

# WCSU Faculty Handbook

2017-2018

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## Introduction

The *Faculty Handbook* is issued to all full-time faculty in fulfillment of contractual requirements of the collective bargaining agreements between the Connecticut State University and the American Association of University Professors and SUOAF/AFSCME. In the event of discrepancies between provisions contained in the Faculty Handbook and the collective bargaining agreements, the collective bargaining agreements govern.

The *Faculty Handbook* also contains all Bylaws of the University Senate and its standing committees, plus policy documents adopted by the Senate.

The Purpose of the *Faculty Handbook*, in addition to meeting contractual obligations, is to provide faculty with an overview of the organization, policies, procedures, and services of Western Connecticut State University. It does not attempt to be definitive, nor does it duplicate material that is readily available in other documents. These documents are available in the Ruth A. Haas Library and other locations, as indicated.

Except for the section on University Governance, the *Faculty Handbook* is also a reference work for part-time teaching faculty and all other University employees. Full time and part-time AAUP faculty should refer to the Collective Bargaining Agreement between the Connecticut State University American Association of University Professors and the Board of Trustees for Connecticut State University, August 25, 2007-August 25, 2011, and to successor Agreements. Part-time faculty should refer particularly to Articles 2, 3.1, 3.2, 3.3, 4.2, 4.6, 4.7.a, 4.13, 4.14, 9.1 – 9.1.3, 9.2, 9.3, 9.4.3, 9.4.4, 9.4.5, 9.4.6, 9.7-9.9, 10.4-10.4.2, 10.7.1, 12.8-12.8.2, 13.9-13.10, 13.13, 14.2.1, 15, 16, and 18.6.

Administrative faculty should refer to the Collective Bargaining Agreement between State University Organization of Administrative Faculty AFSCME-Council 4-Local 2836 and the Board of Trustees for Connecticut State University System, July 1, 2007-June 30, 2011, and to successor Agreements.

## UNIVERSITY GOVERNANCE

- **University Senate Constitution**
- [University Senate Bylaws](#)
- [Nominations and Elections Committee Bylaws](#)
- [Ombudsman](#)

### University Senate Standing Committee

- Committee on Academic Advising and Registration
- Academic Leave Committee
- Assessment Committee
- Committee on Distance Education
- Educational Achievement and Access Program
- Enrollment Management Committee
- Faculty Development and Recognition Committee
- Committee on General Education
- Graduate Council
- Information Technology Committee
- Media Services & Library Policy Committee
- Mediation Committee
- Committee on Physical Working Conditions
- Promotion & Tenure Committee
- Research & Development Committee
- Student Life Committee
- Termination Hearing Committee
- Committee on Undergraduate Curriculum & Academic Standards
- University Planning & Budgeting Committee

### Standing Committee of Schools

- Ansell School of Business
- Ansell school of Business Undergraduate Program Review Committee
- Macricostas School of Arts and Sciences
- School of Professional Studies
- School of Visual and Performing Arts

### Other Required Committees

- Institutional Review Board
- Parking Appeals
- University Diversity Council



### **Affiliation, Centers and Programs**

- Jane Goodall Institute
- Center for Business Research
- Center for Excellence in Learning and Teaching
- Center for Study of Culture and Values
- Institute for Financial Literacy
- Institute for Holistic Health
- Meteorological Studies and Weather Center Bylaws
- Western International Center
- Westside Nature Preserve Center

### **Strategic Planning Process**

- Definition and Recognition of Base Units
- Procedures for Recognizing Base Units
- Role of Governance and Strategic Planning
- Definition of a Strategic Plan
- Assumptions
- Strategic Planning Process
- Role of the University Planning and Budgeting Committee

Senate Approval R-01-11-03  
Administrative Approval 1/3/02

## Academic Leave Committee Bylaws

### I. Areas of Responsibility

- A. To review applications for sabbatic leave and make recommendations to the University President or designee.
- B. To review applications for retraining grants and make recommendations to the University President or designee.
- C. Within the limits of the CSU-AAUP contract and legal limits, maintain complete and absolute confidentiality about all data and deliberations.

### II. Membership and Officers

- A. Total membership: 7
  - 1) Five (5) teaching faculty members, one elected by and from the teaching faculty of each of the four schools and one elected by and from the Librarians/Counselors/coaches group, for overlapping 2-year terms.
  - 2) Two (2) non-teaching faculty members elected by and from those represented by SUOAF-SUOAF-AFSCME for overlapping 2-year terms.
- B. No applicant for sabbatical leave may be a member of the committee the year his/her application is considered.
- C. Officers
  - 1) The chairperson shall be elected by a majority vote of elected members in the spring semester, following new member elections and preceding commencement.
  - 2) The position of secretary shall be filled by each member in turn on an alphabetically rotating basis, unless otherwise agreed to by the committee.

### III. Conduct of Business

- A. The first meeting of each academic year shall be convened by the chairperson. In his/her absence the President of the University Senate will designate a Committee member to convene the Committee.
  - 1) A quorum shall consist of 4 members.
  - 2) Meetings are in executive session.
  - 3) Procedures shall be reviewed early in the Fall semester.
  - 4) By September 28th, the Committee shall receive applications, review criteria of the current collective bargaining agreements, and determine the method of evaluation of applications. If the 28th falls on a weekend or holiday the applications will be accepted until 5:00 p.m. of the next regular business day.
  - 5) The Committee shall meet as often as necessary until the review of applications is completed, a report submitted to the University President, and all other Committee business completed for the year.
  - 6) Decisions of the Committee require a majority vote of the members present or polled.
  - 7) The Committee may request an applicant to appear before it to discuss his/her application.
  - 8) The Committee shall rank the applicants for sabbatical leave using the following three categories: highly recommend, recommend, and not recommend.
- B. Documents to be received by the Committee
  - 1) Applications for sabbatic leave and/or retraining grants from the applicants.
  - 2) Application review from departments and directors.
  - 3) Application reviews from Deans or Provost.
- C. Reports to be submitted by the Committee:
  - 1) Recommendations to the University President regarding sabbatic leave
  - 2) Recommendations regarding retraining grant applications to the University President.
  - 3) Notifications to the applicants of the Committee's recommendations regarding their sabbatic leave and/or retraining grant applications.

- 4) Annual report of the Committee to the University.
- D. Reports to be received by the Committee
- 1) In accordance with the AAUP contract article 13.7, each person receiving a sabbatic leave will submit to the Chief Academic Officer and to the Committee a written statement setting forth the experiences and accomplishments attained in pursuit of the objective set forth in the original proposal. This statement is to be provided within one (1) semester of the individual's return from sabbatic leave.
  - 2) Upon receipt, each statement shall be transmitted by the Committee chairperson to the WCSU Library Archivist, to be made available to the University community. The method of transmission shall be established by the Library Archivist.
  - 3) When notifying applicants of its recommendations, the Committee shall remind them to comply with D.1 above, if they receive sabbatic leaves.
- E. Amendments
- These Bylaws may be amended by a two-thirds vote of members present at any regularly scheduled meeting at which there is a quorum, and the approval of the University Senate and the President of the University.

#### IV. Evaluation of Application

- A. AAUP and SUOAF-AFSCME contracts state that the:
- 1) Applicant must have completed six (6) years of full-time service at the University or six (6) years of full-time service since a previous sabbatic leave.
  - 2) Leave must benefit the CSU System.
  - 3) Sabbatic leaves are for purposes of scholarly and creative endeavors that strengthen the professional competence or enrich the teaching of members.
- B. Department Library Faculty or Counseling Center's Review
- 1) Professional merits of the proposal.
  - 2) Value to the department, library, or counseling center.
  - 3) Impact of applicant's absence on teaching or work assignment within department, library, or counseling center.
- C. Dean or Director of Library Science or Counseling Center's Review
- 1) Impact of the proposed leave on staffing within the school, library, or center.
  - 2) Potential benefit to the University.
- D. Administrative Faculty Review Procedures.
- 1) Impact of the proposed leave on the department.
  - 2) Potential benefit to the University.
- E. Committee's Review
- 1) The Committee will check IV.A.1. and consider IV.A.2., IV.A.3., IV.B., IV.C. and IV.D., as appropriate.
  - 2) The Committee will review for appropriateness:
    - a. Nature of the project.
    - b. Specific goals.
    - c. Evidence of specific knowledge and skills necessary to achieve specific goals.
    - d. Facilities necessary.
    - e. Professional contacts, if necessary.
    - f. Itinerary, if necessary.
    - g. Length of service and previous sabbatic leaves.
  - 3) The Committee shall base the major portion of its evaluation on the potential benefits to the University of the applicant's project. Consideration will be given to:
    - a. Clear goal of the project.

- b. Suitable preparations.
- c. Creative record of applicant.
- d. Clarity of presentation.
- e. Likelihood of the production of a creative product during the sabbatic period or shortly thereafter.

See also Academic Leave Procedures and Criteria for Evaluation.

*September 16, 1980*  
*Revised; Aug. 1984; Mar. 1985; Sept. 1988*  
*Senate approval: Nov. 16, 1988*  
*Admin. Approval: Jan. 2, 1990*  
*Senate Approval: Apr. 26, 1991 (R91-4-8)*  
*Admin. Approval: May 15, 1991*  
*Revised: R-02-10-05 Admin.*  
*Approval: Nov. 21, 2002*  
*Senate Approval: Feb. 21, 2007 (R-07-02-04)*  
*Admin. Approval: 5/4/07*  
*Rev. Senate Approval R-09-0304*  
*Admin. Approval 2/23/10*  
*Revised – Senate May 10, 2017*  
*Administrative Approval: May 16, 2017*



## **Committee on Distance Education Bylaws**

### **I. Objectives**

To ensure that distance education initiatives and programs are consistent with the mission of Western Connecticut State University.

### **II. Responsibilities and Powers**

- A. To determine the needs of faculty concerning knowledge and training for distance education, and to determine courses that faculty indicate may be suitable for distance education.
- B. To review issues of governance where distance education is concerned and to make recommendations on these issues.
- C. To review available technology, use of vendors for course offering, and other related issues and make recommendations concerning these issues.
- D. To determine requirements and procedures that are used by the four CSU institutions and determine needs concerning an integrated system for distance education.
- E. To determine need for and types of administrative support, training, and technology necessary for effective distance education and make recommendations.
- F. To establish ad hoc or standing subcommittees as needed.

### **iii. Membership**

#### **Member**

- 1 Provost/VP for Academic Affairs
- 1 Academic Dean
- 1 Information Technology & Innovation representative
- 1 Instructional Designer
- 7 Teaching Faculty (2 at large, 1 from each school and 1 librarian)
- 1 Administrative Faculty

#### **Appointed/Elected**

- Ex Officio
- Ex Officio/Appointed by VPAA annually
- Appointed by Chief Information Officer
- Appointed by the Director or Library Services
- Elected by teaching faculty overlapping for three year terms
- Elected by Administrative Faculty for three year term

12 Total – all members are voting members including the chairperson

### **IV. Conduct of Business**

#### **A. Meetings**

- 1. The first meeting of each academic year shall be convened by the previous chair. In his/her absence, the President of the University Senate will designate a committee member to convene the committee.
- 2. A quorum shall consist of 6 members, at least 4 of whom are elected.
- 3. A call to meeting accompanied by an agenda shall be presented to each member at least one week before each meeting.
- 4. Concerned parties may come, or be invited, to discuss particular items.
- 5. Decisions of the committee are made by majority vote of those members present.
- 6. Meetings shall be conducted according to Robert's Rules of Order, revised.
- 7. Meetings shall be held at least monthly during the entire year, as called by the chairperson, or in the absence of the chairperson, by a quorum of the committee.

#### **B. Officers**

- 1. The chairperson shall be elected by a majority vote at the first meeting with new members in the Spring.
- 2. The position of secretary shall rotate among members unless otherwise decided by the body.

#### **C. Reports and Recommendations.**

- 1. The committee, through its chair, shall report all policy recommendations to the University Senate.
- 2. The committee shall submit an annual report to the University Senate.

3. The committee shall refer to other University-wide standing committees matters appropriate to their function.
4. The committee shall refer to appropriate School committees any recommendations initiated in the University Planning and Budgeting Committee concerning that School's program.
5. The committee shall refer for action to the University Senate recommendations for University policy change which is outside the responsibility of any standing committee.

D. Minutes

1. All members of the committee.
2. University Senate President.
3. University Senate Archivist (two copies).
4. School curriculum review committees.
5. Each department chairperson and program director.

E. Amendments

These Bylaws may be amended by a two-thirds vote of members present at any regularly scheduled meeting at which there is a quorum and by the approval of the University Senate and the President of the University.

*Senate Approved: April 18, 2001 (R-01-03-02)*

*President Approved: May 1, 2001*

*Revised Senate Approval R-02-03-02*

*Administrative Approval May 10, 2002*

*Senate Approval: Feb. 21, 2007 (R-07-02-05)*

*Admin. Approval 5/4/07*

*Senate Approval: November 16, 2016*

*Administrative Approval: January 3, 2017*

## **Faulty Development and Recognition Committee Bylaws**

### **I. Areas of Responsibility**

- A. To evaluate proposals submitted by teaching faculty for professional development and make recommendations to the Provost/Vice President for Academic Affairs for granting approval of proposals.
- B. To be responsible for the annual Faculty Recognition Ceremony, including the identification of persons who are to be honored at the ceremony from teaching faculty, administrative faculty and management categories.
  - 1) The committee will receive self-nominations and nominations by other members of the university community.
  - 2) Scholarship: Publication of a book, an article in a peer reviewed journal, chapters in books, presentation of a research paper at a regional or national conference, service on national and regional boards, or the equivalent in the arts (one person exhibitions, prestigious group shows, museum shows, public and corporate collections, reviews, professional appearances beyond the campus, demonstrable excellence in one's musical instrument, media performances, as evidenced by published reviews or letters of endorsement by professional agencies, or reproduction rights) related to the individual's discipline/position.
  - 3) Service: service on national or regional boards; the holding of a major leadership position in the community or in a professional organization; major involvement in community collaboration projects related to the individual's discipline/position.
  - 4) Award/Honor: an award given to recognize excellence in the individuals discipline/position.
  - 5) Grants/Fellowships.
  - 6) Newly earned degree and/or professional certificate.

### **II. Membership (Total 8)**

- A. Five teaching faculty members, one from each school and one from the Librarians/Counselors/Coaches group with each elected by the teaching faculty of that school for overlapping three-year terms.
- B. One academic dean appointed by the Provost/Vice President for Academic Affairs.
- C. One administrative faculty member elected by and from that group.
- D. Director of the Office of Sponsored Research Administrative Services, ex officio.

### **III. Conduct of Business**

- A. Meetings
  - 1) The first meeting of each academic year shall be convened by the Chairperson. If for any reason the chair cannot serve on the committee, the President of the University Senate will designate a committee member to convene the committee.
  - 2) A quorum shall consist of four (4) members, 3 of whom must be teaching faculty.
  - 3) Meetings will be held during the academic year as warranted. Meetings are called to order by the chairperson or designee.
  - 4) Agendas are prepared by the chairperson or designee and presented to each member at least one week prior to the meeting.
  - 5) A simple majority of all members is needed for all decisions.
  - 6) Faculty members should observe application submission deadlines. Consideration of late submissions is not guaranteed.
- B. Officers
  - 1) The chairperson for the following academic year shall be elected at the final meeting of the academic year.
  - 2) The position of secretary shall be filled by each member in turn on an alphabetical rotating basis, unless otherwise agreed to by the committee.
- C. Reports
  - 1) The committee, through its chair, shall report all policy recommendations to the University Senate.
  - 2) The committee shall submit an annual report to the University Senate.

#### D. Minutes

Minutes of all meetings shall be distributed to:

- 1) All members of the committee.
- 2) University Senate President.
- 3) University Senate Archivist (2 copies).
- 4) Academic deans of all schools.

#### IV. Amendments

These Bylaws may be amended by a two-thirds vote of members present at any regularly scheduled meeting at which there is a quorum and with the approval of the University Senate and the President of the University.

*Senate Approval: Mar. 18, 1992 (R92-3-6)*

*Admin. Approval: April 14, 1992*

*Senate Approval: May 18, 1993 (R93-5-4)*

*Admin. Approval: June 17, 1993*

*Senate Approval: April 16, 2003, (R-03-04-02)*

*Admin. Approval August 5, 200*

*Senate Approval: Nov. 15, 2006 (R-06-11-01)*

*Admin. Approval April 23, 2007*



## **Committee of General Education Bylaws**

### **I. Objective**

To ensure that the general education curriculum is consistent with the mission of Western Connecticut State University, the State of Connecticut's general education requirements, and the New England Association of Schools and Colleges (NEASC) accreditation standards.

### **II. Responsibilities**

- A. Review regularly the general education requirements in light of current scholarly work on the subject, the University's mission, State mandates and recommendations, NEASC accreditation standards, and measures of effectiveness.
- B. Recommend general education goals and objectives as well as general education curricular changes to the Committee on Undergraduate Curriculum and Academic Standards (CUCAS). Such recommendations, if endorsed by CUCAS, shall be forwarded to the University Senate for appropriate action.
- C. Assess and ensure, in consultation with the Assessment Committee, that the outcomes of the general education program are directly related to established goals and objectives.<sup>1</sup>
- D. Review existing general education courses to ensure that they meet established goals and objectives and advise academic departments and Provost/Vice President for Academic Affairs accordingly.
- E. Review and monitor the university's policies regarding general education transfer credits to ensure that they meet established goals and objectives.
- F.
  - 1) Reviews and determine if newly proposed general education courses meet established goals and objectives before they are forwarded to CUCAS.
  - 2) Review and determine if Faculty Developed Courses meet established goals and objectives following the approval of such courses through normal procedures, if such courses are intended to meet general education requirements.
  - 3) Review and determine if Student Independent Study Courses meet established goals and objectives following the approval of such courses through normal procedures, if such courses are intended to meet general education requirements.
  - 4) Review and determine if Guided Reading Courses meet established goals and objectives following the approval of such courses through normal procedures, if such courses are intended to meet general education requirements.
- G. Review and monitor the First Year Experience Program

### **III. Membership (10 voting, 1 non-voting)<sup>2</sup>**

- A. One (1) from and elected by the teaching faculty of the Ansell School of Business for a three-year term.
- B. One (1) from and elected by the teaching faculty of the School of Professional Studies for a three-year term.
- C. Two (2) from and elected by the teaching faculty of the School of Arts and Sciences for three-year terms.
- D. One (1) from and elected by the teaching faculty of the School of Visual and Performing Arts (SVPA) for a three-year term.
- E. One (1) at-large from and elected by the teaching faculty for a three-year term.
- F. One (1) from and elected by the library faculty for a three-year term.
- G. One (1) school dean (Ansell, A&S, PS, or SVPA) designated by the Provost to serve a one-year term.
- H. One (1) undergraduate student selected by the Student Government Association (SGA) for a one-year term.
- I. One (1) non-voting member from CUCAS designated by the Chairperson of CUCAS.
- J. Coordinator of the First year Experience Program.

### **IV. Conduct of Business**

- A. The Chairperson shall call the meetings of the Committee. In the absence of the Chairperson, his or her designee shall call the meetings, except as noted in item V. A of these bylaws.
- B. A quorum shall consist of no fewer than one-half (1/2) of the voting members. Unfilled positions, if any, shall not be counted in determining quorum.
- C. Regular meetings shall be held once a month during the fall and spring semesters. Such meetings shall be held on the

- first Thursday of the month, unless otherwise agreed to by two-third (2/3) or more of all the members.
- D. Special meetings may be called by the Chairperson.
  - E. The call to meetings, accompanied by the agenda, shall be delivered to Committee members not less than three days prior to each meeting.
  - F. Decisions of the Committee shall be made by majority vote of the members present.
  - G. Meetings shall be conducted in accordance with Roberts Rules of Order, Revised.
  - H. No meeting shall be held in executive session.

