**Connecticut State Colleges and Universities**

**Capital Community College Compliance Form for**

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

**Procedure:**

1. This form must be submitted by full and part-time faculty members for review by the President, or Dean of Administration and Academic Dean or Dean of Students prior to engaging in any outside consulting or research that involves compensation, in accordance with BOR policy approved 11/21/13.
2. Compliance form indicating whether the outside activity is “in compliance” or “not in compliance” shall be returned to the faculty member. An appeal process is contained on page 2 of this form.
3. A copy of this form shall be placed in the faculty member’s personnel file.
4. Please refer to the “Procedures for Faculty Consulting & Research with Public or Private Entities” for instructions on completing and submitting this Compliance Form.

**Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Academic Rank & Discipline: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Department: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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**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:**

**Approvals:**

**Academic Dean or Dean of Students Approval (circle one): Recommend: Yes/No\***

**President or Dean of Administration Approval (circle one): In Compliance / Not in Compliance\***

**\*If Not in Compliance and or does not recommend, reasons: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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**Academic Dean or Dean of Students (designee), Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date**

**President, or Dean of Administration (designee), Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date**

**Appeal Process for Negative Decision on**

**The Compliance Form for**

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

1. A faculty member may appeal, in writing, to the BOR Vice President for Human Resources within ten (10) calendar days upon receiving written notice that the outside work was not in compliance.

1. The faculty member shall receive a written response from the BOR Vice President for Human Resources within ten (10) calendar days stating the reasons for the decision.

1. Should the faculty member disagree with the decision of the BOR Vice President for Human Resources, the matter will be submitted to the Office of State Ethics within ten (10) calendar days from the day the faculty member receives the response. The BOR Vice President for Human Resources may elect to submit the matter directly to the Office of State Ethics for its opinion. This election by the BOR Vice President for Human Resources would satisfy the obligation to respond as stated in paragraph #2.

1. The determination by the Office of State Ethics shall be final and not subject to the grievance procedure.