TRUSTEES PRESENT:
Mr. Lawrence D. McHugh, Chairman  
Mr. Karl J. Krapek, Vice Chairman  
Ms. Theresa J. Eberhard-Asch, Secretary  
Christopher L. Ambrosio  
Mr. Richard J. Balducci  
Mr. John A. Doyle  
Ms. Elizabeth Gagne  
Mr. John H. Motley  
Mr. L. David Panciera  
Mr. Ronald J. Pugliese  
Dr. Peter M. Rosa  
Mr. Andrew Russo, student trustee elect  
Mr. John R. Sholtis, Jr.  
Mr. Brian Sullivan, student trustee elect  
Fr. John P. Sullivan  
Ms. Gail H. Williams  

TRUSTEES ABSENT:
Mr. Angelo J. Messina  
Mr. M. Fernando Franco  

OTHER OFFICIALS PRESENT:
David G. Carter, Chancellor, Connecticut State University System (CSU)  
Jack W. Miller, President, Central Connecticut State University (CCSU)  
Michael Pernal, Interim President, Eastern Connecticut State University (ECSU)  
Cheryl J. Norton, President, Southern Connecticut State University (SCSU)  
James W. Schmotter, President, Western Connecticut State University (WCSU)  

SYSTEM OFFICE BOARD STAFF:
Estela Lopez, Vice Chancellor; Pamela Kedderis, Chief Financial Officer; Yvette Melendez Thiesfield, Chief Administrative Officer; Anne Agee, Chief Information Officer; George Khaledjian, Chief Information Officer for ECSU on special assignment to the System Office; and Erin Fitzgerald, Associate for Board Affairs  

CALL TO ORDER AND APPROVAL OF MINUTES  
Chairman McHugh called the meeting to order at 10:05 a.m., declared a quorum present and requested a motion to accept the Regular Session and Executive Session Minutes of May 18, 2006. Mr. Balducci so moved; Mr. Doyle seconded the motion and it was approved unanimously.  

Chairman McHugh welcomed two new Connecticut State University System student trustees: Brian Sullivan from Eastern Connecticut State University and Andrew Russo from Central Connecticut State University. Chairman McHugh noted that, per state statute, their terms would commence at the first
Board meeting in November; however, both student trustees volunteered to attend Board meetings in a non-voting capacity until they are officially sworn in on November 2, 2006. Chairman McHugh asked the trustees to join with him in welcoming both Mr. Russo and Mr. Sullivan to the Board of Trustees for the Connecticut State University System.

**CHANCELLOR/PRESIDENTS’ REPORTS**

Chancellor Carter commented upon the recent university commencement exercises, noting that all of the participants, from students, faculty and staff, represented themselves in a manner that would make every Trustee proud.

Chancellor pointed out the following materials in the Board folders: National Center for Public Policy and Higher Education—*American Higher Education: How Does It Measure Up for the 21st Century?*; AASCU’s Policy Matters brief on *Enrollment Trends at AASCU Campuses, 1994-2004*; Capitol Update May 2006; AGB Trusteeship article *Is It Time to Take a Courageous Leap?*; and a flyer announcing the appointment of David P. Trainor as the executive officer for human resources and labor relations for the Connecticut State University System.

Chancellor Carter introduced a short video focusing on the recent university commencements, remarking that the video was the joint project of all four universities, with staff from Eastern Connecticut State University responsible for post-production editing and distribution. Prior to airing the commencement video compilation, President Pernal offered his thanks and appreciation to the following individuals who worked so hard to prepare this project for the Board of Trustees.

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Following the airing of the video, Chancellor Carter thanked the presidents and congratulated them upon the quality of the video compilation. He added that the accomplishments of the CSU System students highlighted that our students have a real sense of obligation to give back to society. Chairman McHugh added his appreciation to the presidents for the excellent, concise video presentation.
STUDENT LIFE COMMITTEE

Mr. Panciera noted that the Student Life Committee met on Thursday, May 25, 2006 at the System Office and recommended the following two action items:

*A resolution to revise the Drug Education and Screening Policy for Student Athletes.* Trustee Panciera pointed out that the Board resolution for the system’s Drug Education and Screening Policy was revised last semester. Since that time, it has come to the attention that the National Collegiate Athletic Association (NCAA) conducts yearlong random testing of student athletes attending Division I and II institutions for drugs. Both Central Connecticut State University and Southern Connecticut State University belong to those divisions, making those student athletes subject to the random testing, therefore, at this time, there is no need to duplicate the NCAA random drug-testing program for Central and Southern. On the other hand, both Eastern and Western belong to NCAA Division III, which, at present, does not require random testing, therefore the program needs to be implemented at those two universities. The accompanying guidelines are also amended to indicate the changes.

