade of Incomplete with a Two Week Extension

Under “special circumstances”, including serious illness or death in the family, a student may be given a two week extension to complete coursework. The two week extension ends two weeks after the term ends. The student must submit the “Request for Incomplete Grade Form” to the Provost with the appropriate documentation. The Provost will review the request and documentation to determine if the request warrants granting an extension. If the request warrants approval, the Provost contacts the instructor requesting an outline of the coursework that the student must complete over the two week extension. If the student does not make up the Incomplete grade in the allotted time, the student will receive an “F” grade for the assignment. Students will not be able to make up any missed postings (Appendix C).

Request for Incomplete Grade Procedures

Because online courses rely heavily on threaded discussions, incomplete grades are not given unless there is an emergency situation. Incomplete grades may be given only in the following circumstances:

1. The student's work to date is passing;
2. Attendance has been satisfactory through at least 60% of the term;
3. An illness or other extenuating circumstance legitimately preventing completion of required work by the due date (documentation will be required to submit with this form);
4. Required work may reasonably be completed within a two-week period;
5. The incomplete is not given as a substitute for a failing grade;
6. The incomplete is not a means of raising his or her grade by doing additional work after the grade report time.

In these circumstances, a student may request a two (2) week extension. Students must complete the following process in order to request an incomplete:

1. The "Request for Incomplete Grade" form may be obtained on ACORN forms tab
2. The student initiates the request for an incomplete grade at least one week before the end of the term;
3. The student must e-mail or fax the form to the Provost, along with appropriate documentation.
4. The Provost will determine if the documentation is sufficient to warrant the instructor to consider an extension. The Provost will either approve or deny (see Appendix C).

5. If the Provost consents, he/she emails the instructor to request an outline of the coursework the student must complete over the extension period.
6. The Provost will notify the Registrar of approved Requests for Incomplete Grades.
7. The instructor submits the final grade to the Registrar on the Change of Grade form.
8. Incomplete grades appear on the transcript for two weeks.
9. After two weeks, if coursework is still incomplete, the grade will change to “F”.

Grade Appeal

The instructor is responsible for assessing student performance and assigning grades for student work. Such responsibility by its nature is both subjective and objective. If a student feels an error has been made by the instructor in assigning the final course grade, the student may appeal by completing the Grade Appeal form and by following the procedures below. Students have 15 working days after the last day of the course to appeal a final grade. The Grade Appeal form can be obtained via the Student tab on ACORN.

The student must first discuss the issue with the instructor. If the issue cannot be settled at that level, the student must submit a detailed letter outlining his/her reasons for objecting to the grade, including copies of the material in question and course syllabus, to the Provost within 15 working days of the last day of the course. Within 15 business days after the Provost receives the appeal, the Provost will review the appeal with the instructor and the student, render a decision and send that decision to the student. If the decision results in a grade change, the Dean will discuss the grade change with the instructor.

If the student wishes to appeal the decision of the Dean, he or she must so notify the Dean in writing within 15 business days; the exact date will be specified in the letter notifying him/her of the Dean's decision. Within 30 business days of receiving the notice of further appeal, the Dean will schedule a hearing. The hearing panel will be comprised of the Dean of the Faculty, two additional faculty, and one student. The hearing will follow the procedures outlined in Section 4, (part F) of the Student Code of Conduct. The decision of the hearing panel is final and cannot be appealed. If the hearing panel's decision results in a grade change, the Dean of Undergraduate Programs will discuss the grade change with the instructor (see Appendix D).

Grade Changes

If a change of grade is recommended by the instructor for a grade appeal or calculation error, the instructor must complete the Change of Grade form and submit it to the Registrar's Office for processing. This form will facilitate the process for changing a grade (Appendix D).

Withdrawals

Students can withdraw from a course by completing the course withdrawal (W) form located in ACORN. Students may also be academically withdrawn from a course for lack of attendance (AW).

APPENDICES

Appendix A
Dual Employment Form
DUAL EMPLOYMENT REQUEST PER-DE-1
Rev 7/99
STATE OF
CONNECTICUT

Instructions for **SECONDARY AGENCY**: Complete this form when an employee provides services under 1) an authorized PER-301 for a second position; 2) a Personal Services Agreement (CO-802a); 3) a Purchase Order (CO-94, CO-94P or CO-95). Keep a copy of the form in a suspense file and forward the original to the primary agency. When certification from both the primary and secondary agency is complete, process the employee according to the guidelines in General Letter 204.

Employee		Social Security Number		Today's Date			
Employee Address		Present Position Title		FLSA Ex <input type="checkbox"/> pt No <input type="checkbox"/> Exempt			
Primary Agency							
SECONDARY AGENCY – Agency where employee is being considered for a second job							
Facility of Secondary Employment				Title of Position Sought			
Duties to be performed:							
Dates duties will be performed: (A new dual employment form must be completed and placed in the employee's personnel file for each new period of employment.)							
Start Date:				End Date:			
The work schedule will be as follows:							
Day	Friday	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday
Time In:							
Time Out:							
SECONDARY AGENCY CERTIFICATION							
I certify that the duties are being performed outside the responsibility of the agency of principal employment, the hours worked at this agency are documented and reviewed to preclude duplicate payment, and that no conflicts of interest exist between services performed.							
SIGNED (Agency head or authorized designee)				TITLE		DATE	
Instructions for PRIMARY AGENCY – Complete and return to secondary agency for documentation. Retain a copy for your files.							
Position Title:				POTENTIAL CONFLICT OF INTEREST: YES <input type="checkbox"/> NO <input type="checkbox"/>			
Duties Performed:							
Current Work Schedule:							
Day	Friday	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday
Time In:							
Time Out:							
Primary Agency Certification:							
I certify that the duties are being performed outside the responsibility of the agency of principal employment, the hours worked at this agency are documented and reviewed to preclude duplicate payment, and that no conflicts of interest exist between services performed. If for any reason there should be a change in the hours and/or days of work as originally indicated, an amended request with the required justification will be submitted.							
RECOMMEND		SIGNED		TITLE		DATE	
YES <input type="checkbox"/> NO <input type="checkbox"/>							