#### **V. Officers**

- A. The Chairperson for the following year shall be elected at the last meeting of the academic year from and by the voting members of the following year. In the absence of a Chairperson, the President of the University Senate shall designate a member to convene a meeting of the Committee for the purpose of electing a Chairperson.
- B. The position of Secretary shall be filled by each member, excluding the Chairperson, on an alphabetical rotating basis, unless otherwise agreed to by the Committee.

#### **VI. First Year Experience Program Coordinator**

- A. The Coordinator of the First year Experience Program
- B. Shall be a full-time faculty member recommended by the Committee on General Education and appointed by the Provost, and
- C. Shall receive no less than six (6) hours of release time per calendar year. Allocation for additional release time hours shall be recommended by the Committee on General Education as program growth requires.
- D. The Coordinator's responsibilities shall include:
  - 1) Coordinating the First year Experience Program.
  - 2) Identifying, recruiting, and retaining faculty to teach First Year Experience courses.
  - 3) Supporting faculty teaching First Year Experience courses.
  - 4) Working collaboratively with appropriate campus constituencies.
  - 5) Assessing First year Experience Program impact.

#### **VII. Reports**

- A. The Committee, through its Chairperson, shall report all policy recommendations to the University Senate. Such recommendations, when appropriate, shall be endorsed by CUCAS and/or the University Planning and Budget Committee (UPBC), before the University Senate acts upon them.
- B. The Committee shall submit an annual report to the University Senate.

#### **VIII. Minutes**

- A. Minutes of the meetings shall be distributed to:
  - All members of the committee
  - School deans and department chairpersons
  - University Senate Archivist
  - Provost
- B. Minutes shall also be published by such means as practical (university-email system, web page, etc.)

#### **IV. Amendments**

These bylaws may be amended by two-thirds (2/3) vote of members present at any regularly scheduled meeting at which there is a quorum and with the subsequent approval of the University Senate and the University President

- 1 "Goals and objectives" in these bylaws refer to the goals and objectives of the general education program.
- 2 The Coordinator shall receive a minimum of six (6) hours of release time per calendar year. Allocation for additional release time hours will be recommended by the Committee on General Education when program growth necessitates it.

*Senate approval: (R-05-02-04), 3/16/05*  
*Administrative Approval: 3/17/05*  
*Senate Approval: Dec. 20, 006 (R-06-11-09)*  
*Admin. Approval: April 23, 2007*  
*Senate approval: May 14, 2008 (R-07-12-01)*  
*Admin. Approval: May 3, 2011*  
*Rev. Senate Approval: R-12-05-03*  
*Admin. Approval: May 10, 2012*

## Graduate Council Bylaws

### I. Name and Purpose

#### A. Name

This body shall be called the Graduate Council.

#### B. Purpose

##### 1) Responsibilities

- a. The Graduate Council is responsible for developing, maintaining, and recommending changes in graduate program policies at Western Connecticut State University.
- b. The function of the Graduate Council is to foster high academic and professional quality in programs, faculty, students, and support services.

##### 2) The Graduate Council sets admission and university standards by:

- a. Developing minimum admission and academic standards for all graduate students.
- b. Reviewing admission and academic standards of graduate programs.

#### C. Curriculum

The Graduate Council reviews and makes recommendations on all curriculum matters involving graduate programs.

### II. Membership

#### A. The Associate Vice President for Academic Affairs (nonvoting)

#### B. The Associate Vice President for Enrollment Services (nonvoting)

#### C. The Associate Director of the Graduate Admissions (nonvoting)

#### D. The Deans of the Schools (two voting)

##### 1) Ansell School of Business

##### 2) Macricostas School of Arts and Sciences

##### 3) School of Professional Studies

##### 4) School of Visual and Performing Arts

##### 5) The two (2) voting deans are selected annually, on a rotating basis, by the provost/Vice President for Academic Affairs

#### E. The faculty members designed as Coordinator of graduate programs (voting)

#### F. Two graduate students as representatives at large recommended by the Graduate Council Chair and approved by the Council (voting)

### III. Officers

#### A. Chairperson

##### 1) The chairperson shall be elected by a majority vote of the Graduate Council at the May meeting.

##### 2) She/he may designate a member of the Graduate Council to serve as chairperson in his/her absence.

#### B. Secretary

Associate Vice President for Academic Affairs or his/her designee shall serve as Secretary.

### IV. Meetings

#### A. Frequency and Place

##### 1) Regular meetings of the Graduate Council shall ordinarily be held once a month from September through May each academic year. An annual schedule of meetings and meeting places (in agreement with the official academic calendar) shall be published on or before September 20 of each year by the incumbent chair. In the event that the chair cannot publish the schedule, the Associate Vice President for Academic Affairs shall do so.

##### 2) Agenda items and all supporting documentation must be posted electronically at least seven (7) days prior to the regularly scheduled meeting.

##### 3) Meetings shall be conducted according to Robert's Rules of Order.

#### B. Records of Meetings

##### 1) The Secretary shall keep the minutes of all business transacted at meetings.



- 2) Copies of the minutes of meetings shall be posted electronically to all members at least three (3) days prior to the next meeting.
- 3) The official permanent record of the minutes is stored electronically. Courses and programs approved are maintained by the Office of Academic Affairs.

**C. Voting**

- 1) A quorum shall consist of a majority of the voting members.
- 2) All decisions of the Council shall be made by a majority vote of those present except as noted elsewhere in these bylaws.
- 3) In the event that a quorum is not met at a regularly scheduled meeting of the Council, voting may take place electronically within one (1) week.

**D. Reports**

1. The Graduate Council, through its chair, shall report all policy recommendations to the University Senate and the Provost/Vice President for Academic Affairs.
2. The Graduate Council shall submit an annual report to the University Senate.

**V. Function**

**Ad Hoc Committees**

The Council may establish ad hoc committees to perform specific tasks. The chairperson and members of such committees will be appointed by the Graduate Council. An ad hoc committee will cease to exist when its final report has been accepted by the Graduate Council.

**8. Four (4) Standing Committees**

The chairperson and members of standing committees will be appointed by the Graduate Council.

**1) Curriculum Committee**

The Curriculum Committee reviews all proposed changes to curriculum prior to submission to the Graduate Council.

Membership: Minimum of three (3)  
 Meetings: Once a month or as necessary  
 Reports: At Graduate Council meetings, as necessary

**2) Scholarship Committee**

The Scholarship Committee reviews, evaluates, and recommends candidates for graduate scholarships.

Membership: Minimum of three (3)  
 Meetings: Once a month or as necessary  
 Reports: At Graduate Council meetings, as necessary

**3) Vision Committee**

The Vision Committee prepares and reviews the Strategic Plan for Graduate Studies prior to submission to the Graduate Council.

Membership: Minimum of three (3)  
 Meetings: Once a month or as necessary  
 Reports: At Graduate Council meetings, as necessary

**4) Catalog Committee**

The Catalog Committee reviews the online catalog and recommends changes to the Graduate Council.

Membership: Minimum of three (3)  
 Meetings: Once a month or as necessary  
 Reports: At Graduate Council meetings, as necessary

## **VI. Changes to the Bylaws**

These bylaws may be amended by approval of two-thirds of all voting members of the Graduate Council. This can occur at any meeting. The amendment must have been moved and accepted at a previous meeting. Such changes must then be approved by the University Senate and the President of the University.

*Approved by the Graduate Council: April 10, 1989*

*Senate Approval: April 26, 1989*

*Revised Dec. 13, 1989*

*Senate Approval R-03-09-03*

*Administrative Approval 10/10/03*

*Senate Approval: Feb. 21, 2007 (R-07-02-12)*

*Admin. Approval 5/4/07*

*Senate Approval: November 17, 2010 (R10 11 03)*

*Revised April 15, 2013*

*Senate Approval: May 7, 2014*

*Senate Approval: May 10, 2017*

*Administrative Approval: May 16, 2017*

## Promotion and Tenure Committee Bylaws

### I. Responsibilities

- A. Evaluate for promotion AAUP members who qualify for consideration.
- B. Evaluate for tenure AAUP members who qualify for consideration.
- C. Make recommendations for promotion and tenure to the Provost.
- D. Within the limits of the CSU-AAUP contract and legal limits, maintain complete and absolute confidentiality about all data and deliberations.

### II. Membership

Total Membership: 9 voting

- A. Nine (9) tenured members elected from and by the full-time AAUP faculty for overlapping 2-year terms.
- B. Members of the committee shall be from among those who hold the rank of Associate Professor, Professor, Associate Librarian, Librarian, Associate Counselor, Counselor, Coach III, or Coach IV.
- C. There shall be at least one member of the committee from each of the four schools (Ancell School of Business, School of Arts and Sciences, School of Professional Studies, School of Visual and Performing Arts) and one from the Librarians, Counselors, and Coaches group. In the event that no eligible member from one of these five groups is willing to serve, that position on the committee shall be filled only for that term by the person who received the next highest number of votes in the most recent election regardless of his or her school or L/C/C affiliation.
- D. No member of the committee shall be considered for promotion while he/she is on the committee.
- E. No more than two members from an academic department shall serve on the committee in any given academic year.

### III. Conduct of Business

#### A. Meetings

- 1) The first meeting of the committee following election of new members shall be convened by the previous chairperson if that individual shall continue to serve on the committee. In his/her absence, the President of the University Senate will designate a committee member to convene the committee.
- 2) A quorum shall consist of 7 members.
- 3) Meetings are in executive session.
- 4) Decisions of the committee shall be made by majority vote of those members present.
- 5) When a committee member is absent from a meeting which presents a candidate's file for discussion, that member shall not vote in the recommendation on the candidate.
- 6) In the event of a "tie vote" on a candidate, the committee shall discuss that candidate's file at a subsequent meeting and vote again. A second "tie vote" result shall represent a negative recommendation since a positive recommendation is based on a majority vote. (See also E.1. below)
- 7) Scheduling committee meetings for the purpose of discussing candidacies shall allow for a final meeting to conduct any necessary reconsiderations of the candidates.
- 8) Minutes of each meeting shall be considered for acceptance at the following meeting.
- 9) When the Chair of the Promotion and Tenure Committee communicates in writing to anyone outside the committee regarding committee business, copies of the communication shall be given to all members of the committee.

#### B. Officers

- 1) The chairperson for the following year shall be elected by a majority vote at the May meeting of each year, after the election of new members.
- 2) The position of secretary shall be filled by each member on an alphabetical basis unless otherwise agreed upon by the committee.

#### C. Reports

- 1) The committee, through its chair, shall report all policy recommendations to the University Senate.
- 2) The committee, through its chair, shall submit an annual summary report to the University Senate.

#### D. Amendments

These Bylaws may be amended by a two-thirds vote of members present at any regularly scheduled meeting at which there is a quorum and with the approval of the University Senate and the University President.

#### E. Procedures and Considerations

- 1) Any member of the Committee who has participated in a recommendation which is before the committee shall not vote again on the recommendation and shall not participate in the discussion on the recommendation unless asked to do so by other committee members. The only exception to this shall be a "tie vote" caused by the member not voting. Following such a "tie vote" the member, if present, shall vote on the recommendation (see also A.6. above). Members do not function as advocates for their schools or departments.
- 2) The University President or designee shall make available to the committee the personnel files and all materials submitted to and considered by the DEC and the Dean of those candidates to be evaluated.
- 3) If the committee wishes to interview a candidate being considered for tenure or promotion or others on matters relevant to the consideration, the committee may request such an interview. If someone other than the affected candidate is called before the committee, the candidate must be informed in writing prior to the meeting and shall have the right to participate in the interview. Such an interview is not an adversarial situation.
- 4) If the candidate being considered wishes, he/she may appear before the committee, alone, or with others of his/her choice. All persons coming before the committee, at the request of the candidate, must speak from a prepared text and must leave a signed and dated copy of the text with the committee. (Additional information can be submitted within 48 hours of the appearance). Such a hearing is not an adversarial situation. Moreover, if the candidate wishes to appear before the committee prior to its recommendation, the candidate must inform the committee chairperson no later than January 15th, or if it is a tenure consideration in the Fall semester, no later than November 17, to facilitate scheduling.
- 5) The criterion used by the committee in its evaluations and recommendations of candidates shall be the quality of activity, including keeping current in ones field, within each of the categories listed in Article 4.11.9 (for teaching faculty), Article 8.3.1 (for librarians), Article 7.3.1 (for Counselors), Article 6.8 (for Coaches), and Article 6.9 (for Non-Instructional Athletic Trainers) in the AAUP contract. The committee shall weigh these categories in the order listed. Any special conditions in the candidate's letter of appointment or subsequent extensions or modifications and the expectations for tenure and promotion established by the candidate's department in its bylaws shall also be considered.
- 6) The committee shall make a recommendation to the Provost after considering all previously submitted material and recommendations. In addition to the Dean's recommendation, the only material not seen by the DEC that the committee will consider is additional information with supporting evidence, given to the committee if the candidate appears before the committee. All materials will be transmitted to the Provost for his/her consideration.
- 7) A copy of the committee's recommendation shall be sent to the candidate at the time that the committee sends its recommendations to the Provost.
- 8) The committee shall rank the candidates for promotion using the following three categories: Recommended, Satisfactory but not Sufficient Progress, and Not Recommended. In the event of a unanimous vote in the recommended category, the committee shall so inform the Provost and the candidate. The following statement will be sent to each candidate each year by the committee:  
In accordance with bylaws approved by the University President and the University Senate, the Promotion and Tenure Committee ranks the candidates for promotion using the following three categories: Recommended, Satisfactory but not Sufficient Progress and Not Recommended. In the event of a unanimous vote in the Recommended category, the Committee shall so inform Provost and the candidate.
- 9) The committee shall give feedback on its decisions to candidates who:
  - a. are not recommended for tenure
  - b. are not recommended for promotion, or
  - c. have made satisfactory but not sufficient progress, for promotion using the formats in Appendix A of these bylaws.

[See Appendix A](#)



*Admin. Approval: Dec. 5, 1985*  
*Senate Approval: Sept. 16, 1987*  
*(Rev.) Admin. Approval: Aug. 1988*  
*(Rev.) Senate Approval: May 11, 1988*  
*Admin. Approval: Jan. 1, 1990*  
*(Rev.) Senate Approval: R-01-09-06*  
*Admin. Approval: January 3, 2002*  
*(Rev.) Senate Approval: R-05-11-02*  
*Admin. Approval: April 20, 2006*  
*(Rev.) Senate Approval: R-05-12-7*  
*Admin. Approval: September 12, 2006*  
*(Rev.) Senate Approval: R-07-02-11*  
*Admin. Approval: May 4, 2007*  
*(Rev.) Senate Approval: R-07-10-03*  
*Admin. Approval: October 26, 2007*  
*Revised Senate Approval: R-09-04-02*  
*Admin. Approval: 7/14/09*  
*Rev. Senate Approval: R-10-02-03*  
*Admin. Approval 6/15/10*

## Research and Development Committee Bylaws

### I. Areas of Responsibility

- A. To develop and recommend policies to encourage and support research at Western Connecticut State University.
- B. To facilitate and review research efforts on the campus and with other organizations, e.g., a research corporation or foundation, as necessary.
- C. To recommend review procedures governing Western Connecticut State University contractually mandated reassigned time for research.
- D. To review and make recommendations to the Provost/Vice-President for Academic Affairs on applications for reassigned time for research.
- E. To receive and document the submission of reports of the activities and results of approved reassigned time for research projects.
- F. To cooperate and coordinate with other campus bodies and administrators in actively promoting and publicizing the scholarly activities of the WCSU community.
- G. To keep a proper record of all committee actions.

### II. Membership

Total membership: 9

- A. Seven (7) teaching faculty members, no more than two from each school or from the Library/Counselors/Coaches group.
  - 1) Five (5) selected by the teaching faculty for overlapping three-year terms, with one from each School and one from the Library/Counselors/Coaches group.
  - 2) Two (2) administratively appointed for overlapping three-year terms.
- B. One (1) non-teaching faculty members selected by the members of the committee.
- C. Director of the Office of Sponsored Research Administrative Services or designee.
- D. During a year in which an elected Research and Development Committee member applies for reassigned time for research, their committee membership shall be suspended for the fall semester (during which time applications for reassigned time are considered) and they shall not participate in the evaluation of applications. Upon notice of such application by the committee member, the Chair of the committee shall contact the Nomination and Elections Committee Chair and request the name of the runner-up from the school or group's most recent election that the applicant represents, so they may request that they substitute for the elected member for the application review and selection process during the fall semester. If no runner-up is available, university Senate procedures for selection of the replacement of an elected member shall be utilized under the same provisions noted above. If an appointed member applies for reassigned time, a temporary replacement shall be appointed by the Provost under the same provisions noted above.

### III. Conduct of Business

#### A. Meetings

- 1) The first meeting of each academic year shall be convened by the newly elected chairperson. At this meeting, the committee shall receive and document reports of the previous years' reassigned time for research projects.
- 2) All members of the committee will have voting power, except when there is a conflict of interest.
- 3) Actions of the committee will be affirmed by a majority vote of those members present at any duly scheduled meeting.

#### B. Officers

- 1) The chairperson shall be elected by majority vote of next year's committee members at the last meeting of the academic year.
- 2) The position of secretary shall be filled by each members in turn on an alphabetical rotating basis, unless otherwise agreed to by the committee.

#### C. Reports

- 1) The committee shall report through its chair all policy recommendations to the University Senate.
- 2) The committee shall submit to the Provost/Vice-President for Academic Affairs and The University Archivist a copy of the reports of the projects of the previous year.
- 3) The committee shall submit an annual report to the University Senate.
- 4) The committee shall report to the faculty-at-large on all pertinent matters.
- 5) The committee shall submit reports to other organizations as required and necessary

#### D. Minutes

Minutes of all meetings shall be distributed to:

- 1) All members of the committee.
- 2) University Senate President.
- 3) University Archivist (2 copies).

#### IV. Amendments

These Bylaws may be amended by a two-thirds vote of members present at any regularly scheduled meeting at which there is a quorum and the approval of the University Senate and the President of the University.

*Sept. 16, 1980; Rev. Senate approval: Jan. 21, 1990 (R90-2-2); Admin. Approval: May 8, 1990  
Rev. Senate Approval: Nov. 14, 1990 (R90-11-9); Admin. Approval: Feb. 1, 1991  
Rev. Senate Approval: Apr. 17, 1991 (R91-4-11); Admin. Approval: May 15, 1991  
Rev. Senate Approval: Dec. 18, 1991 (R91-12-6); Admin. Approval: Apr. 14, 1992  
Rev. Senate Approval November 15, 2000 (R-0010-05)  
Admin. Approval: December 14, 2000  
Rev. Senate Approval: (R-05-02-05), 3/16/05  
Admin. Approval: 4/19/05  
Senate Approval: Feb. 21, 2007 (R-07-02-07)  
Admin. Approval: 5/4/07  
Revised Senate Approval: R-09-05-04  
Admin. Approval: 7/14/09*

## Termination Hearing Committee Bylaws

### I. Responsibility

To provide a hearing and issue a recommendation in accordance with the procedures established by the CSU-AAUP Collective Bargaining Agreement regarding any AAUP member who has received a written statement of disciplinary sanction that involves termination.

### II. Membership

- A. The five members, one each from the four Schools and the group consisting of Librarians, Counselors, and Coaches and no more than one from any department for overlapping two-year terms. The election shall be in accordance with the Nominations and Elections Committee Bylaws established in the Faculty Handbook.
- B. A member of this Committee may not serve on the Mediation Committee.
- C. Should a vacancy occur on the Committee which cannot be filled pursuant to the procedures in the Nomination & Election Committee Bylaws, the President of the University or his/her designee and the Senate President shall meet to mutually select a representative to fill the vacancy in accordance with the membership rules established in II.A and II.B above. Should they be unable to mutually decide on a replacement, each will submit a list of three names of possible replacements that comply with the membership rules established in II.A and II.B above. The President or his/her designee and the Senate President shall alternately strike one name from the combined lists, until only one name remains; a toss of a coin will determine who strikes the first name.