Mr. Panciera moved the resolution to revise the Drug Education & Screening Policy for Student Athletes; Mr. Pugliese seconded the motion and the following resolution was approved unanimously.

WHEREAS, The Board of Trustees adopted the revisions to the Connecticut State University System Drug Education and Screening Policy for Student Athletes, and

WHEREAS, The National Collegiate Athletic Association (NCAA) performs random testing throughout the year of athletes belonging to Division I and Division II, and

WHEREAS, The Drug Education and Screening Policy need not duplicate the random testing program of the National Collegiate Athletic Association, therefore be it

RESOLVED, That Board Resolution # 05-77 is hereby amended to exclude at this time Central Connecticut State University and Southern Connecticut State University student athletes from the random testing program since these two institutions are already participating in the NCAA yearlong testing program, and be it further

RESOLVED, That the Chancellor is authorized to amend the guidelines to implement this policy.

Revised Guidelines for the Implementation of the Drug Education and Screening Policy

- Prior to the effective date of the Drug Education and Screening Policy, July 1, 2006, each university will conduct mandatory orientations to acquaint Athletic Department personnel, as well as other affected staff, with the requirements of the new Policy.

- The “Inform/Consent Release” form and the “Prescription and Non-Prescription Medication Disclosure Form,” and any other form containing personal information protected by the provisions of FERPA, will be maintained and stored in a safe and secure location. Such forms will be handled according to FERPA requirements. They may be viewed only by personnel with a need to know, they will not be left in an
unsecured location, and they will be filed and/or stored in locked facilities. The forms and the information contained therein, may not be disclosed to any unauthorized party.

- After the Policy becomes effective, July 1, 2006, each university will offer all students (including athletes, athletic training students and managers) an education program designed to acquaint them with the risks and hazards associated with the use of alcohol and street performance-enhancing drugs and with the requirements of the policy.

- Since the NCAA conducts random testing throughout the year of student athletes attending Division I and Division II schools, there is no need to duplicate the random drug testing program at Central Connecticut State University and at Southern Connecticut State University.

- At this time, both Eastern Connecticut State University and Western Connecticut State University will implement a random drug testing program.

- Following state regulations, each university will contract with a qualified testing laboratory.

- The universities will provide the necessary resources to implement this Policy adequately.

- This Policy will be reviewed periodically to evaluate its effectiveness.

A resolution to adopt the document “Serving our Students” in support of enhancing student engagement in the CSU System. Trustee Panciera reported that the Student Life Committee hosted a retreat in June 2005 to discuss the following questions: “Who are our students and how can we best serve them?” In trying to answer these critical questions, the participants agreed on a series of values that would provide a framework for student engagement. In addition, at a joint meeting of the Student Life and Academic Affairs Committees the following January, follow-up questions were discussed: What does it mean for the CSU System and its Universities to be student-centered? What are the key strategies to make this happen? How do we measure our progress toward this goal?

The result of those discussions and a series of other related conversations led to the formulation of the document “Serving Our Students.”

Mr. Panciera stated that the document reaffirms the Connecticut State University System’s commitment to becoming more student-centered through the identification and adoption of four fundamental values: 1) make the universities more student or learner-centered, 2) increase student engagement with the universities, 3) improve the quality of student service functions, and 4) improve the synergy between student services and academic affairs. It also defines three critical areas to drive system goals and objectives: 1) enhance synergy/collaboration between student and academic affairs, 2) improve the provision of student services and 3) assess learning in student services programs as well as in other extra-curricular experiences. For each of the critical areas, specific goals are identified. This document
will provide a framework for strategic planning and will serve as the basis for establishing benchmarks regarding progress towards reaching the overarching goal of becoming more student-centered.