Appendix B

Best Practices For Electronically Offered Degree and Certificate Programs

Introduction

These *Best Practices* have been developed by the eight regional accrediting commissions in response to the emergence of technologically mediated instruction offered at a distance as an important component of higher education. Expressing in detail what currently constitutes best practice in distance education, they seek to address concerns that regional accreditation standards are not relevant to the new distributed learning environments, especially when those environments are experienced by off-campus students. The *Best Practices*, however, are not new evaluative criteria. Rather they explicate how the well-established essentials of institutional quality found in regional accreditation standards are applicable to the emergent forms of learning; much of the detail of their content would find application in any learning environment. Taken together those essentials reflect the values which the regional commissions foster among their affiliated colleges and universities:

- that education is best experienced within a community of learning where competent professionals are actively and cooperatively involved with creating, providing, and improving the instructional program;
- that learning is dynamic and interactive, regardless of the setting in which it occurs;
- that instructional programs leading to degrees having integrity are organized around substantive and coherent curricula which define expected learning outcomes;
- that institutions accept the obligation to address student needs related to, and to provide the resources necessary for, their academic success;
- that institutions are responsible for the education provided in their name;
- that institutions undertake the assessment and improvement of their quality, giving particular emphasis to student learning;
- that institutions voluntarily subject themselves to peer review.

These *Best Practices* are meant to assist institutions in planning distance education activities and to provide a self-assessment framework for those already involved. For the regional accrediting associations they constitute a common understanding of those elements which reflect quality distance education programming. As such, they are intended to inform and facilitate the evaluation policies and processes of each region.

Developed to reflect current best practice in electronically offered programming, these *Best Practices* were initially drafted by the Western Cooperative for Educational Telecommunications (www.wiche.edu/telecom/), an organization recognized for its substantial expertise in this field. Given the rapid pace of change in distance education, these *Best Practices* are necessarily a work in progress. They will be subject to periodic review by the regionals, individually and collectively, who welcome comments and suggestions for their improvement.

Overview to the *Best Practices*

These *Best Practices* are divided into five separate components, each of which addresses a particular area of institutional activity relevant to distance education. They are:

1. Institutional Context and Commitment
2. Curriculum and Instruction
3. Faculty Support
4. Student Support
5. Evaluation and Assessment

Each component begins with a general statement followed by individual numbered paragraphs addressing specific matters describing those elements essential to quality distance education programming. These in turn are followed by protocols in the form of questions designed to assist in determining the existence of those elements when reviewing either internally or externally distance education activities.

* Commission on Higher Education, Middle States Association of Colleges and Schools – info@msache.org;
Commission on Institutions of Higher Education, New England Association of Schools and Colleges – cihe@neasc.org;
Commission on Technical and Career Institutions, New England Association of Schools and Colleges –

rmandeville@neasc.org; Commission on Institutions of Higher Education, North Central Association of Colleges and Schools – info@ncacihe.org; Commission on Colleges, The Northwest Association of Schools and Colleges – pjarnold@cofnasc.org; Commission on Colleges, Southern Association of Colleges and Schools – webmaster@sacscoc.org; Accrediting Commission for Community and Junior Colleges, Western Association of Schools and Colleges – accjc@aol.com; Accrediting Commission for Senior Colleges and Universities, Western Association of Schools and Colleges – wascsr@wascsenior.org.

The Best Practices and Protocols

1. Institutional Context and Commitment Electronically offered programs both support and extend the roles of educational institutions. Increasingly they are integral to academic organization, with growing implications for institutional infrastructure.

1a. In its content, purposes, organization, and enrollment history, if applicable, the program is consistent with the institution's role and mission.

- What is the evidence that the program is consistent with the role and mission of the institution, including its goals with regard to student access?
- Is the institution fulfilling its stated role as it offers the program to students at a distance, or is the role being changed?

1b. It is recognized that a healthy institution's purposes change over time. The institution is aware of accreditation requirements and complies with them. Each accrediting commission has established definitions of what activities constitute a substantive change that will trigger prior review and approval processes. The appropriate accreditation commission should be notified and consulted whether an electronically offered program represents a major change. The offering of distributed programs can affect the institution's educational goals, intended student population, curriculum, modes or venue of instruction, and can thus have an impact on both the institution and its accreditation status.

- Does the program represent a change to the institution's stated mission and objectives?
- Does the program take the college or university beyond its "institutional boundaries," e.g., students to be served, geographic service area, locus of instruction, curriculum to be offered, or comparable formally stated definitions of institutional purpose?
- Is the change truly significant?

1c. The institution's budgets and policy statements reflect its commitment to the students for whom its electronically offered programs are designed.

- How is the student assured that the program will be sustained long enough for the cohort to complete it?
- How are electronically offered programs included in the institution's overall budget structure?
- What are the institution's policies concerning the establishment, organization, funding, and management of electronically offered programs? Do they reflect ongoing commitment to such programs? (See also item **1e** below.)

1d. The institution assures adequacy of technical and physical plant facilities including appropriate staffing and technical assistance, to support its electronically offered programs.

