

Eastern Connecticut State University

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

Utilizing this form, full-time and part-time AAUP faculty are to report consulting or research with outside public or private entities prior to beginning the activity. For further information, see the document entitled "Eastern Connecticut State University Procedures for Faculty Consulting & Research with Public or Private Entities" posted at the Human Resources web page. Submission of the form is required for compliance with Public Act 07-166 Section 1-84(r)(2) of the General Statutes & Board of Regents Policy on Faculty Consulting and Research with Private and Public Entities approved on 11/21/2013 (<http://www.ct.edu/images/uploads/BOR-Minutes-11-21-2013.pdf?23028>).

Name: _____ **Academic Rank/Title:** _____

Department: _____

Description of Consulting Service or Research Project, including schedule of work (attach additional pages if needed):

(Pursuant to the 2010 *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." Outside employment includes research and consulting activities.)

Dates of Engagement: _____ to _____

AAUP Member's Signature

Date

Member's Academic Dean Signature

In compliance / Not in compliance

Date

VP for Academic Affairs Signature

In compliance / Not in compliance

Date

CONNECTICUT STATE COLLEGES AND UNIVERSITY (CSCU) SYSTEM

**Public Act 07-166 & Board of Regents Policy on
Faculty Consulting and Research with Private and Public Entities**

Frequently Asked Questions

1. **Who has to complete the Compliance Form disclosing consulting and/or research with private and/or public entities?**

Any full-time and part-time instructional faculty member who is hired/contracted by a public or private entity to perform consulting or research activities during the Fall and Spring semesters coterminous with his/her regular faculty duties.

2. **Does a faculty member complete a Compliance Form during Winter Intersession or Summer Session?**

Possibly. If the faculty member is hired/contracted by a public or private entity to perform any consulting/research activity during the Winter Intersession or Summer Session AND uses university facilities or materials in conjunction with the activity, the form should be completed. For example, if a science faculty member is secured for research and utilizes university lab facilities to examine samples, he/she should complete a form.

3. **Who determines whether the activity complies with the statute, policy, and collective bargaining agreement?**

By law and policy, the chief academic officer of the university makes the final determination.

4. **When in our negotiations should we submit the Compliance Form to determine if the anticipated activity will comply?**

To be safe, you should submit the form as soon as you can reasonably disclose the anticipated activity, its duration, and interaction with your regular duties.

5. **How long does review by the chief academic officer take?**

The chief academic officers will make every effort to turn these requests around as quickly as possible. During the semester, such review and reply to the faculty member should not take more than 48 hours ordinarily.

6. **Is there an appeal process if the chief academic officer determines my expected activity does not comply with the statute or policy?**

No. However, if you believe the determination in some way violated the collective bargaining agreement, you may file a grievance.

7. **Are there any consequences if the activity is not endorsed by the chief academic officer and the faculty member proceeds with the consulting and/or research activity?**

Yes. Such a disregard for the direction of the chief academic officer will result in a referral to appropriate university authorities to determine if an Article 16 disciplinary process should be commenced.

8. **If I am hired to review a textbook, should I complete the Compliance Form?**

Yes, if you are receiving compensation for this activity and such review occurs during a period when you are teaching.

9. **What if I am writing a textbook?**

Yes, see number 8 above.

10. **What if I receive an advance for writing a textbook?**

Yes, see number 8 above.

11. **What if I do not receive an advance?**

If there is a chance that you will ultimately be compensated for this activity, you must disclose it.

12. **What if I am already engaged in consulting or research activity that began prior to October 1, 2007?**

You should disclose this activity if it is being performed after October 1 and is ongoing. In the case of an ongoing assignment, you should update your form whenever there is a change in your agreement with the public or private entity or annually, whichever occurs first.