### III. Procedures

The Termination Hearing Committee shall conduct itself in accordance with the procedures established in the CSU-AAUP Collective Bargaining Agreement.

The Termination Hearing Committee may, with the consent of the parties concerned, hold joint pre-hearing meetings with the parties in order to:

- A. Simplify the issues.
- B. Effect stipulations of fact.
- C. Provide for the exchange of documentary or other information.
- D. Achieve such other appropriate pre-hearing objectives as will seek to make the hearing fair, effective, and expeditious.

*September 16, 1980  
Revised Senate R-01-11-03  
Administrative Approval 1/3/02  
Senate Approval: Feb. 21, 2007 (R-07-02-02)  
Admin. Approval: 5/4/07*

## **Committee on Undergraduate Curriculum and Academic Standards Bylaws**

### **I. Objectives**

To ensure that academic programs are consistent with the mission of Western Connecticut State University.

### **II. Areas of Responsibilities**

- C. To develop an academic program which shall be required of all students regardless of major.
- D. To review all proposals for change in courses, programs and academic standards for need, potential duplication & conformity to University policy.
- E. To receive, review and make recommendations for any program discontinuance.
- F. To initiate and stimulate ongoing periodic progress of academic program review.
- G. To develop, review and recommend to the University Senate and administration policy concerning the undergraduate grading system and its application.

### **III. Powers**

To request and receive reports and recommendations from departments, schools, faculty, etc., regarding curriculum and/or academic standards.

### **IV. Membership (17 Voting, 3 Non-Voting)**

- B. Eight (8) teaching faculty members, elected for three-year overlapping terms; two (2) members from each school elected by the teaching faculty of that school.
- C. Four (4) academic school deans, ex officio, only two (2) as voting members, appointed annually.
- D. Registrar or Registrar's Office designee, ex officio.
- E. Four (4) student members, one from each school, selected by the SGA for one-year terms.
- F. Two (2) at-large teaching faculty members, elected for three-year terms by the teaching faculty.
- G. Director of Institutional Research or his or her designee from the Assessment Committee, ex officio, non-voting.

### **V. Conduct of Business**

#### **A. Meetings**

- 1) Meetings are to be convened by the Chairperson. In the absence of the Chairperson, his or her designate shall convene meetings, except as follows: If no new Chairperson is elected at the last meeting of the academic year, then the first meeting of the academic year shall be convened by the previous year's Chairperson if that individual still serves on the committee. In the absence of a Chairperson elected at the last meeting of the prior year, or the previous Chairperson still serving on the committee, the President of the University Senate will designate a committee member to convene the committee.
- 2) A quorum shall consist of nine (9) members, at least five (5) of whom are teaching faculty.
- 3) Meetings are to be held not less than once a month during the academic year and at the request of the Chairperson.
- 4) The call to meeting, accompanied by the agenda, shall be delivered to committee members at least three school days prior to each meeting.
- 5) Ordinarily, no decision shall be made on program or course proposals at a meeting the first time such items are discussed unless said material was received by the members at least three school days prior to the meeting.
- 6) Decisions of the committee require a majority vote of the members present.
- 7) Concerned parties may attend meetings to discuss, or be invited to discuss, particular items on the agenda.
- 8) The committee operates under a modified form of parliamentary procedure.

#### B. Officers

- 1) The Chairperson shall be elected by majority vote at the first meeting of the academic year. Only those committee members serving in the next academic year may vote for the chairperson and a quorum of such members is required to conduct the election. If there is no quorum of members serving in the next academic year present for the vote, then the vote for Chairperson shall be held at the first meeting of the next academic year.
- 2) The position of secretary shall be filled by each member (excluding Chairperson) in turn on an alphabetical rotating basis, unless otherwise agreed to by the committee.

#### C. Reports

- 1) To whom reports are given:
  - a. The committee, through its chair, shall report all policy recommendations to the University Senate.
  - b. The committee shall submit an annual report to the University Senate.
  - c. The committee shall report to the appropriate department and school dean concerning recommendations regarding program and course proposals and changes.
  - d. The committee shall report to the Provost/Vice President for Academic Affairs (as the University President's designee) for appropriate administrative review of the committee's action.
- 2) From whom reports are received:
  - a. Course and program proposals and course title, level descriptions and credit changes and the common core courses and proposals from the appropriate school curriculum review committees.
  - b. New programs and options of major impact to the University from the University Planning and Budgeting Committee.
  - c. Any University curriculum proposals from the Student Government Association.
  - d. Any change from the University Senate concerned with the common core.
  - e. Any recommendation for program discontinuance from a department, the University Senate, or the President

#### D. Minutes

Minutes of all meetings shall be distributed to:

- 2) All members of the committee
- 3) University Senate President
- 4) University Senate Archivist (2 copies)
- 5) School curriculum review committee chairs
- 6) Provost/Vice President for Academic Affairs
- 7) Each department chairperson and program director
- 8) SGA President

#### E. Amendments

These Bylaws may be amended by two-thirds vote of members present at any regularly scheduled meeting at which there is a quorum, and the approval of the University Senate and the President of the University.

*Senate Approval: Mar. 18, 1992 (R92-2-1)*

*Admin. Approval: April 14, 1992*

*Revised: Senate Approval May 19, 1999*

*Revised: Senate Approval May 15, 2002 (R-02-04-08)*

*Admin. Approval: July 3, 2002*

*Senate Approval: Dec. 20, 2006 (R-06-11-05)*

*Admin. Approval April 23, 2007*

## Institutional Review Board Bylaws

### **1. Mandate**

The Institutional Review Board (hereafter, IRB) is an administrative body established to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the auspices of the institution with which it is affiliated. (Department of Health and Human Services Office of Human Research Protections, Institutional Review Board Guidebook, 2.) Western Connecticut State University IRB is responsible for reviewing all research involving human subjects to ensure compliance with and fulfillment of: (1) the policies contained in the IRB document entitled "Guidelines for Researchers;" (2) the U.S. Department of Health and Human Services Office of Human Research Protections' Institutional Review Board Guidebook (hereafter, HHS OHRP IRB Guidelines); and (3) federal and state regulations related to research with human subjects.

### **2. The Board**

- a. Membership: The IRB shall consist of at least five members. Responsibility for appointing and maintaining the IRB rests with the Provost/Vice President for Academic Affairs in consultation with the Deans of the Schools, the appropriate Department Chairs, and with the advice and consent of the Board. In compliance with OHRP regulations, the membership must represent the breadth of scientific and scholarly specialties at the University, at least one member whose primary concerns are in a non-scientific area, and at least one member who is otherwise unaffiliated with the University. Appointments are for two years and are renewable. Continuity is ensured by staggered reappointment for subsequent years whenever possible.

The IRB may have as many members as necessary in order to perform its duties effectively. A Board member can be removed from service by the Provost/Vice President for Academic Affairs on the recommendation of the Board.

Any member of the University community who would like to serve on the IRB should indicate his/her interest to his/her chair, director, advisor, and/or dean.

b. Duties of Members:

- Attend Board meetings
- Review and evaluate all assigned protocols in advance of each meeting
- If designated by the chair, act as a reviewer for protocols eligible for expedited review
- Serve on ad hoc subcommittees of the Board
- Complete NIH or other approved training for research with human subjects annually
- Become familiar with federal and state regulations, Western policies, and IRB guidelines and procedures
- Keep him/herself current on federal and state regulations, Western policies, and IRB guidelines and procedures

### **3. The Chair**

a. Appointment:

The Provost/ Vice President for Academic Affairs appoints the chair with the advice and consent of the Board. The chair may be reappointed for an unlimited number of terms. The chair can be removed from service by the Provost/Vice President for Academic Affairs on the recommendation of the Board.

b. Duties:

- Chairs all regular and special sessions of the Board. If the chair is unable to attend the meeting, he/she shall appoint a substitute from the Board membership
- Performs all the functions of a Board member
- Has the authority to temporarily suspend research that is not in compliance with IRB guidelines
- Represents the Board in dealings with the University and the public when attendance of the total membership is not required
- Participates in or designates others to participate in sessions designed to inform and educate WestConn faculty, staff, and students about the responsibilities and activities of the Board
- Stays informed about the latest changes in federal and state guidelines for research with human subjects and communicates that information to other members of the Board and to the University community
- Has the authority to authorize emergency changes to a protocol to avoid an immediate hazard to subjects

May appoint an ad hoc committee

### **4. The Office Of Grant Programs**

Under the terms of the University's Federal wide Assurance, the Director of Grant Programs serves as the Human Protections Administrator. The Human Protections Administrator and staff have the following duties:

- Keep current on federal and state guidelines for research with human subjects and communicate that information to the Chair, the Board, and to faculty, staff, and students who do human subjects research
- Organize and participate in educational activities related to IRB policies and procedures
- Post IRB guidelines, forms, minutes, logs, and related materials electronically
- Maintain records for all protocols
- Distribute protocols appropriately
- Post meeting notices on ERes, "WestConn Report," and via all-faculty emails



- Keep on file IRB correspondence, guidelines, forms, minutes, logs, human research training certificates, and all other relevant information
- Participate in on-site reviews by federal inspectors
- Provide assurances to federal agencies of approval of protocols to be supported by federal funds
- Act as liaison between federal agencies and investigators regarding human subjects issues
- The Human Protections Administrator submits an annual report on IRB activities to the Provost/Vice President for Academic Affairs as part of his/her Annual Report

### **5. Special Consultants**

The Board may designate a consultant with special expertise to assist in the review of a particular protocol. The consultant does not vote on protocols.

### **6. Meetings**

#### **a. Date and Time:**

The Board meets at least three times a semester. Dates, times, meeting place, and deadlines are announced on ERes, in the "WestConn Report," and through all-faculty emails.

#### **b. Agenda:**

The Board will discuss and act on all protocols on the agenda.

#### **c. Voting:**

A quorum, consisting of one more than one-half the IRB membership (including a nonscientist member) is required to conduct business. A majority of those voting is required for Board action. If a vote is not unanimous, a roll call vote must be taken and recorded in the formal minutes.

#### **d. Minutes:**

Minutes must be kept in accordance with OHRP guidelines. The minutes should reflect the substance of all discussions. Minutes are distributed to members via email before the meeting. After the minutes are approved, they are sent to the Office of Grant Programs to be posted on ERes.

Minutes are open to all faculty, staff, and students. Observers may comment, but may not vote at meetings.

### **7. Action On Research Proposals**

The Board shall review research proposals that require full review and shall periodically conduct ongoing review of approved research projects.

The Chair may review and approve proposals that involve no more than minimal risk to the subject(s) or involve minor changes in previously approved proposals. Such review and approval may be conducted by the Chair or by one or more experienced members of the Board designated by the Chair.

If adverse consequences or unanticipated side effects are encountered in the course of the study, or new information becomes available that could change the perception of a favorable risk/benefit ratio, the principal investigator is responsible for informing the Board promptly. The WestConn IRB will make the final determination regarding protocol changes required due to adverse event reports.

Research that has been reviewed and approved by an IRB may be subject to further review and disapproval by officials of the institution. Those officials may not, however, approve research if it has been disapproved by the IRB. (HHS OHRP IRB Guidelines, 3)

Approved research is subject to continuing IRB review and must be reevaluated at least annually. (HHS OHRP, *IRB Guidelines*, 3)

### **8. Changes To The Guidelines And Bylaws**

As changes to rules, regulations, or operating procedures become necessary, they will be posted on ERes. They are also available in the Faculty Handbook and via electronic copy or hard copy from the Office of Grant Programs.

All changes in the bylaws and/or the guidelines must be adopted by a majority of the Board and approved by the Provost/Vice President for Academic Affairs.

*Approved unanimously by the IRB on May 18, 2005*

#### ARTICLE IX – Amendments

- A. Bylaws may be amended by a two-thirds vote of the Governing Board members present at any meeting, provided that written notice of the meeting, containing a copy of the proposed amendment, is given at least 15 days prior thereto to all members.
- B. Amended Bylaws must be approved by the University Senate.

*Senate Approved April 17, 2013 (R-13-4-2)*  
*President Approved 5/2/13*

### **CSU Professorships\***

The Board (of Trustees), upon the recommendation of (the campus) President and the Connecticut State University President, may award (faculty) members the title CSU Professor, provided that the member has been:

1. Recommended for the honor by the President who has received the advice of a committee elected from the membership by a procedure designed by the Senate and approved by the President;
2. Recognized by peers in the field for professional excellence.

CSU Professors shall retain their title for the duration of their service to the system and shall receive additional compensation at a rate 1.10 times their regular salaries.

Not more than four (4) CSU Professorships shall be awarded in any given year, and there shall not be more than twelve (12) in the Connecticut State University at any given time.

A subcommittee of the Promotion and Tenure Committee will be responsible for making recommendations to the President for CSU Professorship. The subcommittee will follow the Procedures adopted by the Senate by resolution (R89-12-8). The subcommittee will consist of five members, one of whom shall be elected Chair by the members of the subcommittee. The members of the subcommittee shall be elected by the members of the Promotion and Tenure Committee.

*Senate Approval: Sept. 26, 1990 (R90-9-2)  
Admin. Approval: Sept. 28, 1990*

*\*See Article 5.6, Collective Bargaining Agreement between Connecticut State University AAUP and the Board of Trustees for the Connecticut State University System.*

## **PROCEDURES FOR NOMINATION AND SELECTION OF CSU PROFESSOR**

### **I. Announce That Applications Are Being Accepted**

The Senate President shall place a notice in the WestConn Report at the beginning of the Fall Semester announcing that applications for the CSU Professorship are being accepted. Applications should be sent to the chair of the designated committee, and the deadline for the applications, along with supporting material, shall be November 1st.

### **II. Application Letter And Supporting Materials**

Applicants must write a letter declaring their intention to be considered for a CSU Professorship and explaining why they are suitable candidates for this honor. With the letter, applicants must include the following:

- A. A current curriculum vitae;
- B. Copies of professional publications or reviews of creative works, which will be returned after the Committee's deliberations;
- C. Outside letters of recommendation;
- D. Evidence of activities/recognition/honors from professional groups.

### **III. Criteria For Recommending Candidates For CSU Professorship To The President**

- A. Substantial and continuing professional accomplishments as recognized by peers both within and outside the University; creative activity appropriate to one's field, such as delivering papers at professional conferences, production/performance of artistic works, research and publications.
- B. A record of effective teaching which has guided a wide range of students over a long period of time.
- C. Evidence of application of scholarly research to the classroom.
- D. An ability to make the candidate's discipline intelligible to those who are non-specialists. A letter of application that indicates serious consideration on the part of the candidate of the meaning of CSU Professorship.
- E. Contributions to the general welfare of the University.
- F. Length of service to the University. (This criterion shall only be used to distinguish between candidates who are outstanding and otherwise equal.)

### **IV. Deliberations**

The committee shall consider the extent and, as far as possible, the quality of the evidence presented.

### **V. Recommendation To The President**

By December 1, the Committee shall submit no fewer than two (unless the President agrees to accept fewer than two names), but no more than three names to the President. However, if the Committee determines that there are more than three candidates who are equally qualified to be CSU Professors, the Committee may submit as many as five names to the President for his/her consideration and recommendation to the Board of Trustees. If the Committee determines that only one candidate at WCSU meets the qualifications for the CSU Professorship, then it may notify the President of this fact in writing and submit only one name to him/her. The President shall then consider the recommendation to the Board of Trustees. Each candidate shall be concurrently informed of the Committee's decision on his/her individual candidacy.

#### **VI. Report To The Senate**

As part of its annual report to the Senate, the designated committee shall inform the Senate of the following:

- A. The number of persons who applied for the CSU Professorship;
- B. The number of names submitted to the President for consideration and recommendation;
- C. If possible, the name of the recipient for the current year.

*Senate Approval: Dec. 13, 1990 (R89-12-8)*

*Admin. Approval: Jan. 8, 1990*

*Senate Approval: Sept. 26, 1990 (R91-5-10)*

*Admin. Approval: Sept. 28, 1990*

*Senate Approval: May 1, 1991 (R91-10-7)*

*Admin Approval: June 28, 1991; Nov. 1, 1991*

## UNIVERSITY POLICY AND PROCEDURES

### Instructional Departments – Department Bylaws

Each department has its own bylaws, which are on file in the department offices.

#### **I. Department Chairperson**

Each academic department is located within an appropriate school and has a Chairperson who is the official spokesperson for the department members. The Chairperson shall, under most circumstances, assume office on the first day of the academic year.

#### **Selection Procedures**

##### *A. Preamble*

The department has the primary responsibility for selecting the individual who will serve as Chairperson because of the role the Chairperson has in the Department. The position interfaces with both the academic and administrative spheres of the University so that the Administration also has a right to be involved in the selection process.

The Department has the role of selecting the nominee and no individual may be appointed as Department Chairperson unless that person has been approved by the Department. The Departments must therefore exercise care and responsibility in their selection.

The Administration has the right to appointment and no individual may serve as Department Chairperson unless appointed by the Administration. However, because of the responsibility exercised by the Department in making its selection, it is expected that the individual nominated will be appointed except for compelling reasons.

Careful consideration by those who are involved should be given to the nomination and appointment of the Department Chairperson.

The individual who is Chairperson should have ability and interest in working effectively with and having concern for the faculty of the Department and students who utilize the Department; in curriculum development and review; in the Department functioning smoothly as an entity in itself and as a part of the University; in representing the Department to the profession at large.

The eligibility requirements, such as academic credentials, years of experience, etc., and the term of office will be contained in the Department bylaws.

1. The Department, using the procedures and rules of eligibility as in its bylaws, elects one nominee.
2. The Department submits to the School Dean, in writing, the name of the nominee and specifies the term of office.
3. If the Dean and Department agree on the nominee, the Dean, as the designee of the President, appoints.
4. If the Dean disagrees with the Department's recommendation, the name is returned to the Department with an explanation, in writing, of the reasons for the disagreement. A mutually agreeable date is set at which time the Dean and Department meet to discuss and resolve the differences.
  - a. If the Dean and the Department resolve in favor of the nominee, the Dean, as designee of the President, appoints.
  - b. If the Dean and Department resolve in favor of a new election, the process goes back to Step 1.
  - c. In case of impasse, the process continues to Step 5.
5. In the event that an impasse arises and further discussion appears counterproductive, the following steps shall be taken:
  - a. The name of the nominee shall be forwarded by the Department to the President of the University.
  - b. The President shall call a joint meeting of the School Dean and the Department or Department's representatives. At this meeting, the rationale of the Dean and of the Department will be given to the President.
  - c. The President's recommendation will be given to the Department.
    - (1) If the recommendation is in favor of the Department, the President appoints the nominee as Chairperson.
    - (2) If the recommendation is not in favor of the Department, the procedure reverts to Step 1.
6. Department that wishes to select a Chairperson from off-campus
  - a. If a Department wishes to select a Chairperson from off-campus and the School Dean concurs and if there is a faculty position available in that Department, then a Department Search Committee shall be established. The Dean shall be an ex officio member of that Committee.
  - b. All established employment procedures for instructional faculty will be followed.
7. Chairperson for a Department formed from existing Departments
  - a. Follow the procedure as in A. 1-5.
8. Chairperson for newly created Departments
  - a. The Dean appoints a Search Committee of three faculty members from the School. The Dean serves as an ex officio member of the Committee.
  - b. All established employment procedures for instructional faculty will be followed.
9. Interim appointments caused by a leave of absence, resignation, or recall by the Department must be specified in Department bylaws.
  - a. Follow procedure as in A. 1-5. except that the term will end on the same date as the term of the individual being replaced.

#### 10. Associate Chairpersons

The election of an Associate Chairperson, term of office, and recall procedures will be contained in the bylaws of those Departments who want an Associate chairperson. Total reassigned time for Chairpersons shall not exceed that provided by the CSU-AAUP contract.