- Do technical and physical plant facilities accommodate the curricular commitments reviewed below, e.g., instructor and student interaction (**2e**), and appropriateness to the curriculum (**2a**),
- Whether facilities are provided directly by the institution or through contractual arrangements, what are the provisions for reliability, privacy, safety and security?
- Does the institution's budget plan provide for appropriate updating of the technologies employed?
- Is the staffing structure appropriate (and fully qualified) to support the programs now operational and envisioned in the near term?

1e. The internal organizational structure which enables the development, coordination, support, and oversight of electronically offered programs will vary from institution to institution. Ordinarily, however, this will include the capability to:

- Facilitate the associated instructional and technical support relationships
- Provide (or draw upon) the required information technologies and related support services
- Develop and implement a marketing plan that takes into account the target student population, the technologies available, and the factors required to meet institutional goals
- Provide training and support to participating instructors and students
- Assure compliance with copyright law
- Contract for products and outsourced services

- Assess and assign priorities to potential future projects
- Assure that electronically offered programs and courses meet institution-wide standards, both to provide consistent quality and to provide a coherent framework for students who may enroll in both electronically offered and traditional on-campus courses
- Maintain appropriate academic oversight
- Maintain consistency with the institution's academic planning and oversight functions, to assure congruence with the institution's mission and allocation of required resources
- Assure the integrity of student work and faculty instruction. Organizational structure varies greatly, but it is fundamental to the success of an institution's programs. The points above can be evaluated by variations of the following procedure and inquiries:
 - Is there a clear, well-understood process by which an electronically offered program evolves from conception to administrative authorization to implementation? How is the need for the program determined? How is it assigned a priority among the other potential programs? Has the development of the program incorporated appropriate internal consultation and integration with existing planning efforts?
 - Track the history of a representative project from idea through implementation, noting the links among the participants including those responsible for curriculum, those responsible for deciding to offer the program electronically, those responsible for program/course design, those responsible for the technologies applied, those responsible for faculty and student support, those responsible for marketing, those responsible for legal issues, those responsible for budgeting, those responsible for administrative and student services, and those responsible for program evaluation. Does this review reveal a coherent set of relationships?
 - In the institution's organizational documentation, is there a clear and integral relationship between those responsible for electronically offered programs and the mainstream academic structure?
 - How is the organizational structure reflected in the institution's overall budget?
 - How are the integrity, reliability, and security of outsourced services assured?
 - Are training and technical support programs considered adequate by those for whom they are intended?
 - What are the policies and procedures concerning compliance with copyright law?
 - How does program evaluation relate to this organizational and decision-making structure?

1f. In its articulation and transfer policies the institution judges courses and programs on their learning outcomes, and the resources brought to bear for their achievement, not on modes of delivery.

What are the institution's policies concerning articulation and transfer? What are decisions regarding transfer of academic credit based upon?

- Is the institution internally consistent in its handling of articulation and transfer issues, or do different divisions have different policies and procedures?

1g. The institution strives to assure a consistent and coherent technical framework for students and faculty. When a change in technologies is necessary, it is introduced in a way that minimizes the impact on students and faculty.

- When a student or instructor proceeds from one course or program to another, is it necessary to learn another software program or set of technical procedures?
- When new software or systems are adopted, what programs/processes are used to acquaint instructors and students with them?

1h. The institution provides students with reasonable technical support for each educational technology hardware, software, and delivery system required in a program.

- Is a help desk function realistically available to students during hours when it is likely to be needed?
- Is help available for all hardware, software, and delivery systems specified by the institution as required for the program?
- Does the help desk involve person-to-person contact for the student? By what means, e.g., email, phone, fax?
- Is there a well-designed FAQ (Frequently Asked Questions) service, online and/or by phone menu or on-demand fax?

1i. The selection of technologies is based on appropriateness for the students and the curriculum. It is recognized that availability, cost, and other issues are often involved, but program documentation should include specific consideration of the match between technology and program.

- How were the technologies chosen for this institution's programs?
- Are the technologies judged to be appropriate (or inappropriate) to the program(s) in which they are used?
- Are the intended students likely to find their technology costs reasonable?

- What provisions have been made to assure a robust and secure technical infrastructure, providing maximum reliability for students and faculty?
- Given the rapid pace of change in modern information technology, what policies or procedures are in place to keep the infrastructure reasonably up-to-date?

1j. The institution seeks to understand the legal and regulatory requirements of the jurisdictions in which it operates, e.g., requirements for service to those with disabilities, copyright law, state and national requirements for institutions offering educational programs, international restrictions such as export of sensitive information or technologies, etc.

- Does institutional documentation indicate an awareness of these requirements and that it has made an appropriate response to them?

2. Curriculum and Instruction Methods change, but standards of quality endure. The important issues are not technical but curriculum-driven and pedagogical. Decisions about such matters are made by qualified professionals and focus on learning outcomes for an increasingly diverse student population.

2a. As with all curriculum development and review, the institution assures that each program of study results in collegiate level learning outcomes appropriate to the rigor and breadth of the degree or certificate awarded by the institution, that the electronically offered degree or certificate program is coherent and complete, and that such programs leading to undergraduate degrees include general education requirements.

- What process resulted in the decision to offer the program?
- By what process was the program developed? Were academically qualified persons responsible for curricular decisions?
- How were “learning outcomes appropriate to the rigor and breadth of the degree or certificate awarded” established? Does the program design involve the demonstration of such skills as analysis,

comprehension, communication, and effective research?

- Is the program “coherent and complete?”
- Are related instructional materials appropriate and readily accessible to students?

2b. Academically qualified persons participate fully in the decisions concerning program curricula and program oversight. It is recognized that traditional faculty roles may be unbundled and/or supplemented as electronically offered programs are developed and presented, but the substance of the program, including its presentation, management, and assessment are the responsibility of people with appropriate academic qualifications.