The four universities have also agreed to participate in the National Survey of Student Engagement and use the results for improvement.

Mr. Panciera moved the resolution to adopt the document “Serving our Students” in support of enhancing student engagement in the CSU System; Mr. Rosa seconded the motion and the following resolution was approved unanimously. Mr. Panciera thanked all of his fellow trustees, particularly Trustee Pugliese and Trustee Rosa, as well as the university presidents, vice presidents and Dr. Estela Lopez for their diligent work on this very important matter.

WHEREAS, The Connecticut State University System is committed to the concept of student learning for educational improvement and to making the Universities more student or learner-centered, and

WHEREAS, The CSU System is also committed to increasing student engagement, improving the quality of student services functions, and increasing the synergy between student services and academic affairs, and

WHEREAS, These values are interrelated and need to be adequately recognized and supported by all levels, therefore be it

RESOLVED, That the Board of Trustees adopt a statement that identifies three critical areas that, within the context of the university’s mission, support being student-centered, and be it further

RESOLVED, That this document will provide a framework for future strategic planning activities, and be it further

RESOLVED, That benchmarks will be established to measure progress towards becoming a more student-centered System.

CONNECTICUT STATE UNIVERSITY SYSTEM SERVING OUR STUDENTS

The CSU System reaffirms its commitment to improve student learning through the following values: 1) making the Universities more student or learner-centered, 2) increasing student engagement with the Universities, 3) improving the quality of student service functions, and 4) improving the synergy between student services and academic affairs. These values are interrelated, promoting them require the identification of critical areas that will drive system goals and objectives.

First Critical Area: Enhance Synergy/Collaboration Between Student and Academic Affairs

Student Affairs is an integral component of our student’s academic experience. An excellent example of this is experiential learning that is a component of many CSU academic programs. However, there is still an “either or” between academic and student affairs in the minds of some educational leaders. This false dichotomy needs to be eliminated. The Universities need to improve the synergy between student services and academic affairs. The question of how the traditional faculty reward structure affects student services and its ability to support the University’s mission of educating its students needs to be considered.
Goals:

- Continue to establish and/or improve programs that impact student retention such as orientation, First-Year Experience programs, advising, experiential learning programs and programs that engage students with different aspects of the universities.

- Continue to expand the use of technology to support the administrative and communication needs of CSU students. This is currently being done through the Banner Student Information System.

- Consider the findings of the Learning Reconsidered report developed by NASPA and ACPA in March 2004 and implement appropriate recommendations into the CSU Universities.

- Promote joint meetings of academic and student affairs to discuss ways of becoming student-centered universities.

Second Critical Area: Improve the Provision of Student Services

The CSU System Universities need to continuously improve the traditional student service functions. Efforts should be made to ascertain the student’s satisfaction with these student services. This information should be used to select the student service programs that are most important to CSU students and that need to be improved. These programs should be reviewed and improved. The University should consider using the standards developed by the Council for the Advancement of Standards in Higher Education (CAS) to evaluate its student service functions.

Goals:

- Address the question “What does it mean to be a student centered university?” and develop ways to become a student centered university.

- Institute the evaluation of student services functions to determine the importance and satisfaction with their delivery.

- Evaluate student services functions using the CAS Standards.

Third Critical Area: Assess Learning in Student Services Programs as well as in other outside the classroom experiences

The Universities need to determine the educational objectives of each of its student services programs, evaluate student outcomes based on these objectives and use this information to improve their programs. In addition, assessment practices should demonstrate how student services activities support the student’s achievement of goals and objectives. By incorporating assessment practices, CSU’s Universities will become learner-centered where the focus is on student learning.

Goals:

- Define measurable learning objectives and develop an assessment process for student services functions as well as for other outside the classroom learning experiences.