#### 11. Calendar for Selection of Department Chairperson

	Time Interval	Section to be initiated
a.	By 1 March of the year that the term of office of the Department Chairperson expires or within 10 School days of a vacancy occurring.	A.1
b.	Within 2 school days after A.1	A.2.
	Within 10 school days after A.2	A.3., or, if needed, A.4
c.	If needed, within 10 school days after a.4.	A.5. (A.5.a.and A.5.b.)
d.	If needed, within 14 school days after A.5. (A.5.a. and A.5.b.)	A.5.C.

#### *B. Responsibilities of Chairperson*

The Department Chairperson is a member of the Department whose specific responsibilities include:

1. Conduct of department meeting according to approved by laws in such manner that members are informed and involved in appropriate decision making concerning the academic program. Minutes of each meeting are to be filed with the appropriate Deans.
2. Coordination of departmental activities to ensure that duties—teaching, advisement, committees, community relations—are fairly apportioned.
3. Transmittal to appropriate administrators or committees and defense of department proposals concerning program and course development, equipment and supply needs, staffing recommendations, space needs, community services, and the like.
4. Provision of in-service assistance to Department members.
5. Facilitate involvement of appropriate Department members in DEC activities. (See procedures for faculty evaluation).
6. Submission to appropriate Deans for approval of proposed staff assignments semester by semester.
7. Development with Academic Deans and Graduate Director of the cycling of course offerings.
8. Development of effective academic advisement procedures for students assigned to the Department, both undergraduate and graduate.
9. Recommendations to the Provost/Academic Vice President through the appropriate Deans concerning persons to be appointed to the department staff according to University procedures for hiring.
10. Transmittal of DEC recommendations to the appropriate administrators or committees concerning faculty retention, dismissal, tenure, promotion (see Bylaws of the Promotion and Tenure Committee).
11. Maintenance and proper supervision of University property assigned for instructional or service purposes.
12. Supervision of all Department members to ensure that all regular obligations such as office hours, filing of book orders, reporting of grades, clearance for professional and personal absences, are properly met.
13. Arrangements for coverage of Department courses in the event of absence of a faculty member.
14. Supervision of clerical staff in the Department, including student workers and graduate assistants. The Department Chairperson is responsible for the final selection, assignment, performance evaluation, and recommendation for termination of departmental clerical staff. The Department Chairperson should contact the Office of Human Resources to discuss matters pertaining to the clerical staff. Questions concerning student assistance should be

directed through the Department Chairperson to the Office of Financial Aid, and those concerning graduate assistants through the Dean to the offices of the Graduate Studies.

*Senate Approval: Jan. 14, 1979*

## **II. Instructional Department Members**

- A. Selection of their representatives
  - 1. Elect the department members to be nominated for Department Chair.
  - 2. Elect representatives to appropriate committees.
- B. Determination of Department program within the framework of the total school and University program.
  - 1. Participate in development of programs, courses, teaching skills, instructional strategies, advisement roles and the like in accordance with procedures outlined in Academic Policies and Procedures section of the *Faculty Handbook*.

## **III. Faculty And Department Teaching Assignments**

### **A. Instructional Load**

See the CSU-AAUP contract for provisions pertaining to work load.

### **B. Course Assignments**

- 1. Prior to the start of the spring semester, each Department Chair will submit to the appropriate School Dean a proposed four-semester rotation listing of all courses recommended as offerings in the next two academic years. In turn the Dean will submit that portion of the proposed offerings list which apply to the Graduate School and the Evening baccalaureate program to the Registrar's Office.
- 2. The Dean will review the proposed offerings in relation to (a) the various student populations to be served, (b) the program demands of the various populations, (c) the resources of the Department to support the proposed offering, and d) catalog identification of schedule for offering.
- 3. The Dean will consult with each Department Chair concerning any needed additions or deletions in the four-semester projection and will, after such consultation, return to each Department an approved four-semester course projection.
- 4. On or before the date specified by the appropriate Dean, each Chairperson shall submit to the Dean the proposed semester program including number of sections of each course and individual faculty assignments to support the proposed program. The School Dean will receive the total proposed program. The Dean of Graduate Studies and the Registrar will receive that portion which pertains to graduate and evening offerings.
- 5. Each chairperson recommends to the Dean the staffing of all departmental offerings, indicating those staff members who are being proposed to the Graduate Dean for a portion of their load.
  - a. All department members are expected to share in the general education offerings of their department.
  - b. All department members are expected to share in the undergraduate evening program if needed to complete load or to support baccalaureate majors in the discipline.
  - c. Those faculty teaching graduate level courses shall consist of those members who hold the appropriate terminal degree or who have professional experience which provides a special competency to teach a particular course or courses.
- 6. The Deans will review the proposed semester offering and staffing using the same criteria as in 2 above and will consult with each Department Chair concerning any needed additions or deletions. The Dean will, after consultation, provide to the department and to the Registrar the final approved section and staffing list on which individual faculty schedules will be based.
  - a. Any problems arising between undergraduate and graduate course offerings and staffing will be resolved by the School Dean and the Graduate Dean in consultation with the Department Chairperson.
  - b. If needed, the Provost/Vice President for Academic Affairs will assist in that resolution.

### **C. Scheduling of Assigned Courses**

- 1. Scheduling is done by the Registrar.
- 2. Faculty members may have teaching schedules up to 5 days per week.
- 3. Faculty members may be assigned to Saturday or evening classes.
- 4. Special requests for scheduling from faculty members.
  - a. Any faculty member who is involved in graduate study may request that a particular time be left free to attend classes or meet with his/her advisor.
  - b. All requests (a. above) are sent to the Academic Deans by the concerned Department Chair. The Academic Deans transmit approved requests to the Registrar to be incorporated into the total schedule, if possible.

### **D. Individual Faculty Schedule**

- 1. Schedules are sent to the faculty member by the Registrar upon approval by the Academic Dean and Graduate Dean.
- 2. No changes may be made in the schedule without authorization of the Department Chair and the appropriate Dean.
- 3. After receipt of schedule the faculty member shall, at the start of the semester, provide to the appropriate Academic Dean or secretary copies showing teaching assignments, office hours, and any regularly scheduled graduate study commitments of his/her own. These are used to determine meeting times and to facilitate communication with faculty members.

### **E. Procedures and Policies Governing Class Meetings, Size, Cancellation, and the Like**

- 1. Classes will meet at times scheduled. Neither students nor faculty may revise the schedule. Faculty may not schedule make-up classes for periods for which the faculty member has been absent nor may students expect faculty members to hold make-up classes resulting from student absences.



2. Faculty members must notify their Department Chair or secretary in the event of inability to meet classes due to illness or emergency.
3. From time-to-time the University schedule may be altered or suspended for special reasons. Such changes are administratively determined, and, except in emergencies, announced well in advance. These changes are binding on all faculty.
4. A faculty member may permit a student who does not meet specific course prerequisites to enroll in a given class when he/she is convinced the student can do the work. A faculty member cannot deny any student who meets prerequisite requirements the right of enrollment.
5. Class size limits shall be determined on sound educational principles by the appropriate Academic Dean in consultation with the Department (see CSU-AAUP contract).
6. Cancellation of classes due to insufficient enrollment is administratively determined, whenever possible, in consultation with the Department Chair (see CSU-AAUP).
7. When maximum class size has been reached, no additional students may be enrolled without the consent of the instructor of the class and the permission of the Department Chairperson. Such override that generates additional load credit for the instructor requires the written approval of the Dean of the School.
8. A student may register for a class after the beginning of the second week of the class only with the approval of the instructor of the course and the appropriate Dean.

*Senate Approved R-07-03-03  
Admin. Approval 10/26/07*

#### **IV. Faculty And Department Responsibility For Student Advisement**

##### **A. Definition of Academic Advising**

Academic advising is a "decision-making process during which students realize their maximum educational potential through communication and information exchanges with an advisor." (Thomas J. Grites) "It is the primary means of helping students benefit from an array of programs. It is always a process composed of timely responses in areas relevant to student education." (IDEA Paper No.3) Advising provides the student with assistance for optimum progression through the University experience with opportunities for continued personal and professional growth and fulfillment." (Wichita Report)

##### **B. Responsibility for Academic Advising**

The responsibility for appropriate and effective academic advisement rests with the faculty and the students. The faculty member is responsible for communicating accurate and up-to-date academic information. The student is responsible for implementing decisions derived from the advising process in order to fulfill the requirements necessary for graduation. Both the faculty member and the student must make a commitment to the advising process to enable it to be efficient and effective. Without a shared responsibility, academic advising will fail to achieve the goal of optimum progression through the University experience.

*Senate Approval: May 15, 1985*

##### **C. Responsibilities of Faculty Advisors**

Faculty members will each have a group of students assigned by their department for whose academic advisement they are responsible. The responsibilities of an advisor are:

1. To know the program requirements and University regulations with which the student must comply.
2. To assist each student in planning his/her sequence of courses to meet graduation requirements.
3. To approve, semester by semester, the specific program of courses which the student takes.
4. To refer students to appropriate University staff in matters which are outside the area of the faculty member's competence (e.g., Health Services, Counseling, Academic Deans, Graduate Dean, etc.)
5. To recommend to the Department Chair and to the appropriate dean any waivers or exceptions to the program requirements which he/she judges to be essential for the student's best academic interests.
6. To advise the department on the status of each advisee as he/she reaches various stages in his/her program (e.g., admission to standing as upper class major, approval of application for independent Study or Student Developed Study, etc.).

*Revised R-07-03-03  
Admin. Approval 10/26/07*

##### **D. Academic Advisement Duties**

1. Students should meet an advisor appropriate to his/her major at least once a semester prior to registration academic interests.
2. Each Department Chair (or his/her designee) should coordinate academic advising procedures for his/her Department.
3. The advisor should be responsible for reviewing prerequisites, core requirements, and program requirements with the student.

*Senate Approval: Nov. 20, 1985  
Admin. Approval: Dec. 5, 1985  
Updated July, 2005  
Revised R-07-03-03  
Admin. Approval 10/26/07*

#### **E. Procedures**

1. Each Department Chair should receive a list of majors by week 2 of the current semester (from the Computer Center via the Dean).
2. Each Department Chair should receive a student activity report for each major by week 3 of the current semester (from the Computer Center via the Dean).
3. All Departments have computer access to student transcripts. At such time, the score received by each student on the English and math placement exam should be included in the student's record, along with the required math and English course noted based upon these scores, and the Departments have access to that computerized record.
4. Departments should determine how individual students will be assigned to advisors and Chairs should be sure that all advisors are aware of advisement policies.
5. Adviser's responsibilities are included in the Recommendations of the Committee on Academic Advisement accepted by the Senate, November 1985, and approved by the University President.
6. The Office of Admissions should send the appropriate Department a program sheet with credits transferred clearly noted for each transfer student admitted.
7. If a student transfers from one Department to another, the new Department should be responsible for obtaining the student's file from the former Department.
8. Up-to-date Department program sheets should be available as University/School/Department requirements are changed.
9. Information to faculty about curriculum changes will be disseminated through appropriate channels.
10. Faculty workshop(s) on advisement should be offered.
11. Departments should begin registration advisement as early as possible each semester, and no later than the first day following the publication of semester schedules.

*Senate Approval: Feb. 19, 1986  
Revised Senate R-07-03-03  
Admin. Approval 10/26/07*

#### **V. Academic Probation Policy**

- A. Academic probation letters from the Dean are sent concurrently with end-of-semester grade reports to each first semester freshman with a grade point average below 1.7 and to all other students with averages below 2.0. Students on probation must meet with their advisors to review their program requirements, course selections, credit loads, and other pertinent information.
- B. The probationary period will commence the semester following the one for which the letter of probation was initially issued. The Dean will review the student's activities during the period of probation.
- C. Probation shall be limited to one semester only, i.e., probation may not be extended to a consecutive semester.
- D. Should the student not meet the required average, the student shall be suspended for academic deficiency. Students on probation should consider a semester course load of 12 credit hours and limit their participation in co-curricular activities. Appeals to these policies should be made to the appropriate Dean who, for extenuating circumstances only, may waive the policy.

*Admin. Approval: April 18, 1986\**

*\*Clarification of President: Of course, individual schools or programs may have standards for probation and dismissal from that school or program that are higher than the University standards. A student can be on probation or be dismissed from a school or program and still be in good standing at the University.*

#### **VI: Minimum Student Preparation Hours**

- A. The Faculty and Administration of the University endorse the concept of a issued guidelines to students of a minimum expectation of two hours preparation per hour of class time. This guideline will be stated at Student Orientation and be printed in both the Student Handbook and the Catalog.

*Admin. Approval: Dec. 5, 1985*

## ACADEMIC PROGRAMS – CURRICULUM DEFINITIONS

Degree	Credit Parameters for Majors
Bachelor of Arts	30-48 credit hours in one subject, (25-40% of all coursework), language required in all disciplines
Bachelor of Arts (Interdisciplinary)	48-66 credit hours in two or more subject areas (40-55% of all coursework), language required in all disciplines
Bachelor of Science Bachelor of Business Administration	48-66 credit hours within one subject area (40-55% of all coursework), language required in some disciplines.
Bachelor of Science (Interdisciplinary)	66-80 credit hours across two or more disciplines (55-66% of all coursework), language required in some disciplines.
Bachelor of Music Bachelor of Fine Arts	More than 70 credit hours within one subject (65-75% of all coursework), language required in some disciplines

**Interdisciplinary Majors:** The interdisciplinary major weaves together two or more disciplines to create a coherent whole. Examples include BS in Meteorology, BA in Biochemistry, or any Secondary or Elementary Education degree. Up to 18 credits from the secondary major disciplines and/or cognate courses may be used to satisfy the breadth requirement in general education. A further reduction would not allow students to have a reasonable expectation of meeting all competency requirements within the credits allotted. There is no reduction in the number of competencies.

**Cognate Courses:** A cognate course is a non-major course deemed essential to supporting the major discipline. Examples include economics for the BBA degrees or calculus for Computer Science. Cognate courses should only be assigned if they are essential to success in the major or reflect national norms for the degree. Up to 18 credits of cognate courses may be applied to the breadth requirement in general education. A further reduction would not allow students to have a reasonable expectation of meeting all competency requirements within the credits allotted. There is no reduction in the number of competencies.

**Language Requirements:** The Bachelor of Arts degree requires students to study a language other than English to at least an elementary level II. The BS, BBA, BM, and BFA vary in their language requirements which are determined by the departments.

*Senate Approval: Nov. 14, 1990 (R90-11-11)*

*Admin. Approval: Feb. 1, 1991*

*Senate Approval: February 17, 2016*

## Guidelines for Material Submitted to the Committee on Undergraduate Curriculum & Academic Standards (CUCAS) and Graduate Council

Materials submitted by December 1, will be considered and, if approved, included in the next *Catalog*.

The following information must be included in the material submitted to the Committee on Undergraduate Curriculum & Academic Standards (CUCAS), or for graduate courses to the Graduate Council

1. For course proposals (if applicable provide existing and proposed change(s):
  - a. Course number (by level Oxx\*, 1 xx, 2xx, etc)
  - b. Course title
  - c. Semester hour credit
  - d. Rationale for course proposal
  - e. Course description, including prerequisites
  - f. Course topical outline: new and old (if appropriate)
  - g. Time provision for incorporation into the program
  - h. Standard grading option or Pass/Fail option. If an "RM" or "RP" grade is appropriate, so indicate

*Note: Proposals for new courses must contain an attachment which details all new resources including technology that exists and that must be purchased and faculty line(s). If no new resources are needed, departments must include an explanation and supporting data justifying how or why no new resources (i.e., staffing, course rotation, library resources, technology resources, laboratory facilities) are needed.*

2. For dual label course proposals:
  - a. Same as in above
3. For program/option proposals
  - a. Rationale for the program/option.
  - b. Courses to be offered in the program (each course submitted as required in 1. above)
  - c. Provisions for staffing and time incorporation
  - d. Old and new program sheets
  - e. Program assessment activities
4. For all proposals:
  - a. 18 copies of each proposal, stapled and clearly organized
  - b. All materials should be routed from the department chairperson to appropriate school committees following the University Senate approved procedures
  - c. Chairpersons of the appropriate school committees send all material to the chairperson of the CUCAS or to the chairperson of the Graduate Council.
  - d. The appropriate signed cover routing sheet is to be included with all proposals.

*Pending the electronic set-up in the 2006-07 academic year, the electronic format approved by the Senate R-06-02-03 and approved by the President 6/9/06 will be as follows:*

- a. Departmental approval of the proposed change(s).
- b. Transmission of the proposal to the appropriate school review committee in electronic form.
- c. Each school review committee chair will electronically post the proposals and notify all University department chairs that they should check the proposals. (the place where this should be posted and the manner should be determined by the deans and the appropriate technical staff.)
- d. Department chairs will decide whether they think their departments are affected and if so, go to the complete proposal. When a department chair thinks the change has an effect on the department, she or he will provide input to the review committee before or during the approval process
- e. After the approval by the school committee, the proposal proceeds to the next step of the process as before (CUCAS or Graduate Council) where departments who consider themselves affected may also provide input.

*\*Receiving load credit but no academic credit*

[Form: Procedure for the Modification of the Undergraduate or Graduate Curriculum](#)

[Form: Procedure for Planning of the Undergraduate or Graduate Curriculum](#)

Revised Senate Approval: R-00-05-13

Admin. Approval: Oct. 23, 2000

Revised Senate Approval: R-06-02-03

Admin. Approval: 6/9/06

Revised Senate Approval: R-06-04-04

Admin. Approval: 9/6/06

## Procedure for the Modification of the Undergraduate or Graduate Curriculum

**PROPOSAL NAME**

TO REVISE (CHECK ONE)

☐ MAJOR\*\*☐ OPTION\*\*☐ MINOR\*\*

TO ESTABLISH/CHANGE (CHECK ONE)

☐ NEW COURSE\*\*☐ COURSE TITLE☐ COURSE DESCRIPTION☐ COURSE PREREQUISITE(S)\*\*☐ COURSE LABEL☐ COURSE LEVEL☐ COURSE OUTLINE☐ OTHER\*\*

1. DEPARTMENT APPROVAL (Chair(s) signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
2. The following affected departments have been notified of the proposal (attach copy) (Chair(s) signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
*In lieu of Line 2 notify University Chairs electronically if electronic format is up and running in 2006-07.*
3. SCHOOL CURRICULUM COMMITTEE (Chair(s) signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
 Date \_\_\_\_\_ 20\_\_
4. GRADUATE COUNCIL (Chair(s) signature-when applicable) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
 Date \_\_\_\_\_ 20\_\_
5. GENERAL EDUCATION COMMITTEE (Chair(s) signature-when applicable) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
 Date \_\_\_\_\_ 20\_\_
6. COMMITTEE ON UNDERGRADUATE CURRICULUM & CURRICULUM & ACADEMIC STANDARDS (Chair(s) Signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
 Date \_\_\_\_\_ 20\_\_
7. ADMINISTRATIVE REVIEW \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
 Date \_\_\_\_\_ 20\_\_

**NOTE:**

*Undergraduate curriculum requests are to be sent to the Committee on Undergraduate Curriculum & Academic Standards*  
*Graduate curriculum requests are to be sent to the Graduate Council.*

*\*CIP number exists and/or additional equipment and/or staffing is not required.*

*\*\*See item #1 of the CUCAS guidelines for "Procedure for the Modification of the Undergraduate or Graduate Curriculum."*

*\*\*\*Use additional page(s) if necessary.*

Rev. 8/97  
 Rev. Senate R-06-02-03  
 President Approved: 6/9/06  
 Rev. Senate R-06-04-04  
 President Approval: 9/6/06

## Procedure for Planning of the Undergraduate or Graduate Curriculum

**PHASE I – PLANNING APPROVAL****PROPOSAL****NAME** \_\_\_\_\_

To establish/revise (check one)

☐ MAJOR☐ OPTION☐ MINOR☐ NEW COURSE☐ OTHER \_\_\_\_\_

1. DEPARTMENT APPROVAL (Chair(s) signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
2. University Planning & Budgeting Committee (Chair's signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Approval \_\_\_\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
\_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
3. Administrative Review \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Approval \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
\_\_\_\_\_ Date \_\_\_\_\_ 20\_\_

\*Additional equipment and/or staffing is required and/or no CIP program number exists.