- What were the academic qualifications of those responsible for curricular decisions, assessment, and program oversight?
- What are the academic qualifications of those presenting and managing the program?
- If the principal instructor is assisted by tutors or student mentors, what are their qualifications?
- Are these qualifications considered appropriate to the responsibilities of these persons?

2c. In designing an electronically offered degree or certificate program, the institution provides a coherent plan for the student to access all courses necessary to complete the program, or clearly notifies students of requirements not included in the electronic offering. Hybrid programs or courses, mixing electronic and on-campus elements, are designed to assure that all students have access to appropriate services. (See also **2d** below, concerning program elements from consortia or contract services.)

- How are students notified of program requirements?
- If the institution relies on other providers to offer program-related courses, what is the process by which students learn of these courses?
- Is the total program realistically available to students for whom it is intended? For example, is the chosen technology likely to be accessible by the target student population? Can target students meet the parameters of program scheduling?

2d. Although important elements of a program may be supplied by consortial partners or outsourced to other organizations, including contractors who may not be accredited, the responsibility for performance remains with the institution awarding the degree or certificate. It is the institution in which the student is enrolled, not its suppliers or partners, that has a contract with the student. Therefore, the criteria for selecting consortial partners and contractors, and the means to monitor and evaluate their work, are important aspects of the program plan. In considering consortial agreements, attention is given to issues such as assuring that enhancing service to students is a primary consideration and that incentives do not compromise the integrity of the institution or of the educational program. Consideration is also given to the effect of administrative arrangements and cost-sharing on an institution’s decision-making regarding curriculum. Current examples of consortial and contractual relationships include:

- Faculty qualifications and support.
- Course material:

- Courses or course elements acquired or licensed from other institutions.
- Courses or course elements provided by partner institutions in a consortium.
- Curricular elements from recognized industry sources, e.g., Microsoft or Novell certification programs.
- Commercially produced course materials ranging from textbooks to packaged courses or course elements.

- Course management and delivery:

- WebCT, Blackboard, College, etc.

- Library-related services:

- Remote access to library services, resources, and policies.
- Provision of library resources and services, e.g., online reference services, document delivery, print resources, etc.

- Bookstore services.

- Services providing information to students concerning the institution and its programs and courses.

- Technical services:

- Server capacity.
- Technical support services, including help desk services for students and faculty.

- Administrative services:

- Registration, student records, etc.
- Services related to orientation, advising, counseling, or tutoring.
- Online payment arrangements.
- Student privacy considerations.

Evaluation of contract services and consortial arrangements requires a review of pertinent formal agreements. Note, for example:

- Are performance expectations defined in contracts and agreements? Are conditions for contract termination defined?
- Are there adequate quality control and curriculum oversight provisions in agreements concerning courseware?
- Are there appropriate system reliability and emergency backup guarantees in agreements concerning technology services?
- What are the provisions for protection of confidentiality and privacy in services involving personal information?
- What are the assurances concerning qualifications and training of persons involved in contact with students? These services may range from help desk to tutoring or counseling.
- Consortial agreements introduce additional elements to be evaluated:
 - How are curriculum-related decisions made by the consortium, noting the requirement that “Academically qualified persons participate fully in the decisions regarding program curricula and
 - Is the institution fully engaged in the consortial process, recognizing the decision-making responsibilities of shared ownership?
 - What are the financial arrangements among the parties to the consortial agreement? What are the implications of these arrangements for institutional participation and management?
 - What entity awards the certificates and degrees resulting from the consortial program?
 - What articulation and transfer arrangements are applicable to courses offered via the consortium?

Did these arrangements involve specific curricular decisions by the academic structures of the participating institutions? Were they prescribed in a state or system decision?

- To what extent are the administrative and student services arrangements of the consortium focused on the practical requirements of the student?

2e. The importance of appropriate interaction (synchronous or asynchronous) between instructor and students and among students is reflected in the design of the program and its courses, and in the technical facilities and services provided.

- What provisions for instructor-student and student-student interaction are included in the program/course design and the course syllabus? How is appropriate interaction assured?
- Is instructor response to student assignments timely? Does it appear to be appropriately responsive?
- What technologies are used for program interaction (e.g., email, telephone office hours, phone conferences, voicemail, fax, chat rooms, Web-based discussions, computer conferences and threaded discussions, etc.)?

How successful is the program’s interactive component, as indicated by student and instructor surveys, comments or other measures?

3. Faculty Support. As indicated above, faculty roles are becoming increasingly diverse and reorganized. For example, the same person may not perform both the tasks of course development and direct instruction to students. Regardless of who performs which of these tasks, important issues are involved.

3a. In the development of an electronically offered program, the institution and its participating faculty have considered issues of workload, compensation, ownership of intellectual property resulting from the program, and the implications of program participation for the faculty member's professional evaluation processes. This mutual understanding is based on policies and agreements adopted by the parties.

- Have decisions regarding these matters been made in accordance with institutional or system processes customarily used to address comparable issues?

3b. The institution provides an ongoing program of appropriate technical, design, and production support for participating faculty members.

- What support services are available to those responsible for preparing courses or programs to be offered electronically? What support services are available to those faculty members responsible for working directly with students?
- Do participating faculty members consider these services to be appropriate and adequate?
- Does the staff include qualified instructional designers? If so, do they have an appropriate role in program and course development?

3c. The institution provides to those responsible for program development the orientation and training to help them become proficient in the uses of the program's technologies, including potential changes in course design and management.

- What orientation and training programs are available? Are there opportunities for ongoing professional development?
- Is adequate attention paid to pedagogical changes made possible and desirable when information technologies are employed?
- Given the staff available to support electronically offered programs, are the potential changes in course design and management realistically feasible?
- Do those involved consider these orientation and training programs to be appropriate and adequate?