- Implement the assessment processes and utilize the results in a systematic manner to inform planning and budget priorities.
ACADEMIC AFFAIRS COMMITTEE

Trustee Doyle reported that the Academic Affairs Committee met on May 24, 2006 and recommended the following:

A proposal by the President of Western Connecticut State University to establish a School of Visual and Performing Arts. The arts have long been recognized as an area of special competence at Western Connecticut State University and Western has long been a school of choice among those seeking to pursue careers in music, music education, theater arts and fine arts. At present, the Art, Theater, and Music Departments are housed in different schools. The creation of the School of Visual and Performing Arts will provide a structure fostering collaboration between the arts that would enable the programs to strengthen their offerings and service to the community. Mr. Doyle added that during the first few years, the school would be supported through reassignment of personnel. Existing space in Higgins Hall, former home of the science departments, will be used as additional space to meet the needs of these departments while a new building is constructed. Western is also anticipating that the school’s opening will provide incentives for increased private funding.

Mr. Doyle moved the resolution to establish a School of Visual and Performing Arts at Western Connecticut State University; Mr. Pugliese seconded the motion and the following resolution was approved unanimously.

WHEREAS, Western Connecticut State University has a long history of providing quality programs in the Visual and Performing Arts, and

WHEREAS, Western Connecticut State University’s mission statement indicates that the university serves as an accessible, responsive, and creative intellectual resource for the people and institutions of Connecticut, and

WHEREAS, Competence in the arts has been repeatedly identified in the 2004-05 “Values and Vision” as an important contribution and Western has been cited for providing leadership in the region’s fine arts scene, and

WHEREAS, Western Connecticut has identified the arts as one of the areas of competitive advantage that will feature prominently in the university’s strategic plan, and

WHEREAS, The purpose of the School is compatible with the mission of Western Connecticut State University and the Connecticut State University System, therefore be it

RESOLVED, That the Board of Trustees for the Connecticut State University System hereby authorizes the establishment of the School of Visual and Performing Arts at Western Connecticut State University, and be it further

RESOLVED, That the President of Western Connecticut State University is directed to periodically evaluate the functioning of the School of Visual and Performing Arts in terms of its effectiveness.
Trustee Krapek reported that the Finance and Administration Committee met on June 1, 2006 and had two action items for the Board’s review and consideration.

Resolution concerning University residence policy related to employment. Mr. Krapek advised that as a condition of their employment, certain employees of the Connecticut State University System are required to live on campus in university-provided housing, such as residence halls. The System is seeking to establish a uniform policy governing the use and conditions of university residency by these employees. The goal of the policy is to enable such staff members to live as normal a life as possible while ensuring appropriate use of facilities and equipment, the personal safety of building occupants and the protection of all members of the university community.

Mr. Krapek noted that policy sets forth provisions on who may reside in on-campus housing, sets limits of occupancy, prohibits pets, and requires background checks on all adults residing in on-campus housing. It also requires staff to inform the university of any changes in occupancy, prohibits staff members from allowing students to live in their university residences, and states that staff are responsible for their guests. This policy was developed and approved by the System Office and the four universities.

Mr. Krapek moved the resolution concerning university resident policy related to employment; Mr. Balducci seconded the motion and the following resolution was approved unanimously.

WHEREAS, Certain employees of the Connecticut State University System, as a condition of employment, are required to live on campus in university-provided housing, and

WHEREAS, It is the intention of the System to enable such live-in staff members to live as normal a life as possible while ensuring the appropriate use of its facilities and equipment, the personal safety of its buildings’ occupants, and the protection of all members of the university community, now therefore, be it

RESOLVED, That the Board of Trustees for the Connecticut State University System adopt the attached University Residence Policy Related to Employment.

Connecticut State University System Policy Related to Employment

University Residence

Introduction/Purpose:

Certain employees of the Connecticut State University System, as a condition of employment, are required to live on campus in university-provided housing. It is the intention of the System to enable such live-in staff members to live as normal a life as possible. However, the System must be concerned about the protection and appropriate use of its facilities and equipment, the personal safety of its buildings’ occupants, and the protection of all members of the university community. Therefore, the housing of university employees in on-campus residences (including residence halls and student apartment complexes) shall comport with the following policy.
Policy Provisions:

1. Residency in on-campus residences shall be limited to the following individuals:
   (a) University residential life staff members, including, but not limited to, residence assistants and residence directors;
   (b) The spouse or civil union partner of the residential life staff member as recognized by the State of Connecticut. Proof of marriage or civil union (marriage license, certificate of civil union) must be provided to the Human Resources Department of the university by which the staff member is employed at such time as the housing is provided, or at the time the marriage or civil union occurs, whichever is later;
   (c) Minor children of the residential life staff member and/or his or her spouse or civil union partner; and
   (d) Caretakers for students with disabilities who reside in residence halls.