\*\*Use additional sheet(s) if necessary.

Rev. 8/97

**PHASE II – CURRICULUM DEVELOPMENT****PROPOSAL****NAME** \_\_\_\_\_

To establish/revise (check one)

☐ MAJOR☐ OPTION☐ MINOR☐ NEW COURSE☐ OTHER \_\_\_\_\_

1. DEPARTMENT APPROVAL (Chair(s) signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
2. The following affected departments have been notified of the proposal (attach copy). \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
*In lieu of Line 2 notify University Chairs electronically if electronic format is up and running in 2006-07.*
3. School Curriculum Committee (Chair's signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Approval \_\_\_\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
\_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
4. Graduate Council (Chair signature) when applicable \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Approval \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
\_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
5. Committee on Undergraduate Curriculum and Academic Standards (Chair's signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Approval \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_

6.

Administrative Review

Date 20

Approval

Date 20

Disapproval (reasons, comments or recommendations\*\*)

Date 20

NOTE:

**Undergraduate** curriculum requests are to be sent to the Committee on Undergraduate Curriculum & Academic Standards.**Graduate** curriculum requests are to be sent to the Graduate Council.

\*Additional equipment and/or staffing is required and/or no CIP program number exists.

\*\*Use additional page(s) if necessary.

Rev. 8/97

Rev. Senate

Approval: R-06-

02-03

Admin. Approval:

6/9/06



## Procedure for the Modification of the Undergraduate or Graduate Curriculum

To Revise a	To Establish/Change a	Other
<input type="checkbox"/> Major	<input type="checkbox"/> New Course	
<input type="checkbox"/> Option	<input type="checkbox"/> Course's Title	
<input type="checkbox"/> Minor	<input type="checkbox"/> Course's Description	
	<input type="checkbox"/> Course's Prerequisite(s)	
	<input type="checkbox"/> Course's Label	
	<input type="checkbox"/> Course's Level	
	<input type="checkbox"/> Course's Outline	

1. This procedure is to be used when a CIP (Classification of Instructional Program) category code number exists and/or additional equipment and/or staffing is not required. Departments must include an explanation and supporting data justifying how or why no new resources (i.e., staffing, course rotation, library resources, technology resources, and laboratory facilities) are needed.
2. The department prepares and approves the change, addition, establishment, etc. and obtains the proper cover routing sheet from the Faculty Handbook. The proposal should include the course designation and number, title, description, prerequisite(s), level, outline, date, and any other information required by the Committee on Undergraduate Curriculum & Academic Standards (CUCAS) or the Graduate Council. Departmental approval indicates that all other affected departments have been notified. The material is sent to the chairperson of the school curriculum committee.
3. Both undergraduate and graduate courses material or program revision proposals with the proper cover routing sheet are sent to the school curriculum committee. The school curriculum committee is responsible for the complete contents of the proposal being sent to either CUCAS or the Graduate Council. If the school curriculum committee disapproves the proposal, with reasons, comments, or recommendations, it is sent back to the department chairperson.

*\*Pending the electronic set-up in the 2006-07 academic year, the electronic format approved by the Senate R-06-02-03 and approved by the President 6/9/06 will be as follows:*

- a. Departmental approval of the proposed change(s).
  - b. Transmission of the proposal to the appropriate school review committee in electronic form.
  - c. Each school review committee chair will electronically post the proposals and notify all University department chairs that they should check the proposals. (the place where this should be posted and the manner should be determined by the deans and the appropriate technical staff.)
  - d. Department chairs will decide whether they think their departments are affected and if so, go to the complete proposal. When a department chair thinks the change has an effect on the department, she or he will provide input to the review committee before or during the approval process
  - e. After the approval by the school committee, the proposal proceeds to the next step of the process as before (CUCAS or Graduate Council) where departments who consider themselves affected may also provide input.
4. The Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council reviews the proposal. If approved, the proposal is sent for administrative review to the Provost/V.P. for Academic Affairs. If disapproved, the proposal, with reasons, comments, or recommendations, is sent back to the chairperson of the school curriculum committee and the department chairperson. The Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council may consult with the department and/or school curriculum committee for clarification throughout the process.
  5. The chairperson of CUCAS, or where applicable the chairperson of the Graduate Council, the department chairperson, the appropriate Dean, and the Director of Graduate Studies (if applicable) are notified simultaneously of the administrative approval or disapproval with reasons, comments, or recommendations.
  6. The Office of Academic Affairs is responsible for initiating and overseeing the off-campus approval process required for program modification after a proposal has been approved on campus. The off-campus process includes the CSU System office, the CSU Board of Trustees, the Advisory Committee on Accreditation of the DHE, and the Board of Governors for Higher Education. Inquiries about this process should be directed to the office of Academic Affairs.

For off-campus submission, proposals should be in the format for program modification required by the Department of Higher Education (see Board of Governors, "Program Modification," *Guide to Licensure of New Academic Programs*).

Form: Procedure for the Modification of the Undergraduate or Graduate Curriculum

October 29, 1995  
Rev. Aug., 1997  
Rev. Aug. 2005  
Rev. Senate Approval: R-06-02-03  
Administrative Approval: 6/9/06  
Rev. Senate R-06-04-04  
Administrative Approval 9/6/06

## Procedure for the Modification of the Undergraduate or Graduate Curriculum

**PROPOSAL NAME**

## TO REVISE (CHECK ONE)

☐ MAJOR\*\*  
☐ OPTION\*\*  
☐ MINOR\*\*

## TO ESTABLISH/CHANGE (CHECK ONE)

☐ NEW COURSE\*\*  
☐ COURSE TITLE  
☐ COURSE DESCRIPTION  
☐ COURSE PREREQUISITE(S)\*\*  
☐ COURSE LABEL  
☐ COURSE LEVEL  
☐ COURSE OUTLINE  
☐ OTHER\*\*

1. DEPARTMENT APPROVAL (Chair(s) signature) \_\_\_\_\_ Date \_\_\_\_ 20\_\_
2. The following affected departments have been notified of the proposal (attach copy) (Chair(s) signature) \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
*In lieu of Line 2 notify University Chairs electronically if electronic format is up and running in 2006-07.*
3. SCHOOL CURRICULUM COMMITTEE (Chair(s) signature)  
Approval \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_ Date \_\_\_\_ 20\_\_
4. GRADUATE COUNCIL (Chair(s) signature-when applicable)  
Approval \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_ Date \_\_\_\_ 20\_\_
5. GENERAL EDUCATION COMMITTEE (Chair(s) signature-when applicable)  
Approval \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_ Date \_\_\_\_ 20\_\_
6. COMMITTEE ON UNDERGRADUATE CURRICULUM & CURRICULUM & ACADEMIC STANDARDS (Chair(s) Signature)  
Approval \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_ Date \_\_\_\_ 20\_\_
7. ADMINISTRATIVE REVIEW  
Approval \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_ Date \_\_\_\_ 20\_\_

**NOTE:**

**Undergraduate** curriculum requests are to be sent to the Committee on Undergraduate Curriculum & Academic Standards.

**Graduate** curriculum requests are to be sent to the Graduate Council.

\*CIP number exists and/or additional equipment and/or staffing is not required.

\*\*See item #1 of the CUCAS guidelines for "Procedure for the Modification of the Undergraduate or Graduate Curriculum."

\*\*\*Use additional page(s) if necessary.

Rev. 8/97

Rev. Senate R-06-02-03

President Approved: 6/9/06

Rev. Senate R-06-04-04

President Approval: 9/6/06

## Procedure for Planning of the Undergraduate or Graduate Curriculum

### To establish/revise a:

- \_\_\_\_\_ MAJOR
- \_\_\_\_\_ OPTION
- \_\_\_\_\_ MINOR
- \_\_\_\_\_ NEW
- \_\_\_\_\_ COURSE
- \_\_\_\_\_ OTHER

### PHASE I – PLANNING

1. This procedure is to be used for: a) programs (options, etc.) or courses with additional equipment and/or staff required, b) programs (options, etc.) where no CIP number exists, and c) programs (options, etc.) with additional equipment and/or staff not required and program CIP number exists.
2. The department prepares and approves a proposal for planning approval of not more than two (2) pages and obtains the proper cover routing sheet from the Faculty Handbook. The proposal should include answers to the following:
  - A. What are the educational equipment needs?
  - B. What are the staffing needs? (over a 4-year period)
  - C. What is the rationale for the proposal?
  - D. Are there any special room or facility needs (e.g., computer time, etc.)?
  - E. When would degrees be granted?
  - F. How does the program (course, etc.) meet the University strategic planning assumptions?
  - G. How much library material is already available on the campus/how much more library material is needed?
  - H. What is the implementation schedule?
3. The proposal, with appropriate number of copies, is sent to the chairperson of the University Planning & Budgeting Committee to determine whether the proposal fits into the strategic planning of the institution and what the possibilities are for staff, equipment, facilities, etc.
4. The University Planning & Budgeting Committee recommendation, either approval for planning or disapproval with reasons, comments or recommendations is sent to the University President for administrative review. A copy of the committee's recommendation is also sent simultaneously to the department chairperson.
5. The University President will review the proposal and send his/her approval for planning or disapproval with reasons, comments or recommendations to the department chairperson and the chairperson of the University Planning & Budgeting Committee simultaneously. If approved, the chairperson of the Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council should also be notified.
6. *If the proposal is approved, the department may proceed with PHASE II.*

### PHASE II – CURRICULUM DEVELOPMENT

7. The department prepares and approves the full proposal for the new program, course, etc., including the original proposal with administrative planning approval, and obtains the proper cover routing sheet from the Faculty Handbook. The proposal should include the course designation and number, title, description, prerequisite(s), level, outline and any other information required by the Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council. Departmental approval indicates that all other affected departments have been notified.

8. A. Undergraduate and graduate course material or undergraduate program proposals with the proper cover routing sheet are sent to the chairperson of the school curriculum committee, with the appropriate number of copies. If the school curriculum committee approves, the proposal is sent to the chairperson of the Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council. The school curriculum committee is responsible for the complete contents of the proposal when it is sent for review. If the school curriculum committee disapproves, the proposal, with reasons, comments or recommendations, is sent back to the department chairperson.

*See below for new update to this section in 2006-07\**

B. Graduate program proposals with the proper cover routing sheet are sent to the chairperson of the school curriculum committee, with the appropriate number of copies. If the school curriculum committee approves, the proposal is sent to the chairperson of the Graduate Council. The school curriculum committee is responsible for the complete contents of the proposal being sent to the Graduate Council. The Graduate Council reviews the proposal. If approved, the proposal is sent to the Provost/V.P. for Academic Affairs. If disapproved, the proposal with reasons, comments, or recommendations, is sent back to the department chairperson and the chairperson of the school curriculum committee simultaneously.

*See below for new update to this section in 2006-07\**

9. The Committee on Undergraduate Curriculum and Academic Standards reviews undergraduate proposals. If approved, the proposal is sent for administrative review. If disapproved, the proposal, with reasons, comments or recommendations, is sent back to the chairperson of the school curriculum committee and the department chairperson. The Committee on Undergraduate Curriculum and Academic Standards may consult with the department and/or school curriculum committee for clarification throughout the process.

10. The chairperson of the Committee on Undergraduate Curriculum and Academic Standards, the department chairperson and the appropriate Dean are notified simultaneously of the administrative approval or disapproval with reasons, comments or recommendations.

11. The office of Academic Affairs is responsible for initiating and overseeing the off-campus approval process required for licensure of new programs after they have been approved on campus. The off-campus process includes the CSU System office, the CSU Board of Trustees, the Advisory Committee on Accreditation of the DHE, and the Board of Governors for Higher Education. The Advisory Committee may schedule a site visit and will prepare a staff report before recommending licensure to the Board of Governors. Licensure of a new program is usually for a term of two years, followed by a progress report and application for state accreditation. Inquiries about this process should be directed to the office of Academic Affairs.

For off-campus submission, proposals should be in the format for licensure applications required by the Department of Higher Education (see the Board of Governors' Guide to Licensure of New Academic Programs).

*\*Pending the electronic set-up in the 2006-07 academic year, the electronic format approved by the Senate R-06-02-03 and approved by the President 6/9/06 will be as follows:*

- a. Departmental approval of the proposed change(s).*
- b. Transmission of the proposal to the appropriate school review committee in electronic form.*
- c. Each school review committee chair will electronically post the proposals and notify all University department chairs that they should check the proposals. (the place where this should be posted and the manner should be determined by the deans and the appropriate technical staff.)*
- d. Department chairs will decide whether they think their departments are affected and if so, go to the complete proposal. When a department chair thinks the change has an effect on the department, she or he will provide input to the review committee before or during the approval process*
- e. After the approval by the school committee, the proposal proceeds to the next step of the process as before (CUCAS or Graduate Council) where departments who consider themselves affected may also provide input.*

Form: Procedure for Planning of the Undergraduate or Graduate Curriculum-

[Phase I-Planning Approval](#)

[Phase II-Curriculum Development](#)

October 20, 1982

Rev. 8/97

Rev. 8/05

Rev. Senate Approval: R-06-02-03

Admin. Approval: 6/9/06

## Procedure for Planning of the Undergraduate or Graduate Curriculum

**PHASE I – PLANNING APPROVAL****PROPOSAL****NAME** \_\_\_\_\_

To establish/revise (check one)

\_\_\_\_ MAJOR

\_\_\_\_ OPTION

\_\_\_\_ MINOR

\_\_\_\_ NEW COURSE

\_\_\_\_ OTHER \_\_\_\_\_

1. DEPARTMENT APPROVAL (Chair(s)  
signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
2. University Planning & Budgeting Committee (Chair's signature)  
Approval \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Disapproval (reasons, comments or  
recommendations\*\*) \_\_\_\_\_  
\_\_\_\_\_  
Date \_\_\_\_\_ 20\_\_
3. Administrative Review  
Approval \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
Disapproval (reasons, comments or  
recommendations\*\*) \_\_\_\_\_  
\_\_\_\_\_  
Date \_\_\_\_\_ 20\_\_

\*Additional equipment and/or staffing is required and/or no CIP program number exists.

\*\*Use additional sheet(s) if necessary.

Rev. 8/97

Procedure for Planning of the Undergraduate or Graduate Curriculum

**PHASE II – CURRICULUM DEVELOPMENT**

**PROPOSAL**

**NAME** \_\_\_\_\_

To establish/revise (check one)

\_\_\_\_ MAJOR

\_\_\_\_ OPTION

\_\_\_\_ MINOR

\_\_\_\_ NEW COURSE

\_\_\_\_ OTHER \_\_\_\_\_

1. DEPARTMENT APPROVAL (Chair(s) signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
2. The following affected departments have been notified of the proposal (attach copy). \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
*In lieu of Line 2 notify University Chairs electronically if electronic format is up and running in 2006-07.*
3. School Curriculum Committee (Chair's signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_
4. Graduate Council (Chair signature) when applicable \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
 \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
5. Committee on Undergraduate Curriculum and Academic Standards (Chair's signature) \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
 \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_
6. Administrative Review \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_  
 \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_

**NOTE:**

**Undergraduate** curriculum requests are to be sent to the Committee on Undergraduate Curriculum & Academic Standards.

**Graduate** curriculum requests are to be sent to the Graduate Council.

\*Additional equipment and/or staffing is required and/or no CIP program number exists.

\*\*Use additional page(s) if necessary.

Rev. 8/97  
 Rev. Senate  
 Approval: R-06-  
 02-03  
 Admin. Approval:  
 6/9/06

## Procedure for Modification of a Dual Label Course in the Undergraduate or Graduate Curriculum

1. This procedure is to be used when a CIP program number exists and/or additional equipment and/or staffing is not required. Departments must include an explanation and supporting data justifying how or why no new resources (i.e., staffing, course rotation, library resources, technology resources, and laboratory facilities) are needed.
2. The originating department prepares and approves the change, addition, establishment, etc., and obtains the proper cover routing sheet from the Faculty Handbook. The proposal should include the course designation and number, title, description, prerequisite(s), level, outline, and any other information required by the Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council. The department that shares the label must also formally approve the change, etc. before the proposal may be sent to the school curriculum committee. Departmental approval by both departments indicates that all other affected departments have been notified. See below for new update to this section in 2006-07\*
3. The dual label proposal with proper cover routing sheet is sent to the chairperson of the school curriculum committee, with the appropriate number of copies. If the school curriculum committee approves, the proposal is sent to the chairperson of the Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council. The school curriculum committee is responsible for the complete contents of the proposal being sent to the Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council. If the school curriculum committee disapproves, the proposal, with reasons, comments or recommendations, is sent back to the department chairpersons.
4. The Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council reviews the proposal. If approved, the proposal is sent for administrative review. If disapproved, the proposal, with reasons, comments or recommendations, is sent back to the chairperson of the school curriculum committee and the department chairpersons. The Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council may consult with the departments and/or the school curriculum committee for clarification throughout the process.
5. The chairperson of the Committee on Undergraduate Curriculum and Academic Standards, or the Graduate Council, the Department Chairperson(s) and the appropriate Dean are notified simultaneously of the administrative approval or disapproval with reasons, comments or recommendations.

*\*Pending the electronic set-up in the 2006-07 academic year, the electronic format approved by the Senate R-06-02-03 and approved by the President 6/9/06 will be as follows:*

- a. Departmental approval of the proposed change(s).
- b. Transmission of the proposal to the appropriate school review committee in electronic form.
- c. Each school review committee chair will electronically post the proposals and notify all University department chairs that they should check the proposals. (the place where this should be posted and the manner should be determined by the deans and the appropriate technical staff.)
- d. Department chairs will decide whether they think their departments are affected and if so, go to the complete proposal. When a department chair thinks the change has an effect on the department, she or he will provide input to the review committee before or during the approval process
- e. After the approval by the school committee, the proposal proceeds to the next step of the process as before (CUCAS or Graduate Council) where departments who consider themselves affected may also provide input.

*Form: [Procedure for Modification of a Dual Label Course in the Undergraduate or Graduate Curriculum](#)*

October 20, 1982  
 Rev. Senate Approval: R-06-02-03  
 Admin. Approval: 6/9/06  
 Rev. Senate Approval: R-06-04--04  
 Admin. Approval: 9/6/06



## Procedure for Modification of a Dual Label Course in the Undergraduate or Graduate Curriculum

**PROPOSAL NAME** \_\_\_\_\_

1. Originating Departmental Approval (Chair's signature) \_\_\_\_\_ Date \_\_\_\_ 20\_\_
2. Departmental Approval of the Label Sharing Department (Chair's signature). \_\_\_\_\_ Date \_\_\_\_ 20\_\_
3. The following affected departments have been notified of the proposal (attach copy). \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
*In lieu of Line 3 notify University Chairs electronically if electronic format is up and running in 2006-07.*
4. School Curriculum Committee (Chair's signature) \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_
5. Committee on Undergraduate Curriculum and Academic Standards (Chair's signature) \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_
6. Graduate Council (Chair signature) \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_
7. Administrative Review \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
 Approval \_\_\_\_\_ Date \_\_\_\_ 20\_\_  
 Disapproval (reasons, comments or recommendations\*\*) \_\_\_\_\_

\_\_\_\_\_ Date \_\_\_\_ 20\_\_

**NOTE:**

**Undergraduate** curriculum requests are to be sent to the Committee on Undergraduate Curriculum & Academic Standards.

**Graduate** curriculum requests are to be sent to the Graduate Council.

\*Additional equipment and/or staffing is required and/or no CIP program number exists. See item #1 of the CUCAS guidelines for "Procedure for the Modification of the Undergraduate or Graduate Curriculum."

\*\*Use additional page(s) if necessary.