3d. The institution provides to those responsible for working directly with students the orientation and training to help them become proficient in the uses of the technologies for these purposes, including strategies for effective interaction.

- What orientation and training programs are available? Are there opportunities for ongoing professional development? Do those involved consider these orientation and training programs to be appropriate and adequate?

4. Student Support Colleges and universities have learned that the twenty-first century student is different, both demographically and geographically, from students of previous generations. These differences affect everything from admissions policy to library services. Reaching these students, and serving them appropriately, are major challenges to today's institutions.

4a. The institution has a commitment – administrative, financial, and technical – to continuation of the program for a period sufficient to enable all admitted students to complete a degree or certificate in a publicized timeframe.

- Do course and program schedules reflect an appropriate commitment to the program's students?
- Do budget, faculty, and facilities assignments support that commitment?

4b. Prior to admitting a student to the program, the institution:

- Ascertain by a review of pertinent records and/or personal review that the student is qualified by prior education or equivalent experience to be admitted to that program, including in the case of international students, English language skills.
- Informs the prospective student concerning required access to technologies used in the program.
- Informs the prospective student concerning technical competence required of students in the program.
- Informs the prospective student concerning estimated or average program costs (including costs of information access) and associated payment and refund policies.
- Informs the prospective student concerning curriculum design and the time frame in which courses are offered, and assists the student in understanding the nature of the learning objectives.

4b. continued

- Informs the prospective student of library and other learning services available to support learning and the skills necessary to access them.
- Informs the prospective student concerning the full array of other support services available from the institution.
- Informs the prospective student about arrangements for interaction with the faculty and fellow students.
- Assists the prospective student in understanding independent learning expectations as well as the nature and potential challenges of learning in the program's technology based environment.
- Informs the prospective student about the estimated time for program completion.

To evaluate this important component of admission and retention, it is appropriate to pursue the following:

- How do potential students learn about the electronically offered program? Is the information provided sufficient, fair, and accurate?
- How are students informed about technology requirements and required technical competence?
- How are students informed about costs and administrative arrangements?
- What information and/or advice do students receive about the nature of learning and the personal discipline required in an anytime/anywhere environment?
- What criteria are used to determine the student's eligibility for admission to the program?
- What steps are taken to retain students in the program?
- What is the history of student retention in this program?

4c. The institution recognizes that appropriate services must be available for students of electronically offered programs, using the working assumption that these students will not be physically present on campus. With variations for specific situations and programs, these services, which are possibly coordinated, may include:

- Accurate and timely information about the institution, its programs, courses, costs, and related policies and requirements.
- Pre-registration advising.
- Application for admission.
- Placement testing.
- Enrollment/registration in programs and courses.
- Financial aid, including information about policies and limitations, information about available scholarships, processing of applications, and administration of financial aid and scholarship awards.
- Secure payment arrangements.
- Academic advising.
- Timely intervention regarding student progress.
- Tutoring.
- Career counseling and placement.
- Academic progress information, such as degree completion audits.
- Library resources appropriate to the program, including, reference and research assistance; remote access to data bases, online journals and full-text resources; document delivery services; library user and information literacy instruction, reserve materials; and institutional agreements with local libraries.
- Training in information literacy including research techniques.
- Bookstore services: ordering, secure payment, and prompt delivery of books, course packs, course-related supplies and materials, and institutional memorabilia.
- Ongoing technical support, preferably offered during evenings and weekends as well as normal institutional working hours.
- Referrals for student learning differences, physical challenges, and personal counseling.
- Access to grievance procedures. Within the context of the program, the requirements of the program's students, and the type of institution, review each of the services and procedures listed above from the standpoint of a student for whom access to the campus is not feasible.
- Are the institution's policies and procedures appropriate and adequate from the standpoint of the distant student?
- If not all appropriate resources are routinely available at a distance, what arrangements has the institution made to provide them to distant students?
- Are these services perceived by distant students to be adequate and appropriate?
- Are these services perceived to be adequate and appropriate by those responsible for providing them? What modifications or improvements are planned?

4d. The institution recognizes that a sense of community is important to the success of many students, and that an ongoing, long-term relationship is beneficial to both student and institution. The design and administration of the program takes this factor into account as appropriate, through such actions as encouraging study groups, providing student directories (with the permission of those listed), including off-campus students in institutional publications and events, including these students in definitions of the academic community through such mechanisms as student government representation, invitations to campus events including graduation ceremonies, and similar strategies of inclusion.

- What strategies and practices are implemented by this institution to involve distant students as part of an academic community? By their statements and actions, do administrators and participating faculty members communicate a belief that a sense of academic community is important?
- How are the learning needs of students enrolled in electronically offered programs identified, addressed, and linked to educational objectives and learning outcomes, particularly within the context of the institution's definition of itself as a learning community.
- Do representative students feel that they are part of a community, or that they are entirely on their own?

5. Evaluation and Assessment. Both the assessment of student achievement and evaluation of the overall program take on added importance as new techniques evolve. For example, in asynchronous programs the element of seat time is essentially removed from the equation. For these reasons, the institution conducts sustained, evidence-based and participatory inquiry as to whether distance learning programs are achieving objectives. The results of such inquiry are used to guide curriculum design and delivery, pedagogy, and educational processes, and may affect future policy and budgets and perhaps have implications for the institution's roles and mission.

5a. As a component of the institution's overall assessment activities, documented assessment of student achievement is conducted in each course and at the completion of the program, by comparing student performance to the intended learning outcomes.