2. Each residential life staff member and each caretaker for a student with disabilities residing in an on-campus residence shall execute a use agreement provided by the university which shall set forth the duration of, and the terms and conditions governing, the occupancy of the on-campus residence.

3. This policy recognizes that during the summer and intersession months, university residential housing facilities may be occupied not only by university residential life staff members, but also by non-university personnel who administer, direct or participate in special summer or intersession programs. Residence hall occupancy by such persons shall be limited to the period specified in the contract governing such use.

4. This policy also recognizes that from time to time, university residence halls may be utilized to house guests of the university, such as speakers and visiting lecturers, on a temporary basis. Residence halls may only be used by the universities for this purpose if there is no student who desires and is prepared to accept on-campus housing and to whom such housing has been denied.

5. Occupancy in the university residence shall be limited to no more than two (2) persons per bedroom.

6. No pets shall be allowed in System residences, other than fish housed in aquariums no larger than twenty (20) gallons. Animals used to aid persons with disabilities shall not be considered pets prohibited by this policy.

7. Before occupancy in a university residence pursuant to this policy may commence, each proposed resident aged eighteen (18) years or over shall submit him or herself to the same criminal conviction investigation, sex offender registry status review, and social security verification that is required of the staff member prior to employment. The University reserves the right to deny access to and occupancy of a university residence to any person who fails to meet this requirement or for whom information is generated through this process that would, in the judgment of the university, pose a threat to the life, health, safety, and/or well-being of any member of the university community or to the property of the university.

8. If there is a change in the professional staff member’s status (e.g., divorce, separation, marriage, civil union) or in the occupancy of the housing by minor children of the staff member or his or her spouse or civil union partner, the Director of Housing and Residential Life shall be informed of such change in writing as soon as such change is known to the staff member. Staff members shall not permit students to live in their university residences, even for short-term breaks.

9. Professional staff members residing on campus shall be responsible for all guests whom they host in their university residence. Staff members are advised that the duration and frequency of such invitations should
be limited. Staff members should remind their guests that they are authorized to access only the staff member’s residence and public spaces on the university campus and that they are not authorized to access the living quarters of students or other staff or other areas not open to the public at large.

Resolution concerning Lease of a portion of property located at Central Connecticut State University To Anthony T. Bianca. Mr. Krapek advised that CCSU has received a request from Anthony T. Bianca to lease approximately .66 acres of property located at 67 Kilbourne Avenue for recreational purposes. Mr. Bianca currently owns property abutting the proposed lease area. The lease would be in effect for twenty years at a monthly rental rate of $100.00. Any improvements or alterations to the land would be at Mr. Bianca’s expense and must first be approved by CCSU. Mr. Bianca must comply with all laws, regulations, guidelines and ordinances; he must also obtain any required permits, and will bear any and all liability, including insurance.

Mr. Krapek stated that the lease has been reviewed by the CSU System Assistant Attorney General, and will be reviewed by the Office of the State Treasurer to ensure the lease does not affect the State’s tax-exempt status as required by State statute.

Mr. Krapek moved the resolution concerning lease of a portion of property located at Central Connecticut State University to Anthony T. Bianca; Mr. Balducci seconded the motion and the following resolution was approved unanimously.

WHEREAS, Section 4b-38(g) of the Connecticut General Statutes provides that the Board of Trustees may lease land or buildings, or both, and facilities under its control and supervision in accordance of the terms of the statute; and

WHEREAS, Anthony T. Bianca has requested permission from Central Connecticut State University (“the University”) to lease a portion of University property located at 67 Kilbourne Avenue adjacent to his property located at 55 Kilbourne Avenue for recreational purposes; and

WHEREAS, The lease agreement will stipulate that Mr. Bianca will use the leased property so as to conform with and not violate any laws, regulations and/or requirements of the United States, the State of Connecticut, or any ordinance, rule or regulation of the Town of New Britain, Connecticut now or hereafter made, relating to the use of the leased property; and