Rev. 8/97  
 Rev. Senate R-06-02-03  
 President Approved: 6/9/06  
 Rev. Senate R-06-04-04  
 President Approved: 9/6/06



Type of Proposal	Change Proposed	Academic Department***	School Program Review Committee*	UPBC	Gen Ed Committee	CUCAS***	Grad Council***	Senate#*	Provost	Off Campus approval: Check new BOR guidelines
New	Major	yes	yes	yes	no	yes	yes	yes	yes	yes
	Minor	yes	yes	yes	no	yes	no	Yes if 19+ credits	yes	Yes if 19+ credits (this was BOT rule)
	Option/Concentration	yes	yes	yes	no	yes	yes	yes	yes	yes
	Courses (includes description, outline, learning outcomes and frequency of offerings)	yes: both departments if dual labeled	yes: both schools if dual labeled across schools	no, unless new resources are required	if gen ed	yes**	yes	no	yes	no
	Certificate	yes	yes	yes	no	yes	yes	BOT rule: NO: if changes are 30 credits or less and credits fall within a preexisting degree program; or if a new undergraduate option or certificate program of no more than 15 semester credit hours, or graduate option, etc. of no more than 12 credits	yes	BOT rule: NO: if changes are 30 credits or less and credits fall within a preexisting degree program; or if a new undergraduate option or certificate program of no more than 15 semester credit hours, or graduate option, etc. of no more than 12 credits
	Contract Major	yes: to all departments related to the contract major	no	no	no	yes	no	no	yes	no
	Center	no	no	yes	no	no	no	yes	yes	yes**

Type of Proposal	Change Proposed	Academic Department <sup>***</sup>	School Program Review Committee*	UPBC	Gen Ed Committee	CUCAS***	Grad Council***	Senate#*	Provost	Off Campus approval: Check new BOR guidelines
Revised	Major (including GPA, admissions criteria). Includes changes to the major program sheet with the exception of minor changes due to changes to existing courses (see next item).	yes	yes	yes. No if course substitution with no change in credits & no new resources required	no	yes--UG	yes-Grad	NO: if changes are 30 credits or less and credits fall within a preexisting degree program; or if a new undergraduate option or certificate program of no more than 12 semester credit hours	yes	NO: if changes are 30 credits or less and credits fall within a preexisting degree program; or if a new undergraduate option or certificate program of no more than 12 semester credit hours; or graduate option, etc. of no more than 12 credits
	Program sheet revisions reflecting only changes previously authorized by any department's submissions to the Provost for changes in course titles, prerequisites or level/number (see Revised Courses below)	yes	no	no	no	no	no	no	yes	no
	Minor	yes	yes	yes. No if course substitution with no change in credits & no new resources required	no	yes	yes	no--if 18 credits or less	yes	**

Type of Proposal	Change Proposed	Academic Department***	School Program Review Committee*	UPBC	Gen Ed Committee	CUCAS***	Grad Council***	Senate#*	Provost	Off Campus approval: Check new BOR guidelines
	Option	yes	yes	yes. No if course substitution with no change in credits & no new resources required	no	yes	yes	NO: if changes are 30 credits or less and credits fall within a preexisting degree program; or if a new undergraduate option or certificate program of no more than 15 semester credit hours	yes	**
	Certificate	yes	yes	yes	no	yes	yes	NO: if changes are 30 credits or less and credits fall within a preexisting degree program; or if a new undergraduate option or certificate program of no more than 15 semester credit hours	yes	**
	Course Title	yes	no	no	no	no	no	no	yes	no
	Course Prerequisites	yes	no-only if gen ed	no	no-only if gen ed	no	no	no	yes	no
	Course Description	yes	yes--only if gen ed	no	yes--only if gen ed	no	no	no	yes	no
	Course Outline	yes	yes--only if gen ed	no	yes--only if gen ed	no	no	no	yes	no
	Course Learning Outcomes	yes	no	no	yes--only if gen ed	no	no	no	yes	no
	Course Dual label	yes	no	no	no	no	no	no	yes	no
	Course Level/number	yes	no	no	no	no	no	no	yes	no
	Course Catalog Removal (put in inventory only)	yes	no	no	no	no	no	no	yes	no
	Course Credit hours	yes	no	no	no	no	no	no	yes	no
	Course FINAL Deletion	yes	no	no	no	no	no	no	yes	no

Type of Proposal	Change Proposed	Academic Department <sup>###</sup>	School Program Review Committee*	UPBC	Gen Ed Committee	CUCAS***	Grad Council***	Senate#	Provost	Off Campus approval: Check new BOR guidelines
	Course revisions noted in the preceding 10 course revision items: If any of these changes will affect the program sheets for any majors not part of the department submitting the course revision, the department submitting the change shall indicate so in the Curriculum Development System and the System shall generate an email to all department chairs (with a link to the proposal) requesting that the chairs review the proposal for possible effects on their program sheets.									
	Course Gen Ed Designation	yes	yes	no	yes	no	no	no	yes	no
	Course Frequency	yes	no	no	no	no	no	no	notification	no
	Course change lab, lecture, studio, etc. designation	yes	yes	yes	if gen ed	yes	yes	no	yes	no
Other	Program Discontinuance#	yes	yes	yes	no	yes	yes	yes	yes	yes**
	Academic Policy & Procedures Change##	yes--for changes affecting departmental programs, majors, minors, options	yes if it affects one school	yes	if gen ed	yes	yes	yes	yes	**
Notes	All curriculum changes that receive final approvals in the Fall semester shall be effective the following Fall semester and all curriculum changes that receive final approval in the Spring semester shall be effective the following Spring semester.									
	*This also applies to the JLA Review Committee, Graduate Planning and Curriculum Committee (GPCC) and Education Review Committee (ERC). The ERC approves changes to the education									
	**To be filled in/updated To be filled in pursuant to BOR guidelines									
	***Proposals are sent either to Grad Council OR CUCAS									
	#A program is a series of courses leading to degree.									
	## Anything catalog curriculum policy related (front of catalog)--not affecting one major only.									
	~If course is ONLY Gen Ed, proposal bypasses CUCAS.									
	This flow chart will be reviewed at the end of one year's implementation by CUCAS, Grad Council, UPBC and the Senate									
	###Departmental approval is by chair, but changes must be reflected in Department minutes, and will reflect that affected departments have been contacted. The department minutes must be attached to the curriculum proposal.									
	We recommend "publishing" a pdf version of the catalog every year and making it available online. We recommend archiving old catalogs online as well in pdf format (at least going forward) so that returning students and others can refer to policies that were in place when students first entered. New program sheets should go into effect in the fall.									
	School program review committee and UPBC columns have been switched as proposals should go the the program review committee before going to UPBC. Provost and Senate columns have been switched to reflect existing procedures.									
	#*Senate would receive notification of all other CUCAS activity in annual report submitted to Senate annually.									

This revised document was approved by the University Senate on May 7, 2014.

## ACADEMIC PROGRAM REVIEW PROCESS

### PURPOSE AND RATIONALE

As mandated by the BOR, all WCSU undergraduate and graduate degree programs approved by the Connecticut Board of Regents for Higher Education and all BOR approved Centers will undergo review every seven years\*. Scheduled program reviews are an integral part of the University's strategic planning process. They support ongoing efforts to demonstrate institutional effectiveness and maintain accreditation by the Commission on Institutions of Higher Education of the [New England Association of Schools and Colleges \(NEASC-CIHE\)](#). The program review is intended to be a rigorous, collegial, and supportive process. It is a peer review process including Department faculty, external evaluators, deans, appropriate governance bodies, and the provost.

**\*For programs with specialized accreditation, the most recent self-study or mid-cycle report may be submitted as the program self-study and action plan. However, care must be taken to align that report with the criteria described hereafter. A summary of that alignment should be included in the Program Review Materials.**

### CONTENTS OF PROGRAM SELF-STUDY

1. Purposes (Mission, Goals, Objectives, Vision): The Departmental Program Review Committee (DPRC) should examine and when necessary suggest revisions of the program's mission, goals, and/or objectives to ensure congruence with the University's mission and Strategic Plan. Documents to be consulted include: The University Mission, Vision, Values, and Strategic Plan, the Program Mission and Vision, Program Mission and Strategic Plan (where applicable), Program Annual Reports, Accreditation Standards (NEASC or discipline specific).
2. Evaluation of Curriculum: The DPRC should evaluate the curriculum from internal and external perspectives.
  - a. Internal perspectives should focus on the organization of curriculum, the relevance and communication of the program learning outcomes. To do this the DPRC should review:
    - i. The organization of the curriculum to ensure that courses are clearly aligned with the program learning outcomes. Evidence for this alignment will be found in course outlines and syllabi, which should include relevant program learning outcomes.
    - ii. The sequencing of requirements and course pre-requisites to ensure that they are logical and support student success.
    - iii. A review of any requirements outside of the major (cognates) and a description of their relevance to success in the major. Examples of such relevance may include syllabi from the major that build on the knowledge from the cognate, e.g., nursing syllabi assume knowledge of anatomy and physiology, meteorology syllabi assume knowledge of calculus.
  - b. External perspectives may include comparisons with peer programs at other universities, comparisons with national or international standards or guidelines, advisory committee reports, and specialized accreditation standards where applicable.
3. Assessment of Student Learning Outcomes: The DPRC should review direct and indirect assessments of the program learning outcomes as part of the evaluation of the program's effectiveness.
  - a. For direct assessment, the DPRC should examine the full program assessment plan and results of the last five years to see that the plans are appropriate to the kinds of evaluation needed and that the results are used to improve curriculum. Materials to be consulted are: a complete assessment plan and description of the protocol, assessment results for the last five years, records of any changes to curriculum or pedagogy that resulted from the review of assessment results. All of the above should be documented on the [NEASC E Series](#) forms as a summary.
  - b. For indirect assessment, the DPRC should examine any documents that reflect external assessments of the program or student success after graduation. Materials to be consulted may include: employment rates (overall and/or in field) one or more years after graduation, rates of graduate/professional school applications and acceptances, surveys of supervisors of student

teachers and/or interns/co-op/practicum students, surveys of recent graduates and/or other alumni, assessments of co-curricular activities relevant to the program, and descriptions of any changes made based on this data.

4. **Student Enrollment, Retention, Satisfactory Progress and Graduation Rates** (See NEASC Data First forms): The DPRC should review the baseline program data for the last 5 years to determine the health of the program in its current state. Baseline Program data includes five year data on the following: FTE in the major, Retention rates, Six Year Graduation rates, Demographic information (gender, ethnicity, first generation). Additional data may include: percent of students on academic probation and on the Dean's list, evaluation of gateway courses and their impact on student progress to degree completion, impact of program specific recruiting efforts, and assessment of any department-wide advising efforts where applicable.
5. **Assessment of Resource Needs:** The DPRC should examine the program resources (human, physical and fiscal) in terms of their adequacy in supporting the program in its effort to meet its mission, goals and objectives.
  - a. For faculty and staff, the DPRC should review faculty credentials to determine if they are appropriate to discipline and determine sufficiency of current staffing to support the program. Consider the ability to staff regular course rotations, faculty-student ratio, advising loads, and adjunct ratios.
  - b. For facilities, the DPRC should describe the spaces and technologies allocated to this program, and determine if they are sufficient for current needs and if there a need to expand facilities in the next 7 years based on your enrollment and curriculum plans.
6. **Public Disclosure and Integrity:** The DPRC should review the program's compliance with Federal and NEASC standards with regard to public disclosure and integrity. This includes all communication about the program in the university catalog (print and electronic versions), websites, Facebook and other social media.
7. **Evaluation, Planning and Projections:** The DPRC should review all information in the report to develop an overall assessment of the program's quality and viability. From this information, the DPRC should develop an action plan for the next seven (7) years to address any curriculum, enrollment, or staffing challenges, or opportunities for growth. The plan should describe the aspects of the program that will be maintained, deleted, and/or modified and those changes should be discussed in relation to program quality, enrollment projections, and resource implications. In the event that program closure is recommended, a plan to accommodate existing students in the program should be developed.
8. **Required Appendices**
  - a. Baseline Program Data from the past five years (Data First Forms)
  - b. Assessment Plans, NEASC Forms E Series, Assessment Reports and Data from the past five years.
  - c. For programs with discipline specific accreditation, a map of how NEASC and the discipline standards are aligned.
  - d. Report from External Evaluators
9. **Role and Selection of External Evaluators:** The program review process includes an external evaluation to provide feedback and guidance from qualified faculty and/or professionals in the discipline. For programs with specialized accreditation, the selection process and format of such a report will conform to the accrediting body's guidelines. For those programs with NEASC accreditation only, the following guidelines should be followed.
  - a. The DPRC will suggest to the Dean up to six (6) potential candidates to serve as external evaluators. Candidates shall include individuals from NEASC institutions and/or practitioners in the field and/or members of professional associations related to the discipline.
  - b. The Dean will review the curriculum vitae of potential external evaluators with the Provost before approving the team of evaluators. A team will usually include two (2) evaluators. In case of a disagreement in the selection of candidates, the Dean and DPRC will meet to resolve the issue.

- c. The Dean will contact the recommended individuals and make arrangements concerning duties, timeline, and compensation (travel, honoraria, and additional stipend for writing the final report).

#### **PROGRAM REVIEW TIMELINE**

##### **Year 1**

- Notification of the start of a program review from the Provost by May 1.
- Selection of Departmental Program Review Committee (DPRC) at the first department meeting in September.
- Collection of self-study data by the committee, facilitated by the office of Institutional Research and Assessment completed by January 30.
- Recommendations for external evaluation to the appropriate Dean by February 1.
- The Dean, in consultation with the Provost selects two external evaluators. (For programs with discipline specific accreditation, the protocol will follow the recommendations of the accrediting body).
- Analysis of data and preparation of the Self Study Report completed by May 1. The maximum length of the report is six (6) pages, excluding appendices. The DPRC submits the document to the program's faculty, Chair, and Dean for review and reaction. If revisions are necessary, they should be incorporated into the report no later than the start of the fall term.

##### **Year 2**

- Self-study report and action plan are submitted to the external evaluators no later than September 15.
- External evaluators conduct a site visit no later than the second week in November.
- External evaluators submit a written report to the Department and Dean by December 15.
- The Dean and DPRC review the report of the external evaluators. If the DPRC wishes to respond to the external review, that response is due to the Dean by January 15.
- The Dean provides a summary report and any recommendations, and all Program Review Materials (Program Review Report, Action Plan, and External Evaluation) to the Provost by February 1.
- The Provost forwards all program review documents to the appropriate Senate Committee (CUCAS or the Graduate Council) by February 15.
- The Senate committee reviews all documents and makes a recommendations to the Provost later than April 1.
- The Provost submits all relevant documents to the President in May.
- The Provost provides the DPRC and Dean with written reactions and recommendations by July 1.
- The Provost submits a summary report to Board of Regents by September 1st.

##### **Year 3-7 Implementation of the Action Plan**

*Passed by University Senate: October 17, 1984*

*Approved by President: November 4, 1984*

*Rev. Senate Approval: R-12-05-04*

*Admin. Approval 5/10/12*

*Senate Approval: April 19, 2017*

## General Education Designation Approval Process

### **The approval process for courses seeking to be given a general education designation.**

In order for a course to be considered for a General Education designation, the submitting department must provide a copy of the *Intent to Include a Course in the General Education Curriculum* and they must make clear the components of the course that make it a general education course and not just a course from a given content area. In particular, courses should specifically address the ways in which the course addresses the established general education goals/objectives for the designation requested. If no goals/objectives exist for the given designation or if the course does not satisfy the existing goals/objectives then clear justification for the designation will be expected. (Note that per our bylaws this would apply to all course proposals seeking Gen Ed designation including FDS, SIS, and Guided Readings.)

Objectives have been developed for the following areas:

- i. Communications
- ii. Computer Science, Math and Natural Sciences
- iii. History
- iv. Humanistic Studies (In Paper Form)
- v. Literature
- vi. World Languages and Literature

These objectives were generally arrived at so that they would be in line with the General Education Statement of Principles put out by the CT Department of Higher Education and the WCSU General Education Task Force definition of an Educated Person.

### **FORM: General Education Com. Intent to Include a Course in the Gen Ed Curriculum**

*Senate Resolution R12-03-01  
President's Approval 3/21/12*



## General Education Com. Intent to Include a Course in the Gen Ed Curriculum

Please check the area proposed and attach course proposal and rationale for inclusion

- [ ] **Communication Skills:** This course fulfills a communication skills requirement.

**Humanities (Seven Areas)**

- [ ] **Fine and Applied Arts:** This course contributes to the understanding of the processes of creation in the fine and performing arts, and/or the appreciation of methods of evaluating the arts.
- [ ] **Communication:** This course contributes to the understanding of expression, relational communication, media appreciation/criticism, or communication and social interaction.
- [ ] **World Languages and Literature:** This course involves learning another language or reading literature and writing in another language.
- [ ] **Humanistic Studies:** This course contributes to the understanding of the philosophy and human activities in the arts, society, morality, or other aspects of philosophy and the human condition.
- [ ] **Literature:** This course involves substantial reading and analysis of texts.
- [ ] **Philosophy:** This course contributes to the understanding of philosophy, including its history, logic, critical reasoning, ethical issues, or religion.
- [ ] **History:** This course contributes to the familiarity with basic historical content in key periods in history across the world.

**Social And Behavioral Sciences (Three Areas)**

- [ ] **Non-Western Cultures:** Courses in this category introduce students to cultural norms and patterns of civilizations associated with Africa, Asia, Latin America, the Middle East, Native America, and elsewhere, alternative to those of the Greco-Roman and European traditions. .
- [ ] **Psychology:** This course contributes to the understanding of the methods and content of the discipline of psychology.
- [ ] **Social Sciences:** This course contributes to the understanding of anthropology, economics, geography, political science or sociology

**Natural Sciences, Mathematics And Computer Science**

- [ ] **Lab Science:** This is a course in a physical or natural science which includes a laboratory experience.
- [ ] **Mathematics:** This course contributes to the understanding of mathematics at the college level.
- [ ] **Computer science:** This course involves computer concepts, computer principles and algorithmic processes; their design and use in problem-solving; their application; and their impact on society.

**Physical Education**

- [ ] **Health & Physical Exercise:** This course includes a physical activity in recreation or sports and/or contribute to one's physical well being.

*Senate Approved R-05-12-6  
Pres. Approved 3/9/06  
Rev. Senate Approved R-08-02-01  
Administrative Approval 5/2/08  
Rev. Senate Approved R-11-10-03  
Administrative Approval 11/7/11*

## Procedure for Planning, Establishing or Revising a Non-Curricular University- Wide Academic Initiative

1. This procedure is to be used for all non-curricular, university-wide academic initiatives.
2. The applicant/department prepares and approves a proposal and uses the proper cover routing sheet from the Faculty Handbook. The proposal should include the following:
  - a. Rationale for the initiative.
  - b. How does proposed initiative meet the University strategic planning objectives?
  - c. Detailed budget including 1st year start-up costs and subsequent maintenance costs.
  - d. Equipment needs.
  - e. Staffing needs (over a 4-year period, including release time, clerical time, etc.).
  - f. Any special room, facility, transportation needs.
  - g. How much library material is already available on campus; how much more library material would be needed?
  - h. Plans for program assessment and time schedule.
3. For all proposals:
  - a. 1 copy, via email attachment, sent to the UPBC Chair.
  - b. All materials, including appropriate signed cover sheet, should be routed from the applicant/department chair to UPBC. Relevant department chair signatures indicate that all other affected departments have been notified.
4. UPBC reviews the proposal to determine whether it fits into the strategic planning of the university and to assess the possibilities for staff, equipment, facilities, etc. If approved, the proposal is sent to the President (or designee) with simultaneous copy to the applicant/department chair(s). If disapproved, the proposal, with reasons, comments, or recommendations, is returned to the applicant/department chair(s). UPBC may consult with applicant and/or department(s) for clarification throughout the process.
5. After administrative review, the President (or designee) will simultaneously inform the applicant/department Chair(s), the UPBC Chair, and the appropriate Dean of administrative approval and anticipated starting date or of administrative disapproval with reasons, comments, or recommendations.
6. All records will be maintained in the Office of the Provost.