- How does the institution review the effectiveness of its distance education programs to assure alignment with institutional priorities and educational objectives?
- How does evaluated student performance compare to intended learning outcomes?
- How is student performance evaluated?
- How are assessment activities related to distance learning integrated into the institution's broader program of assessment?

5b. When examinations are employed (paper, online, demonstrations of competency, etc.), they take place in circumstances that include firm student identification. The institution otherwise seeks to assure the integrity of student work.

- If proctoring is used, what are the procedures for selecting proctors, establishing student identity, assuring security of test instruments, administering the examinations, and assuring secure and prompt evaluation?
- If other methods are used to identify those who take the examination, how is identification firmly established? How are the conditions of the examination (security, time limits, etc.) controlled?
- Does the institution have in place effective policies and procedures to assure the integrity of student work?

5c. Documented procedures assure that security of personal information is protected in the conduct of assessments and evaluations and in the dissemination of results.

- What procedures assure the security of personal information?
- How is personal information protected while providing appropriate dissemination of the evaluation results?

5d. Overall program effectiveness is determined by such measures as:

- The extent to which student learning matches intended outcomes, including for degree programs both the goals of general education and the objectives of the major.
- The extent to which student intent is met.
- Student retention rates, including variations over time.
- Student satisfaction, as measured by regular surveys.
- Faculty satisfaction, as measured by regular surveys and by formal and informal peer review processes.
- The extent to which access is provided to students not previously served.
- Measures of the extent to which library and learning resources are used appropriately by the program's students.
- Measures of student competence in fundamental skills such as communication, comprehension, and analysis.
- Cost effectiveness of the program to its students, as compared to campus-based alternatives.

Although not all of these measures will be applicable equally at every institution, appropriate evidence is generally available through:

- Evaluations of student performance (see **5a** above).
- Review of student work and archive of student activities, if maintained, in the course of program reviews.
- Results from students' routine end-of-course and -program evaluations.
- Student surveys of overall satisfaction with the experience of electronically offered programs; surveys reflecting student cost trade-offs experienced as they pursued the program.
- Faculty surveys, peer reviews of programs, and discussion groups.
- Documentation concerning access provided to students not previously served, through a combination of enrollment records and student surveys.
- Usage records concerning use of library and learning resources, and instructor assignments that require such usage.
- Assessment of students' fundamental skills in communication, comprehension, and analysis. How have the institution's usual measures of these skills been adapted to assess distant students?
- Documentation of the institution's analyses that relate costs to goals of the program.

5e. The institution conducts a program of continual self-evaluation directed toward program improvement, targeting more effective uses of technology to improve pedagogy, advances in student achievement of intended outcomes, improved retention rates, effective use of resources, and demonstrated improvements in the institution's service to its internal and external constituencies. The program and its results are reflected in the institution's ongoing self-evaluation process and are used to inform the further plans of the institution and those responsible for its academic programs.

- How is the institution's ongoing program of assessment and improvement developed and conducted?
- Does it cover the essential categories of improved learning outcomes, retention, use of resources, and service to core constituencies?
- Does the program appropriately involve academically qualified persons?
- What are the institution's mechanisms for review and revision of existing programs and courses?
- How does program evaluation affect institutional planning?
- What constituencies are actively involved in the ongoing process of planning for improvement?
- Has the process had measurable results to date?

5f. Institutional evaluation of electronically offered programs takes place in the context of the regular evaluation of all academic programs.

- What are the administrative and procedural links between the evaluation of electronically offered programs and the ongoing evaluation of all academic programs?
- How are the respective characteristics of campus-based and electronically offered programs taken into account?

Appendix C Monitoring Report Of Teaching Faculty

Course ID & Title:	
Faculty Member:	
Course Evaluator:	
Week	

The monitoring process is conducted when the faculty member is teaching a course for the first time or is a new instructor. The purpose for having a monitor review of a faculty member's course is to ensure the new faculty member understands the expectations for teaching a Charter Oak State College course. This review will also allow faculty members to receive valuable feedback from an experienced online faculty member regarding interacting with students, online facilitation skills and other best practices.

As the monitor for the course, it is important that you assess the faculty member's performance based on Charter Oak State College's policies and procedures and best practices for facilitating an online course. The following points below are the roles and responsibilities for the faculty members that accepts a teaching appointment at Charter Oak:

- Maintaining a presence in the course shell for a mandatory minimum of four days per week (i.e. participating in discussion boards, posting announcements, grading student work in the Grade Center, etc.)
- Faculty members are required to maintain a presence in the discussion forum. The faculty responses to students in the discussion forum can take place on any of the four days per week the faculty member is required to be present in his/her course. Faculty should not be absent from his/her course for more than two (2) consecutive days
- Correcting and returning assignments within a week of receiving them
- Responding to any student's correspondence within 48 hours (Questions or concerns posted in the Q&A section)
- Posting grades weekly in the Grade Center

It is important that the monitor respond to the questions and submit this report for each of the following weeks:

- Week 1 for all course types (5-week Sessions, 8-week Term, or a 15-week Full Semester).
- Week 2 for all course types (5-week Sessions, 8-week Term, or a 15-week Full Semester).
- Week 4; for 5-week Session courses
- Week 4 and 7; 8-week Term courses
- Week 5, 8, and 14; 15-week Full Semester courses

Please respond to each of the following questions (Respond to week 1 via email):

1. Did the faculty member follow the syllabus? If no, please explain.

2. How well did the faculty member respond to student questions/concerns in the Q & A section?
3. How well did the faculty member use the announcement feature to support the online teaching and learning process?
4. Is the faculty member responding to students' questions/concerns within the required 24-48 hours? (Please note: You will not be able to view email interactions between the teaching faculty member and students. You are monitoring the Blackboard interactions.)
5. Is the faculty member interacting with students in the discussion forum for the required minimum of four days per week? (Please note: The Faculty Discussion Participation Requirement does not require faculty to respond to every student's discussion post.)
6. How well did the faculty member interact with students in the discussion forum?
7. Is the faculty member correcting, giving feedback and returning assignments within a week of receiving students' coursework (Please note: No response is required for week 1.)
8. Is the faculty member's feedback presented in a clear and concise manner?
9. What recommendations do you have for the teaching faculty member?
10. Would you recommend that this teaching faculty member continue to teach the course? Why or why not? (Provide a response on the last monitor)

Additional Comments

Please Note: Capstone and contract courses with enrollments of 1 to 3 students are exempt from some of the teaching appointment requirements.