WHEREAS, The University proposes to enter into a twenty-year lease at a monthly rental of $100.00, therefore be it

RESOLVED, That the Board of Trustees of the Connecticut State University System approve a lease of property located at 67 Kilbourne Avenue, New Britain, Connecticut, to Anthony T. Bianca; and be it further

RESOLVED, That the Board of Trustees’ approval is conditional upon receipt of the Treasurer of the State of Connecticut’s review of and concurrence with the lease as required by Section 4b-38(g) of the Connecticut General Statutes.
EXECUTIVE COMMITTEE

Chairman McHugh reported that the Executive Committee met on June 1, 2006 and recommends approval of the Connecticut State University System Ethics Statement.

Chairman McHugh stated that the charter of the Connecticut State University System Audit Committee states that the Committee shall, “Review the administration of the Board’s conflict of interest policy.” However, currently, the Board of Trustees does not have a detailed policy beyond that specified in State statute.

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

Chairman McHugh advised that the proposed Ethics Statement was prepared pursuant to Section 1-83 of the Connecticut General Statutes, which mandates the development and implementation of an Ethics Statement by each state agency. It applies to the members of the Board of Trustees and to all employees of the Connecticut State University System.

Chairman McHugh noted that the proposed Ethics Statement has been reviewed and approved by the Office of State Ethics. It is intended to serve as a guide to trustees and employees in identifying and avoiding prohibited conduct and serves to supplement, not supersede, the Bylaws of the Board of Trustees and the Code of Ethics for Public Officials. However, the proposed Ethics Statement does supersede any previously published expository statement providing similar guidance to trustees and employees, including the Connecticut State University System Ethics Statement published in October, 1995.

Chairman McHugh requested a motion to approve the resolution concerning the Connecticut State University System Ethics Statement. Mr. Panciera so moved; Ms. Eberhard-Asch seconded the motion and the following resolution was approved unanimously.

WHEREAS, It is important that members of the Board of Trustees of the Connecticut State University System and all Connecticut State University System employees conduct themselves with the highest degree of honor and integrity and understand that public service is a public trust, and Section 1-83 of the Connecticut General Statutes mandates the development and implementation of an Ethics Statement by each state agency, and

WHEREAS The Connecticut State University System Audit Committee Charter states that the Audit Committee shall, “Review the administration of the Board’s conflict of interest policy”, and
WHEREAS, Section 3 of the Bylaws of the Board of Trustees simply states in part, “Members of the Board of Trustees shall serve for the public good and not for personal interest or gain. They shall comply with the provisions of the Code of Ethics for Public Officials set forth in Sections 1-79 - 1-90 of the Connecticut General Statutes… A trustee may not directly enter into a contract for fee or be employed by the Connecticut State University System. A Trustee shall not engage in any activity that violates the intent of this section and shall avoid any appearance of impropriety”, and

WHEREAS, A more detailed and specific Ethics Statement would be of assistance to Audit Committee as they discharge their responsibilities under the Committee Charter, as well as to all Connecticut State University System Trustees, as well as provide specific guidance to all employees of the Connecticut State University System in identifying and avoiding prohibited conduct, and

WHEREAS, The Connecticut State University System Ethics Statement has been reviewed and approved by the Office of State Ethics, and is intended to supplement and not supersede the Bylaws of the Board of Trustees or the Code of Ethics for Public Officials, therefore be it

RESOLVED, That the Board of Trustees for the Connecticut State University System adopt the attached Connecticut State University System Ethics Statement, and be it further

RESOLVED, That the attached Connecticut State University System Ethics Statement supersedes any previously published expository statement providing similar guidance to Connecticut State University System Trustees and employees.

**Connecticut State University System Ethics Statement**

**PURPOSE**

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

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

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

**DEFINITIONS**

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

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

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

(b) A rebate, discount or promotional item available to the general public (items such as pencils, ball point
pens, note pads and similar items used as advertisement “give-aways” fall within this category);

(c) Food or beverage or both, costing less than fifty dollars ($50.00) in the aggregate in a calendar year,
and consumed on an occasion or occasions at which the person paying, directly or indirectly, for your
food or beverage, or his representative, is in attendance;

(d) Admission to a charitable or civic event, including food and beverage provided at such event (but
excluding lodging or travel expenses), at which you participate in your official capacity, provided such
admission is provided by the primary sponsoring entity; and

(e) Anything having a value of not more than ten dollars ($10.00), provided the aggregate value of all
things provided by a donor to you under this subsection in a calendar year does not exceed fifty dollars
($50.00).