Form: Procedure for Planning, Establishing or Revising a Non-Curricular University- Wide Academic Initiative

*Senate Approved: R-05-12-9  
President Approved: March 9, 2006*

Procedure for Planning, Establishing or Revising a Non-Curricular University- Wide Academic Initiative

**PROPOSAL** to Plan, Establish,  
Revise\*\* \_\_\_\_\_

**NAME/Contact Info of**  
Applicant: \_\_\_\_\_

University Phone Number: \_\_\_\_\_ email: \_\_\_\_\_

1. Affected Department Signatures (Chair's signature required, if departmental  
resources, including  
release time, are involved in request)

\_\_\_\_\_ Date \_\_\_\_\_  
 \_\_\_\_\_ Date \_\_\_\_\_  
 \_\_\_\_\_ Date \_\_\_\_\_

2. University Planning and Budgeting Committee (Chair's signature)  
Approval \_\_\_\_\_ Date \_\_\_\_\_  
 Disapproval (reasons, comments or  
recommendations\*\*) \_\_\_\_\_  
 \_\_\_\_\_ Date \_\_\_\_\_

3. Administrative Review (President's or designee's signature)  
Approval \_\_\_\_\_ Date \_\_\_\_\_  
 Disapproval (reasons, comments or  
recommendations\*\*) \_\_\_\_\_  
 \_\_\_\_\_

4. Date returned to Chair of UPBC, applicant/department chair, & appropriate Dean:  
\_\_\_\_\_

*All records will be maintained in the Office of the Provost.*

\* For example, initiatives that do not originate in a "home  
department," but rather from across the university and serving a  
broader group.

\*\* Attach all relevant information, including budget requests

\*\*\* Use additional sheets if necessary

*Senate Approved: 12/22/05, R-05-12-9  
President Approved: 3/9/06*

## Program Discontinuance Procedures

A. A department, the Committee on Undergraduate Curriculum and Academic Standards, the Graduate Council, the University Senate, or the University President may initiate a recommendation for program discontinuance.

B. For functional purposes at this institution and for the term of the current CSU-AAUP contract, the term "program" shall refer to those programs for which program sheets exist\* and any program sheets subsequently approved; discontinuance of minors in departments which do not have majors (e.g., Philosophy and Humanistic Studies) shall also follow the procedure outlined below.

C. Any recommendation for program discontinuance shall be first reviewed by the Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council to determine specific courses which would be affected and the effect of those discontinued courses on the other University programs. For the purposes of evaluating discontinuance, elimination of individual courses shall not be viewed as discontinuance. Only the request to eliminate groups of related courses, which would de facto force the discontinuance of any group, shall be viewed as discontinuance.

D. The Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council shall:

1. List all courses in the program which might be discontinued.
2. Note those courses which are part of the common core.
3. Note those courses which are required in other programs and list the departments and programs so affected.
4. State the current status of the accreditation or licensure of the program.
5. Develop a timetable (within the framework noted in 6. and 8. below) both for other committees and groups to report back to Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council and for the relevant committee to complete its own report and recommendations to the University Senate.
6. Send copies of the initial statement of the impact of program discontinuance on all courses and departments affected along with the timetable for completing all reports and recommendations to the following:
  - a. University Planning & Budgeting Committee.
  - b. Schools concerned.
  - c. Department(s) concerned.
  - d. SGA.
7. Send a cover letter and copies of the initial statement of the impact of program discontinuance on all courses and departments affected, along with the timetable for completing all reports and recommendations to the University President and the University Senate President.

E. Within a period of time specified by the Committee on Undergraduate Curriculum and Academic Standards or the Graduate Council, the above mentioned groups shall examine the proposal for program discontinuance and determine if it is based on bona fide educational considerations. The reports submitted to CUCAS or the Graduate Council by the various groups shall include the following:

1. University Planning & Budgeting Committee
  - Institutional funding and support with reference to: faculty positions, student recruitment procedures, equipment budget, library budget, funding for program advertising.
  - Alternative arrangements for some program continuance and faculty support (i.e., liaison with one of the other units of the Connecticut State University, etc.).
  - Effect on accreditation, certification or licensure.
2. Schools
  - The effect on any students currently enrolled.
  - The effect on any other programs if courses are discontinued.
  - Recommendations for ways in which the program could continue.
3. Department(s)
  - The effect on faculty status.
  - The effect on any students currently enrolled.
  - Recommendations for ways in which the program could continue.
4. Graduate Council
  - The effect on any students currently enrolled.
  - The effect on accreditation, certification or licensure.
  - Recommendations for ways in which the program could continue.
5. SGA
  - Impact on students.

F. In the event that discontinuance involves a graduate program, information from E 1, 2, and 3 above should be sent to the Graduate Council which will then report and make its recommendation to the Senate.

G. The CUCAS or Graduate Council's report to the University Senate shall include:

1. Source of the recommendation for program discontinuance.
2. The material listed in 4. and 5. above.
3. Analysis of reports received.
4. Recommendation for or against program discontinuance, if necessary.
  - a. Recommendation for program discontinuance timing.

- b. Basis and validity for discontinuance.
- c. Possible alternative arrangements for program continuance.

H. The University Senate shall review the CUCAS or Graduate Council's recommendations to determine if these have been based on bona fide educational considerations. Within 60 calendar days of the initiation of a request for program discontinuance, the University Senate shall have completed its review and shall pass on its recommendations and the Committee report to the University President for appropriate action.

I. The President shall be requested to inform the Senate of his/her decision.

*\*See appended list, Inventory of Programs and Program Sheets.*

*Adopted: Nov. 25, 1980*  
*Amended: Mar. 31, 1981*

## Program Sheet Revision Procedures

Approved program changes that occur throughout the year via the Curriculum Approval Process are to be reflected in both the University Catalogs and the program sheets. Approved program changes are recorded in the Curriculum Approval Process on-line system and are available for reference by all departments and deans. The Provost/Vice President for Academic Affairs will initiate all University-wide changes, i.e., changes in literal prefix, common core revision, etc.

Program sheets are updated annually before Summer New Student Orientation program, and are dated to coincide with corresponding catalog years. Should there be significant changes to a program, that are implemented in a Spring semester, there may be a revised program sheet released before the June time period. Updates to the program sheet are managed by the Registrar's Office.

Program sheets must be consistent with the University Catalogs. Current and four years of archived program sheets are posted on the university's website.

*Provost/Vice President for Academic Affairs*  
*May 12, 1986*  
*Updated 2012*

## Inventory of BOR Approved Programs

<b>PROGRAM NAME</b>	<b>ASSOCIATE</b>	<b>BACHELOR</b>	<b>MASTERS</b>	<b>DOCTORATE</b>
<b>Area Studies</b>				
American Studies		BA/BS		
<b>Business and Management</b>				
Accounting		BBA		
Business Administration			MBA	
Finance		BBA		
Health Administration			MHA	
Management		BBA		
Management Information Systems		BBA		
Marketing		BBA		
<b>Communication</b>				
Communication		BA/BS		
Media Arts		BA		
<b>Computer &amp; Information Sciences</b>				
Computer Science		BA		
<b>Education</b>				
Education			MS	
Counselor Education			MS	
Elementary Education		BS		
Secondary Education		BS	MAT	
Health Education		BS		
Music Education		BS	MS	
Instructional Leadership				Ed.D.
Nursing Education				Ed.D.
<b>World Languages and Literature</b>				
Spanish		BA/BS		
<b>Health Sciences</b>				
Health Promotion Studies		BS		
Medical Technology		BS*		
Nursing		BS	MS	
<b>History</b>				
History		BA/BS	MA	
<b>Letters</b>				
English, American and Comparative Literature		BA/BS	MA	
Creative & Professional Writing			MFA	
Professional Writing		BA/BS		
<b>Liberal Arts/General Studies</b>				
Liberal Arts	AS			
<b>Life Sciences</b>				
Biology		BA/BS		
Biological &				

Environmental Sciences		MA*
<b>Mathematics</b>		
Mathematics, General	BA/BS	MA
<b>Physical Sciences</b>		
Chemistry	BA/BS	
Earth and Planetary Sciences	BA/BS	MA
Meteorology	BS	
<b>Psychology</b>		
Psychology	BA/BS	
<b>Protective Services</b>		
Justice and Law Administration	BS	
Justice Administration		MS
<b>Public Affairs</b>		
Social Work	BA	
<b>Social Sciences</b>		
Social Sciences	BA/BS	
Economics	BA	
Political Science	BA/BS	
Anthropology/Sociology	BA/BS	
<b>Visual &amp; Performing Arts</b>		
Art	BA	
Visual Arts		MFA
Theatre Arts (Dramatic Arts)	BA	
Music (Liberal Arts)	BA	
Music (Performing, Composition, Theory, Classical, Jazz Studies, Audio and Music Production)	BMusic	
Musical Theatre	BA	
<b>Other</b>		
Contract Major including Honors Interdisciplinary	BA/BS	

\* Phasing out

August, 2009

#### **INVENTORY OF PROGRAM SHEETS – UNDERGRADUATE DEGREE PROGRAM**

##### **School Of Arts & Sciences**

AS	Liberal Arts	
BA	American Studies	
BA	Anthropology/Sociology (w/Applied Studies Option)	
BA	Biology	Bioscience Option Ecological Science Option Professional Option



BA	Chemistry	Biotechnology Option Biochemistry Option—ACS Approval
BA	Communication	Communication Studies Option Communication and Human Relations Option
BA	Computer Science	
BA/BS	Contract Major	
BA	Earth & Planetary Sciences	Astronomy Option
BA	Economics (w/Applied Studies Option)	
BA	English, American and Comparative Literatures	
BA	History	
BA	Mathematics	Mathematics/Computer Science Option
BA	Media Arts	Media Studies Option Media Production Option
BS	Medical Technology	
BS	Meteorology	
BA	Political Science	
BA	Professional Writing	General Option Journalism/Freelance Option Business Option Marketing/ Public Relations Option Creative Option
BA	Psychology	
BA	Social Sciences	Anthropology/ Sociology Studies Option Family Studies Option Global Studies Option Multicultural Studies Option
BA	Spanish	

#### **Ancell School Of Business**

BBA	Accounting	Financial Accounting Option Managerial Accounting Option
BBA	Finance	Financial Investments and Markets Option Financial Management Option
BBA	Management	Human Resources Management Option Small Business & Entrepreneurial Mgt Option Supervisory Management Option
BBA	Management Information Systems	Information Security Management Option
BBA	Marketing	Interactive Marketing Option
BS	Justice & Law Administration	Corrections, Probation, Parole and Offender Rehabilitation Option Law Enforcement Option Legal Studies Option Paralegal Studies Program Criminology Option

### School of Professional Studies

BS	Elementary Education	American Studies Anthropology/Sociology Biology Communication English English (Writing Option) History Mathematics Political Science Psychology Social Sciences Spanish
BS	Secondary Education	Biology Chemistry Earth Science English English (Writing Option) History Mathematics Social Sciences Spanish
BS	Health Promotion Studies	Option in Wellness Management Option in Community Health
BS	Health Education	
BS	Nursing	
BS	Nursing - Registered Nursing Program	
BS	Library Sciences (consortium with SCSU)	
BA	Social Work	

### School of Visual and Performing Arts

BA	Art	Graphic Design Option Illustration Option Photography Option Studio Art Option
BA	Music	
BM	Music	Classical Option (Vocal or Instrumental) Jazz Studies
BS	Music Education	
BA	Theatre Arts	Performance Option Design/Technology Option Theatre Arts Management Option Drama Studies Option
BA	Musical Theatre	

### INVENTORY OF PROGRAM SHEETS – GRADUATE DEGREE PROGRAM

Ed.D	Instructional Leadership
E.D.	Nursing Education (offered online w/SCSU)

MA	Biological & Environmental Sciences	
MA	Earth and Planetary Sciences	Astronomy/Astrophysics Option Meteorology / Climatology Option Earth & Planetary Sciences Option
MA	English	Literature Option Writing Option TESOL Option
MA	History	
MA	Mathematics	
MAT	Secondary Ed	Biology Mathematics Spanish
MBA	Business Administration	
MFA	Visual Arts	
MFA	Creative and Professional Writing	
MHA	Health Administration	
MS	Justice Administration	
MS	Elementary and Secondary Teacher Education	Option in Curriculum Leadership-Concentration: Curriculum for the Classroom Teacher Option in Curriculum Leadership-Concentration: Curriculum in the Content Area Option in Curriculum Leadership-Concentration: Curriculum Teacher Leader Option in Instructional Technology Option in Reading (non-certification) Option in Special Education (non-certification)
MS	Music Education	
MS	Counselor Education	Option in Clinical Mental Health Counseling Option in School Counseling
MS	Nursing	

*This inventory was revised by the Office of the Provost/Vice President for Academic Affairs – June, 2012.*

## Academic Policies and Procedures

**I. Course Responsibilities****A. Department Responsibilities**

1. Approval of course outlines bearing their label and assurance that content identified is included in courses taught.
2. Adoption where department deems appropriate of basic texts for multi-section courses.
3. Determination of appropriate standards for grading of multi-section courses.
4. Determination of standards for approval of student enrollment in Student Developed Study and Independent Study programs.
5. Determination where department deems appropriate of departmental attendance policy (see federal Guidelines for Grading and Privacy of Grades).

**B. Instructor's Responsibilities**

The core of the academic program is the student-teacher relationship in the individual classroom. The teacher is free to develop his/her assigned courses as he/she deems best, recognizing that he/she must include the content identified in the official course outline. The individual faculty member:

1. Meets all assigned classes regularly and in the event of absence arranges coverage through the department chair.
2. Follows the content of the official department outline.
3. Selects the methodology and sequence most appropriate to the content.
4. Selects the textbook for those courses not bound by a department decision.
5. Has regular office hours (at least 5 hours weekly) to meet with students.
6. Secures permission through the department chairperson for field trips in conjunction with courses. (Forms for this purpose are available in department offices or from the Deans' offices).
7. Establishes individual attendance requirements for courses when department has not established a binding policy for all members. Regardless of attendance requirements, accurate attendance records must be kept.
8. Prepares and distributes to students at outset of course a written statement of standards and requirements (including due dates where appropriate).
9. Gathers evaluative data systematically throughout the course on which to base midterm and final grades. These data must be recorded and kept for a reasonable length of time in the event of any challenge of grade assigned. (see C 4a. below).
10. Files midterm and final grades according to the directions specified by the Registrar's Office.

**II. Examination And Grading Procedures And Policies****A. FINAL EXAMINATIONS**

1. All final examinations may be given only during the final examination week. (Reaffirmed by the Senate, December 15, 1982, and April 26, 1989.)
  - a. The schedule for undergraduate day course examinations is set by the Registrar.
  - b. Final examinations should not be the total basis for a student's grade.
2. Responsibility of Faculty Member
  - a. Requests that final examinations be scheduled.
  - b. Prepares final examinations.
  - c. Proctors own examinations and, when assigned, other faculty members' examinations.
  - d. Briefs proctor assigned to assist him/her
  - e. Arranges for students with conflicts in exam times.
  - f. Completes and records grades with Registrar within 3 calendar days from the date of the last scheduled final examinations (see CSU-AAUP contract).
3. Graduate and Evening course examinations are given in the last scheduled meeting of the course. All other regulations noted above apply.

**B. GRADING SYSTEM – UNDERGRADUATE****1. Regular Grades**

A	Excellent: Q.P. (Quality Point) value 4
A-	Q.P. value 3.67
B+	Q.P. value 3.33
B	Above Average: Q.P. value 3.00
B-	Q.P. value 2.67
C+	Q.P. value 2.33
C	Q.P. Acceptable for college standards: Q.P. value 2.00
C-	Q.P. value 1.67
D+	Q.P. value 1.33
D	Barely acceptable for degree credit: Q.P. value 1.00
D-	Q.P. value 0.67
F	Failure: Q.P. value 0.00
I	Incomplete – a purely quantitative measure with no

quality point involvement for student. Should be applied only when a passing grade is possible for student when missing data are completed.

X Audit

## 2. Selective Grades

*Pass/Fail.* A grade option carrying no quality points. Some courses are approved to use this grade for all students enrolled. In other courses, a student may secure permission to carry a course under this option. Faculty members are notified of any students exercising this option and grade them accordingly.

P Passing grade in a pass/fail option course  
 FP Failing grade in a pass/fail course  
 RM This grade is a qualitative grade available for use only in  
 or RP the following courses:

CHE 100	MAT 098	CTA 160/161/162
WRT 098	MAT 114	WORLD LANG. 161/162
WRT 101	PHY 110/111	SPA 161/162

This grade is used in courses "where the student must demonstrate a level of skill or competence in addition to the formal requirements of the course."

### Assigning RM (Remediate) or RP (Repeat) grade

a. Rationale for a student who has been doing all the assigned course work but whose academic deficiencies would need more than the usual time to achieve competence, the RM or RP grade makes it possible for the student to continue improving competence without being penalized for prior weakness.

b. The instructor arranges with the student for:

- (1) The type and extent of additional work required to meet the acceptable level of competence.
- (2) The time limits within which the work is to be completed.

c. Remediate or Repeat

(1) RM: Remediate. Requirement may include self-directed practice, review, or supplementary assignments administered by the same instructor or another instructor.

(2) RP: Repeat. Requirement is repeating the course with the same or different instructor. This is no limit to the number of times a student may repeat the same course when assigned RP.

(3) When level of competence has been achieved:

(a) RM: Remediate. Instructor submits a "Change of Grade Request Form" to change the RM to a C or better.

(b) RP: Repeat. Original RP remains on record (same as W and grade is submitted by instructor of the repeated course for credit.)

### 3. Administrative Grades

W – Withdrawal without penalty. The student may withdraw without penalty through the deadline set by the Registrar. After that deadline, the instructor may give the student written permission to withdraw without penalty.

WF – withdrawal with penalty. This grade is normally given to the student who withdraws after the withdrawal deadline or fails to withdraw officially.

## C. IMPLEMENTATION OF GRADING SYSTEM

### 1. Standard

The department and/or instructor is responsible for determining and explaining at the beginning of the semester the standard to be met to receive a given letter grade. He/she is also responsible for being sure that students understand these standards and course expectations.

### 2. Incomplete Grades

In order to receive a grade of incomplete, the student must complete and present to the instructor the three-part form provided for that purpose. This form is available from academic departments, the Registrar's Office, and can be downloaded from Western's website under Faculty and Staff. Administrative Departments. One part of the form is to be kept by the student, one by the department, and the third copy should be sent to the Registrar's Office. Incomplete grades must be made up within 6 weeks of the start of the next semester in which the student is in attendance, or within one year if the student does not return. An incomplete grade, if not replaced by a grade by the instructor, automatically becomes an F, or the lower grade indicated on the form, after the time allowed expires.

### 3. Reporting Grades

a. Finals – All students receive grades on the official grade form provided online. These are completed according to the directions provided by the Registrar. A student who has never attended should be given a "W" as a final grade. A student who has stopped attending should be given either a "W" or "WF" and the last date of attendance should be entered.

b. Midterms – All first-year students and all others receiving D's, I's, or F's in any course must receive midterm grades. Because of the large number of transfer students, faculty are encouraged to record midterm grades for all enrolled in their classes. Students may check their grades in Banner. They should regard any grade of D or F at midterm as an academic warning, affecting their GPA for possible probation.

#### 4. Change of Grade

a. Faculty are advised to retain at least two (and preferably three or four) items of evidence (e.g., tests, term papers) of each student's course work, in the event the student requests a change of grade. It is also advisable to notify students in writing--and well in advance--if the grading system in any course will deviate from the general norm for grading.

b. If a faculty member wishes to request a change of grade after the grade has been recorded, such request is sent to the appropriate Academic Dean with an explanation as to why a change of grade is requested. (An official form is available from each Dean's office for this purpose.) Changes of grade from incomplete may be sent directly to the Registrar's Office for processing.