**Appendix D
Incomplete Grade Form**



PLEASE RETURN THIS COMPLETED FORM TO:
 Attention: Provost
 55 Paul J. Manafort Drive. New Britain, CT 06053 Fax:
 860.760.6918 | Email: sadams@charteroak.edu

Request for Incomplete Grade

Incomplete grades may be given only in the following circumstances:	Process:
1. The student's work to date is passing; 2. Attendance has been satisfactory through at least 60% of the term; 3. An illness or other extenuating circumstance legitimately preventing completion of required work by the due date; (Documentation will be required to submit with this form) 4. Required work may reasonably be completed in within a two-week period; 5. The incomplete is not given as a substitute for a failing grade; 6. The incomplete is not a means of raising his or her grade by doing additional work after the grade report time.	1. The student initiates the request for an incomplete grade at least one week before the end of the term. 2. The student must e-mail or fax the form to the Provost, along with appropriate documentation. 3. The Provost will determine if the documentation is sufficient to warrant the instructor to consider an extension. The Provost will either approve or deny. 4. If the Provost consents, the Provost will contact the instructor. The instructor will state the requirements for completion of the course on this form. The instructor will return the form to the Provost and the Provost will send a copy of the approved form to the student. 5. The Provost will notify the Registrar of approved Requests for Incomplete Grades. 6. The instructor submits the final grade to the Registrar on the Change of Grade form. 7. Incomplete grades appear on the transcript for 2 weeks. 8. After two-weeks, if coursework is still incomplete, grade will change to 'F'.

Student Name _____ Student ID Number _____

Course Code _____ Course Title _____ Term/Year _____ Instructor Name _____

Reason for Requesting Incomplete Grade: _____

Student Signature _____ Date _____

<u>THIS SECTION FOR COMPLETION BY COURSE INSTRUCTOR AND PROVOST</u>	
Date of Completion for Course (cannot exceed 2 weeks from last day of class) ____/____/____ by 11:59 pm EST	
Instructor requirements for completion of course: _____	

Provost Signature: _____	Date: _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied

Appendix F
Procedure for Charter Oak State College Part-Time Faculty Engaged in Consulting or Research with a Public or Private Entity

Faculty Consulting and Research with Public or Private Entities BOR approved 11/21/13; rescinds BR#0755 Connecticut State University System Policy Regarding Faculty Consulting and Research with Public or Private Entities

Section 184(r)(2) of the General Statutes requires the board to adopt a policy regarding faculty consulting agreements and research projects with public and private entities, requires that procedures be promulgated at the institutions to manage and account for such agreements and projects, and provide information semiannually to an oversight committee established pursuant to the statute. Faculty professional activities such as consulting or engaging in a research project for a public or private entity often are useful in maintaining and enhancing the faculty member's academic scholarship and competence. However, the primary responsibility of full-time faculty during the academic year is to the Board of Regents for Higher Education of the Connecticut State Colleges and Universities and their respective institution. The value of these outside activities is recognized through Collective Bargaining Agreements and statute and regulation.

For the purposes of this policy, consulting shall be defined as the provision of services for compensation to a public or private entity by a member of the faculty or member of the faculty bargaining unit:

- (i) when the request to provide such service is based on such member's expertise in a field or prominence in such field, and (ii) while such member is not acting in the capacity of a state employee.

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

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

Each institution shall establish internal operating procedures that shall ensure, to the extent possible:

- (i) the disclosure, review, and management of conflicts of interest relating to any such agreement or project;
- (ii) the approval of the chief academic officer and dean of the institution prior to any such member entering into any such agreement or engaging in any such project; and
- (iii) the referral of any failure to comply with the provisions of this policy or institution procedure to the applicable disciplinary process outlined in the Collective Bargaining Agreement.

Each institution shall provide a report to the Office of the BOR President and Director of Internal Audit of any such approved activities on or before May 1 and November 1 of each year. In addition, the Director of Internal Audit for the Connecticut State Colleges and Universities shall audit each institution's compliance with the established internal procedures and this policy annually.

Introduction:

As part of the Connecticut State Colleges and Universities system, Charter Oak must comply with General Statute Sec. 12. Section 1-84. To be in compliance, Charter Oak has adapted the policy to meet its faculty structure, while maintaining the requirements of the policy. The responsibilities and expectations of Charter Oak's faculty are outlined in the Faculty Handbook, the By-laws, and in their letters of appointment. This policy applies only when they are consulting and/or conducting research in their roles as Charter Oak faculty. A copy of the policy, procedures, and forms are available to the faculty in the Faculty Resource Center.

Procedure:

Charter Oak part time faculty may enter into consulting contracts or research contracts with another entity, public or private, provided such agreement or project does not conflict with the member's employment at Charter Oak, and

1. is not inappropriately using proprietary information in connection with such agreement or project,
2. does not have an interest in such agreement or project that interferes with the proper discharge of employment with Charter Oak, and
3. is not inappropriately using such member's association with the Charter Oak in connection with such agreement or project

The policy, procedures, and form will be available in the online Faculty Resource Center.