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

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

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

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

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

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

As a public official or state employee you may not:

1. Knowingly accept any gift from any person who: (a) is known to be a registered lobbyist or a lobbyist representative; (b) is doing business with or seeking to do business with the System, your university or your department; (c) is engaged in activities which are directly regulated by the System, your university or your department; or (d) is a contractor prequalified under section 4a-100 of the Connecticut General Statutes. (A list of registered lobbyists may be found on the website maintained by the Office of State Ethics.) If an employee is offered a benefit from someone whom is not a prohibited donor as described above (that is, a non-regulated donor), and the benefit is offered because of the employee’s position with the System, the total value of benefits received from one source in a calendar may not exceed $100.00.

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

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

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

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

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

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

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

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

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

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

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

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

PROCEDURE GOVERNING CONFLICTS OF INTEREST

If, in the discharge of your duties, you are required to take any action that would present either a substantial or potential conflict of interest, you must prepare a written statement, signed under penalty of false statement, describing the matter requiring action and the nature of the conflict and deliver a copy of the statement to your immediate superior, who will assign the matter to another employee, or, if you have no immediate superior, you shall take such steps as the Office of State Ethics shall prescribe or advise. You may not take any official action whatsoever on a matter with which you have a substantial conflict of interest.

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

POST-EMPLOYMENT ACTIVITIES

The Code of Ethics for Public Officials contains several provisions regarding post-state employment. Before leaving employment with the System, all employees should review the applicable rules and, if necessary, seek guidance from the Office of State Ethics. Once you have separated from state service, you may not:
1. Disclose or use confidential information acquired in the course of and by reason of your official duties for financial gain for yourself or any other person. This is a lifetime prohibition. “Confidential information” is any information not generally available to the public, and may be memorialized in any form (e.g., written, photographic, tape recorded, etc.).

2. Represent any person in connection with any matter: (i) in which participated, personally and substantially, while in state service; and (ii) in which the state has a substantial interest.

3. For a period of one year after leaving state service, represent anyone before your former agency, for compensation.

4. Accept employment with any person (including an individual, sole proprietorship, corporation, limited liability company, partnership, association or any other organization or group of persons) who was a party to a contract or agreement: (i) valued at an amount of fifty thousand dollars ($50,000.00) or more; and (ii) in the negotiation or award of which you substantially participated, for a period of one year after resigning from state service, if your resignation occurs less than one year after the contract or agreement was signed.

CODE OF ETHICS FOR PUBLIC OFFICIALS

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

REVIEW BY AUDIT COMMITTEE OF THE BOARD OF TRUSTEES

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

CHAIRMAN’S REPORT

Chairman McHugh commented upon the excellent commencement exercises at all four universities and thanked those trustees who brought greetings on behalf of the Board at the ceremonies. Remarking upon the recent successful and productive luncheon with AAUP, he also offered his thanks to both SUOAF and AAUP noting that the unions and the trustees are both working towards keeping CSU moving forward in a very positive manner. The Chairman shared a greeting he had received from a former student trustee, Brian Hill.

Chairman McHugh stated that the full Board meeting would be followed by the spending plan hearings of the Finance & Administration Committee. He offered his deepest thanks and appreciation to the trustees who serve on the Committee, remarking upon the extremely long hours involved in the
hearings and their overall task of safeguarding the financial integrity of the Connecticut State University System. Trustee Krapek thanked Chairman McHugh for his expression of gratitude and offered his appreciation to Chief Financial Officer Pamela J. Kedderis.

Chairman McHugh stated that any trustee wishing to stay for the spending plan hearings should feel free to remain following the conclusion of the full Board meeting.

ADJOURNMENT

Mr. Balducci moved to adjourn; Mr. Doyle seconded the motion and the meeting was adjourned at 10:25 a.m.

Respectfully submitted,

Theresa J. Eberhard-Asch, Secretary