13. **If I have my own business, should it be reported?**

Possibly. If your business has no relation to your academic or faculty responsibilities and does not involve the use of university property, you do not need to report the business activity. (Note that faculty members may not make use of university property to engage in a business that has no relation to their academic or faculty responsibilities.) If the business is related to your academic or faculty responsibilities, you will need to report the business. The following examples illustrate the two situations. First, if you are a history professor and own an ice cream shop that has no relation to your activities as a faculty member, such a business does not need to be disclosed. Second, if you are an accounting professor and you own a CPA firm that performs accounting activities throughout the academic year, you should disclose this information.

14. **What if I have an occasional opportunity to consult with a number of clients? How do I report that?**

Report the anticipated dates/scope of such an engagement for the present academic year. Report again during the following academic year if you anticipate an additional engagement.

15. **Do I need to disclose if I am receiving an NSF grant?**

Possibly. If the grant is administered by Eastern or CSCU, you do not need to disclose the grant since we already have approved such activity. If you have the grant through an institution not affiliated with Eastern or CSCU, you must disclose the activity.

16. **Do I need to disclose if I am receiving a grant and the grant is being administered through my university or another CSCU institution?**

No, see number 15 above.

17. **Do I need to submit a Compliance Form when receiving reimbursement from grants?**

Yes, unless the grant is being administered through the university and the reimbursement check comes from the state.

18. **Do I need to complete the Disclosure Form if I am hired by another Connecticut public higher education institution (UConn, CSCU, WCSU, SCSU, Charter Oak or Community Colleges) or an executive branch agency to perform research or consulting services?**

Not this form. However, you must have on file a fully executed Dual Employment Request Form and (if teaching) an External Teaching Form with the Office of Human Resources at your institution.

19. **If I am asked to teach a course at another university during the regular semester, do I need to complete the Compliance Form?**

Not this form. However, you MUST file an External Teaching Form and receive approval for outside teaching pursuant to Article 10.13 of the collective bargaining agreement. This must be done whether at a Connecticut public higher education institution or at any other institution.

20. **What if I am engaged in an outside activity that is not covered by this policy but requires me to spend a considerable amount of time each week at such activity?**

It is important to note that the collective bargaining agreement is very clear on this matter. Your primary responsibility is to the university and your students. If it is determined that any outside activity interferes with your ability to fulfill your obligations to your university and/or the students, the university may direct you to cease such activity.

21. **Does this apply to work done with or through ITBD (Institute of Technology & Business Development at CCSU) or another state-affiliated organization?**

It does not apply if payment for such activities goes through the regular payroll processes of the university/State of Connecticut and you have on file a valid Dual Employment Request Form.

22. **How much time a week can I spend on outside activities such as these?**

CCSU has not set an arbitrary amount of time for this purpose. However, by way of reference, please be advised that UConn has limited such activities to the equivalent of one day per week. While no such limitation has yet been set here, the one-day example seems appropriate and a legitimate guideline for faculty and chief academic officers alike.

23. **I'm about to go to Akron, Ohio, to give a talk for which I will be paid an honorarium. I have already received approval of my travel authorization for this. In the future, do I need to receive prior approval for this type of activity before I accept an invitation to give a guest lecture?**

In the future, at the same time a Travel Authorization Form is submitted, the Disclosure Form should also be submitted.

24. **I get paid \$10 a week to write a blog post about poetry-related news for a popular online literary magazine. Does this need to be registered? Does it matter that it's open-ended?**

Yes, this ongoing activity should be submitted for a determination of compliance.

25. **I review one to three new books of poetry every month (I keep the book, but get no other compensation), and also write a column on psychoanalysis in literary culture (no compensation). Likewise, I am a staff writer for an online publication, where I review books & DVDS, and occasionally interview authors. Does all of this uncompensated activity need to be registered?**

If it is uncompensated, it does not have to be disclosed. Please note, however, in Connecticut, receiving a copy of the book might be considered compensation by the Citizens' Ethics Advisory Board. As such, it is recommended that such activities be disclosed.

26. **Recently, InsideHigherEd.com published an editorial I wrote. It's a one-time thing (i.e., I have no relationship with them), but they're paying me \$100. Should I disclose this?**

Yes.