Process and Review:

If Charter Oak faculty members plan to engage in consulting or research projects and wish to use any of Charter Oak's resources, including students, data, etc.:

- They must request approval to enter into such research and/or consulting agreement in writing by completing the **"Compliance Form for Reporting of Research or Consulting with Outside Public or Private Entity"** and **sending it to** the Chief Academic Officer before entering into such agreement.
- The form must include the requestor's name, discipline, description of consulting service or research projects, name of the public/private entity for whom the requestor is conducting the work, dates of engagement, and the requestor's signature.
- The Chief Academic Officer (CAO) and the President will review the request within seven (7) business days and approve or disapprove.
- The CAO will notify the employee in writing of the decision via the Compliance Form.
- If the request requires IRB approval, the CAO will send the faculty member the IRM form to complete and return. The CAP will then send the IRB form to the Assessment Committee for action. The CAO will notify the faculty member of the decision.

Appeal Process:

If the request is denied:

- The faculty member may request a review by Charter Oak's Assessment Committee which functions as the institution's Institutional Review Board (IRB). The request must be sent to the CAO in writing within seven (7) business days of receiving the denial letter.
- The CAO will send the request to the chair of the IRB who will convene, minimally, three members of the board to review the proposal and to make a decision.
- The IRB will have 21 working days to make the decision. If needed, the IRB may request the employee to attend the review.
- The chair of the IRB will forward the decision in writing to the CAO who will then send the decision to the faculty member. The decision of the IRS is final.

Sanction for Non-Compliance:

If the faculty member engages in the research project or consulting activity after receiving non-approval, the following sanctions may take place:

- Since faculty are not full time and are subject to renewal each semester/term, their appointment would not be renewed.

Procedure Monitoring and Reporting:

The IRB will monitor the procedure to ensure that the College is following this procedure and that the procedure has been promulgated to its faculty. The IRB, through the CAO, will make a semi-annual report to the BOR President and the Director of Internal Audit on or before May 1 and November 1 of each year, even if no activity occurred. The report will include the name of the college, the date, and "no activity" if none has taken place.

Record Retention:

A copy of the Compliance Form and the result of any action taken by the BOR will be placed in the faculty member's file in the Human Resource Department and copies into the electronic file. All information obtained as part of this policy

and protocol shall be held in strictest confidence. Documentation shall be retained for the appropriate retention period for employment records promulgated by the State of Connecticut, Charter Oak, or BOR System Office policies and procedures. Unauthorized disclosure of information or use for any party outside of stated reviewers or other approved and necessary reviewers will not be tolerated and may subject the discloser to disciplinary action.

Note: This procedure is a result of Sec. 12. Section 1-84 of the Connecticut general statutes and therefore applies to all faculty working for state institutions in Connecticut. Therefore, faculty holding dual employment will need to comply with the procedure at both institutions, as applicable.

Approved (revised) by Academic Council 6/19/2014. Revised 5/25/2016. Approved 7/29/2016.

CONNECTICUT STATE COLLEGES AND UNIVERSITIES
Charter Oak State College
Compliance Form for
Requesting to Conduct Research or Consulting with Outside Public or Private Entity

Procedure:

1. This form must be submitted by part-time faculty members for review by the Chief Academic Officer and President prior to engaging in any outside consulting or research that involves utilizing the resources of the College in accordance with Charter Oak’s policy as it relates to Section 184(r)(2) of the General Statutes
 2. A copy of this form indicating whether the outside activity is “in compliance” or “not in compliance” shall be returned to the faculty member. An appeal process is described in the procedures document.
 3. A copy of this form shall be placed in the faculty member’s personnel file.
 4. Please refer to the “Procedure for Faculty Engaged in Consulting and Research with a Public or Private Entity” for instructions on completing and submitting this Compliance form.
-

Name: _____

Discipline: _____

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

Pursuant to the 2011 Guide to the Code of Ethics for Public Officials and State Employees, state employees “may not utilize state time, materials or personnel in completing tasks for outside employment”.

Name of Public/Private Entity: _____

Dates of Engagement: _____ **to** _____

Faculty Member’s Signature: _____ **Date:** _____

Chief Academic Officer Approval (circle one): In Compliance Not in Compliance*

*If Not in Compliance, reasons: _____

President's Approval (circle one): In Compliance Not in Compliance*

*If Not in Compliance, reason: _____

CAO Signature: _____ Date: _____

President's Signature: _____ Date: _____

CONNECTICUT STATE COLLEGES AND UNIVERSITIES

Charter Oak State College

Form for Appealing Non-compliance Decision

To Conduct Research or Consult with Outside Public or Private Entity

Procedure:

5. This form must be submitted by faculty members who are appealing the decision by the Chief Academic Officer and President prior to engaging in any outside consulting or research that involves utilizing the resources of the College in accordance with Charter Oak's policy as it relates to Section 184(r)(2) of the General Statutes
6. The form, along with any supporting documentation, must be received by the Provost within 7 business days of the faculty member receiving the denial.
7. The form and documentation will be sent by the Provost to the chair of the Assessment Committee (serving as the IRB) to render a final decision in line with the appeal process contained on page 2 of the Procedure document.
8. The IRB will render a decision within 21 days and send the decision to the Provost.
9. The decision will be sent to the faculty member by the Provost.

Name: _____

Discipline: _____

Brief Description of Consulting Service or Research Project

Rationale for Appeal: (Attach any supporting documents)

Faculty Member's Signature: _____ **Date:** _____

Decision of IRB: (circle one): **In Compliance** **Not in Compliance***

***If Not in Compliance, reason:** _____

IRB Chair, Signature: _____ **Date:** _____