*Senate approval: Oct. 16, 1991 (R91-10-4)*

*Admin. Approval: Revised Feb. 20, 1992*

c. The Dean may:

(1) Approve the change and forward it to the Registrar for implementation.

(2) Disapprove the change and return it to the concerned faculty member.

(3) Refer the request to the appropriate School's standing committee for recommended action on the request.

d. If the Dean disapproved, the faculty member may refer the matter to the appropriate standing committee.

e. The School Dean will establish or designate an existing committee to serve in the case of need to act on grade change requests. Such committee will report its decision to the Dean and faculty member concerned.

f. In the event the faculty member involved is unavailable (when grade change is requested and found to be proper, the appropriate Academic Dean and Department Chairperson may jointly resolve a needed change of grade.) Both signatures are required before the Registrar may honor the change of grade request, including a change from incomplete to a letter grade.

#### D. ELIGIBILITY FOR DEAN'S LIST

An appropriate academic standard for eligibility for Dean's List should be a minimum of 12 graded (standard option) credits satisfactorily completed with an average of 3.5. The only exception is for those students whose minimum of 12 credits includes course work required in his/her program of student that must be taken on a pass/fail basis, excluding course credits that do not count toward graduation and whose semester average and cumulative are both at least 3.5.

*Senate Approval: May 26, 1989*

*Admin. Approval: June 18, 1989*

#### E. ELIGIBILITY FOR DEAN'S LIST FOR PART-TIME UNDERGRADUATE STUDENTS

The academic standard for the Dean's List for part-time undergraduate students is a minimum of 12 semester hour credits satisfactorily completed within one academic year (fall and spring semesters) with a grade point average of at least 3.5. The only exception is for students whose minimum of 12 credits includes course work (a) that is required in a program of study, taken on a pass/fail basis, and (b) that does not count toward graduation. For such students, both the academic year average and the cumulative GPA must both be at least 3.5.

*Senate Approved R-07-09-03*

*Administrative Approval 10/26/07*

#### F. POLICY ON COURSE OVERRIDES

Any student may fill out a course override request form which will be available from the Registrar's Office during the registration period. All requests will be brought to the appropriate department chairperson. The chair will review the requests and, within 8 days, will forward those that they recommend for approval back to the Registrar's Office. Only the approved requests will be processed and only these students will be notified.

Students should be made aware that if they do not receive notification of approval of these override requests within approximately two weeks after filing, that their requests could not be accommodated. (Approved by Academic Council: March 1989, effective as of the May 1989 registration period.)

#### G. POLICY ON RETENTION OF COURSE MATERIALS

Examination materials are any materials used by an instructor to evaluate a student's knowledge and mastery of course topics for the purpose of assigning grades. Examination materials may include term papers, homework, computer assignments, quizzes, tests, lab write-ups, and any other tangible items deemed appropriate by the instructor for use in assigning grades. Intangible grading items such as recitals, juries, and physical skills tests are beyond the scope of this policy. All examination materials are confidential and are protected by applicable State and Federal law.

All examination materials are the personal property of the instructor. As used throughout this policy statement, the term "personal property" is

meant in a physical sense only. It is like buying a magazine at a newsstand. The buyer owns the physical ink, paper, and other tangible materials out of which the magazine is made, but not the original expressions of others presented within (see 17 U.S. C. Par. 302, 303). Faculty are advised to retain at least two items of evidence (e.g., tests, term papers) of each student's course work, in the event the student requests a change of grade. The instructor should retain them until the end of the semester in which the grade appeals deadline expires (see Faculty Handbook section on Palpable Injustice). In keeping with the primary purpose of retaining these items, reasonable student access to them shall not be denied. In the unusual case of perishable materials, the instructor should properly dispose of the materials and need not retain them.

A grade book is the record kept by an instructor detailing the examination scores or other performance measures used to assign student grades. The grade book may be in any form the instructor wishes to use (e.g., steno pad, notebook, computer spreadsheet). Grade books are confidential and are protected by applicable State and Federal law.

Grade books are the personal property of the instructor. They will be retained by the instructor until the end of the semester in which the grade appeals deadline expires. This responsibility may not be avoided by giving the grade book to the student.

The Provost/Vice President for Academic Affairs shall retain copies of course outlines.

*Senate Approval: Mar. 17, 1993 (R-92-11-1)*

*Admin. Approval: Mar. 24, 1993*

#### H. FEDERAL GUIDELINES FOR GRADING AND PRIVACY OF GRADES

1. Faculty must comply with the Family Educational Rights and Privacy Act of 1974 to ensure that information on grades, class standing or the like of any student may in no way be shared by the faculty member with any other student. This means that the following practices will not be utilized.

- a. Posting course, exam, or term paper grades even if names are omitted and codes are used.
- b. Giving the paper or test of one student to another for delivery unless there is a signed request to do so.

c. Putting papers, tests, etc., in a common place for student pick up.

2. Recent confidentiality laws prohibit anyone from divulging the grades of any student to the student's parents or any other individual.

3. Attendance requirements as related to grades awarded--Supreme Court rulings indicate that grades may be lowered for nonattendance only when a direct relationship between academic progress and attendance can be demonstrated. The arbitrary lowering of an earned grade for given numbers of class absences did not meet the Court's legal tests.

#### I. PALPABLE INJUSTICE IN GRADING (STUDENT APPEAL PROCEDURE)

Academic grading reflects careful and deliberate judgment of the course instructor. Academic evaluation of student performance requires expert consideration of cumulative information and is to some extent subjective.

The University recognizes that in rare instances there may be "palpable injustice(s)" in the determination of a final grade. Students may use the appeals process when they believe there is evidence to show that a) a final grade was determined by methods and criteria different from those used for determining final grades for others in the same class or 2) the evaluation was made as the result of bias or caprice. The student shall first confer with the instructor who awarded the grade no later than the end of the fourth week of the next regular semester. In the case of half semester courses, students shall have the right to begin the appeal process at the conclusion of the course.

If no amicable settlement is reached, the student shall present the instructor with a WRITTEN copy of his/her grievance along with any supporting documentation which shall be considered confidential. The instructor shall respond in writing to the student within five (5) working days. (It is suggested that students prepare a packet of information for the instructor, the chairperson and the Dean).

Students, if they wish, shall have the right to choose a mentor/advisor for the purpose of guiding them through the appeal process. Students shall have the right to present their case at each stage of the appeal process. At the student's request, the mentor/advisor may accompany the student to meetings related to the appeals process as an observer.

If the student is not satisfied, the student, within five (5) working days of receipt of the instructor's response, may present the case in writing to the appropriate department chairperson who may effect a mutually agreed upon settlement with the instructor. The department chairperson shall respond in writing to the student within five (5) working days with a copy sent to the instructor.

If the student is not satisfied, the student may, within five (5) working days of receipt of the department chairperson's response, present the case in writing to the appropriate Academic Dean who may effect a mutually agreed upon settlement with the instructor and department chairperson. The Academic Dean shall respond in writing to the student within ten (10) working days with copies of the decision sent to the instructor and the department chairperson.

If the student is not satisfied, the student may ask, within five (5) working days of receiving the Dean's decision, that the dean contact the President of the University Senate to convene the ad hoc Committee on Grade Appeals. The Dean shall forward the request to the Senate President within five (5) working days of receipt. The Dean shall also notify the Provost/Academic Vice President, in writing, that the Senate is being asked to convene an ad hoc Committee.

The ad hoc Committee on Grade Appeals shall be composed of three members of the instructional faculty in the ranks of tenured professors or tenured associate professors presently serving on the senate, selected in alphabetical order each time the committee is appointed.

The Senate President shall appoint the ad hoc Committee within five (5) working days and shall notify the student and the instructor of that fact. The Senate President shall not discuss the details of the case with the ad hoc Committee. The ad hoc Committee will convene within five (5) working days. It is the responsibility of the student to present three copies of all material, including any additional material submitted later in the process and relevant to the case to the chair of the ad hoc Committee.

The instructor shall submit such materials as requested by the Committee and shall have the right to present their case at any stage of the appeal process. The Committee shall consider the case and reach a decision within fifteen (15) working days of its convening by the Senate President. Following its deliberations, the Committee may deny the appeal in which case the matter shall be closed. If the Committee finds that the grading constituted a palpable injustice, as defined above, the case shall be remanded to the instructor for reconsideration. If the instructor disagrees with the finding of the Committee, the instructor shall inform the Committee and the student within five (5) working days of that fact.

The instructor shall submit such materials as requested by the Committee and shall have the right to present their case at any stage of the appeal process. The Committee shall consider the case and reach a decision within fifteen (15) working days of its convening by the Senate President. Following its deliberations, the Committee may deny the appeal in which case the matter shall be closed. If the Committee finds that the grading constituted a palpable injustice, as defined above, the case shall be remanded to the instructor for reconsideration. If the instructor disagrees with the finding of the Committee, the instructor shall inform the Committee and the student within five (5) working days of that fact.

If either the student or the instructor has disagreed, the Committee shall then forward its recommendation for a grade to the Provost/Vice President for Academic Affairs who will implement the recommendation of the Committee within five (5) working days. The action of the Provost/Vice President for Academic Affairs shall be final and binding upon all parties and shall be communicated by the Provost/Vice President for Academic Affairs to the student and the instructor.

*Revised Senate Approval: R97-5-1, 5/21/97*

*Revised Senate Approval: April 18, 2001*

*Administrative Approval: May 1, 2001*

#### J. GRADING SYSTEM – GRADUATE

##### 1. Grades available for use are:

A	Q.P. value 4.0
A-	Q.P. value 3.67
B+	Q.P. value 3.33
B	Q.P. value 3.00
B-	Q.P. value 2.67
C+	Q.P. value 2.33
C	Q.P. value 2.0
C-	Q.P. value 1.67
D+	No credit awarded – Q.P. value 1.33
D	No credit awarded – Q.P. value 1.00
F	No credit awarded – Q.P. value 0.00
I	Incomplete
W	Withdrawn
X	Audit

##### 2. Generally, all procedures outlined above for undergraduate grading apply to graduate grades except that:

a. All referrals are to the Graduate Director.

b. Incomplete grades must be made up within a semester of the time the incomplete mark was recorded. If not completed within that time, the grade becomes an "F" unless the instructor concerned has recommended an extension of time for justifiable cause. An extension of time for justifiable cause may not exceed one additional semester (Fall, Spring, Summer semesters). The only exception to this policy will be for those students making satisfactory progress while involved in a thesis or research project. Such students are limited only by the time allowed to complete the degree.

c. No mid-semester grades are issued.

d. For the purpose of improvement of instruction, an evaluative instrument is used in each graduate course to obtain student reaction to instructors, course content, course procedures, and to general policies and procedures.

*See also the Graduate Catalog.*



## Process for Selecting Faculty to Participate in Graduate Programs

**PROPOSAL**

All faculty members who participate in graduate programs must meet the following university and departmental criteria:

**University Criteria**

## 1. Qualifications

- Earned terminal degree appropriate to the faculty member's discipline and to the graduate courses to be taught, or
- Achieved, significant, and highly recognized accomplishment in the field relevant to the graduate courses to be taught.

## 2. Faculty Status

Both full-time and part-time faculty may participate in graduate programs, provided they meet the relevant university and departmental criteria.

## 3. Demonstrated Competence

Scholarly, research, creative, or professional activities appropriately published and/or reviewed, on a regular basis in the relevant field of study.

**Departmental Criteria**

1. Each department offering graduate courses will create, maintain, and enforce its own specific criteria for selecting faculty who participate in graduate programs.

2. The Departmental Criteria must be consistent with the CSU/AAUP Collective Bargaining Agreement, the university's strategic plan, the general university guidelines above, the missions of the department and the university, and the guidelines of appropriate accrediting agencies (e.g., NEASC, DIIE, AACSB, CACREP, NCATE, NASAD, NASM).

3. Departmental criteria shall be presented to the school dean, the graduate dean, and the provost, and shall be used in selecting faculty who participate in graduate programs.

*Senate Approved R-09-12-02  
Admin. Approval 2/23/10*

## PALPABLE INJUSTICE IN GRADING (STUDENT APPEAL PROCEDURE)

Academic grading reflects careful and deliberate judgment of the course instructor. Academic evaluation of student performance requires expert consideration of cumulative information and is to some extent subjective.

The University recognizes that in rare instances there may be "palpable injustice(s)" in the determination of a final grade. Students may use the appeals process when they believe there is evidence to show that a) a final grade was determined by methods and criteria different from those used for determining final grades for others in the same class or 2) the evaluation was made as the result of bias or caprice. The student shall first confer with the instructor who awarded the grade no later than the end of the fourth week of the next regular semester. In the case of half semester courses, students shall have the right to begin the appeal process at the conclusion of the course.

If no amicable settlement is reached, the student shall present the instructor with a WRITTEN copy of his/her grievance along with any supporting documentation which shall be considered confidential. The instructor shall respond in writing to the student within five (5) working days. (It is suggested that students prepare a packet of information for the instructor, the chairperson and the Dean).

Students, if they wish, shall have the right to choose a mentor/advisor for the purpose of guiding them through the appeal process. Students shall have the right to present their case at each stage of the appeal process. At the student's request, the mentor/advisor may accompany the student to meetings related to the appeals process as an observer.

If the student is not satisfied, the student, within five (5) working days of receipt of the instructor's response, may present the case in writing to the appropriate department chairperson who may effect a mutually agreed upon settlement with the instructor. The department chairperson shall respond in writing to the student within five (5) working days with a copy sent to the instructor.

If the student is not satisfied, the student may, within five (5) working days of receipt of the department chairperson's response, present the case in writing to the appropriate Academic Dean who may effect a mutually agreed upon settlement with the instructor and department chairperson. The Academic Dean shall respond in writing to the student within ten (10) working days with copies of the decision sent to the instructor and the department chairperson.

If the student is not satisfied, the student may ask, within five (5) working days of receiving the Dean's decision, that the dean contact the President of the University Senate to convene the ad hoc Committee on Grade Appeals. The Dean shall forward the request to the Senate President within five (5) working days of receipt. The Dean shall also notify the Provost/Academic Vice President, in writing, that the Senate is being asked to convene an ad hoc Committee.

The ad hoc Committee on Grade Appeals shall be composed of three members of the instructional faculty in the ranks of tenured professors or tenured associate professors presently serving on the senate, selected in alphabetical order each time the committee is appointed.

The Senate President shall appoint the ad hoc Committee within five (5) working days and shall notify the student and the instructor of that fact. The Senate President shall not discuss the details of the case with the ad hoc Committee. The ad hoc Committee will convene within five (5) working days. It is the responsibility of the student to present three copies of all material, including any additional material submitted later in the process and relevant to the case to the chair of the ad hoc Committee.

The instructor shall submit such materials as requested by the Committee and shall have the right to present their case at any stage of the appeal process. The Committee shall consider the case and reach a decision within fifteen (15) working days of its convening by the Senate President. Following its deliberations, the Committee may deny the appeal in which case the matter shall be closed. If the Committee finds that the grading constituted a palpable injustice, as defined above, the case shall be remanded to the instructor for reconsideration. If the instructor disagrees with the finding of the Committee, the instructor shall inform the Committee and the student within five (5) working days of that fact.

The instructor shall submit such materials as requested by the Committee and shall have the right to present their case at any stage of the appeal process. The Committee shall consider the case and reach a decision within fifteen (15) working days of its convening by the Senate President. Following its deliberations, the Committee may deny the appeal in which case the matter shall be closed. If the Committee finds that the grading constituted a palpable injustice, as defined above, the case shall be remanded to the instructor for reconsideration. If the instructor disagrees with the finding of the Committee, the instructor shall inform the Committee and the student within five (5) working days of that fact.

If either the student or the instructor has disagreed, the Committee shall then forward its recommendation for a grade to the Provost/Vice President for Academic Affairs who will implement the recommendation of the Committee within five (5) working days. The action of the Provost/Vice President for Academic Affairs shall be final and binding upon all parties and shall be communicated by the Provost/Vice President for Academic Affairs to the student and the instructor.

*Revised Senate Approval: R97-5-1, 5/21/97*

*Revised Senate Approval: April 18, 2001*

*Administrative Approval: May 1, 2001*

## Academic Honesty Policy

1. **Purpose**

This is Western Connecticut State University's (WCSU) policy on Academic Honesty.

2. **Policy**2.1 **Principles**2.1.1 **Academic Honesty Code**

As stated in the university catalogs, "A student has an obligation to demonstrate honesty in carrying out his/her academic assignments" (page 38, 2005-2006 Undergraduate Catalog; p. 31, 2006-07 Graduate Catalog)

2.1.2 **Faculty Responsibility**

Faculty members are responsible for knowing the principles and procedures of the Academic Honesty Policy, and for enforcing the policy when academic honesty violations occur. Faculty members must also remind students of the Academic Honesty Policy and help them comply with it.

2.1.3 **Student Responsibility**

Students are responsible for maintaining the academic integrity of the University by following the Academic Honesty Policy. Students are responsible for doing their own work and avoiding all forms of academic dishonesty.

2.2 **Academic Honesty Violation**

The most common academic honesty violations are cheating and plagiarism. *Cheating and plagiarism are complex issues, therefore we offer the following definitions.*

Cheating includes, but is not limited to:

- Submitting material that is not one's own
- Using information or devices that are not allowed by the faculty member.
- Obtaining and/or using unauthorized material.
- Fabricating information.
- Violating procedures prescribed to protect the integrity of a test, or other evaluation exercise.
- Collaborating with others on assignments without the faculty member's consent (*not be confused with tutoring in the university learning centers*).
- Cooperating with or helping another student to cheat.
- Having another person take an examination in the student's place.
- Altering exam answers and requesting that the exam be re-graded.
- Communicating with any person during an exam, other than the faculty member or exam proctor.

Plagiarism includes, but is not limited to:

- Directly quoting others without using quotation marks or indented format to identify them.
- Using sources of information (published or unpublished) without identifying them. This can be one's own past work.
- Paraphrasing materials or ideas of others without identifying the sources.

2.3 **Resolution of Academic Honesty Violations**

A student involved in an academic honesty proceeding may continue to attend all classes until the matter is resolved.

2.3.1 **Action Initiated by the Faculty member**

If a faculty member believes a student has committed an academic honesty violation, the faculty member should complete the Academic Honesty Report (Appendix A). The faculty members will request a meeting with the student within five university calendar days (excluding Saturdays, Sundays, and holidays) to attempt to resolve the incident. As a result of this meeting, if the faculty member determines a violation has occurred, he or she should give the student a copy of two things: (a) this policy statement, and (b) the completed Academic Honesty Report (Appendix A).

The faculty member retains a copy of the Academic Honesty Report of this incident, and forwards a copy of the Academic Honesty Report to the faculty member's department chair, school dean, graduate dean (if applicable), and dean of students. The faculty member may assign a penalty; see section 2.5 below. If the faculty member is unable to contact the student, or if the student fails to meet with the faculty member, the faculty member may assign the penalty. If a penalty is assigned, the faculty member will send the student a copy of this policy statement and a completed Academic Honesty Report (Appendix A). The faculty member will send these documents by registered mail to the student's current mailing address on file with the University, and provide a copy to the faculty member's department chair, school dean, graduate dean (if applicable), and dean of students. The final grade for the course will not be recorded in the Registrar's Office until all of the student's rights to appeal have been exhausted.

### **2.3.2 Appeal Procedures**

If the student does not admit responsibility for the incident or does not accept the penalty proposed by the faculty member, the student may appeal first to the faculty member's department chair, then to the dean of the faculty member's school, and then to the Senate Ad Hoc Committee on Grade Appeals. If the student does not appeal, the decision of the faculty member stands and a copy of the Academic Honesty Report will be forwarded by the faculty member's department chair, school dean, graduate dean (if applicable), and dean of students, where it will be filed for future reference.

#### **2.3.2.1 Department Hearing**

Within five university calendar days (excluding Saturdays, Sundays and holidays) of the faculty member's notification to the student that a penalty has been assigned, the student may request a meeting with the faculty member and his/her department chair. This meeting should take place within five university calendar days of the student's request. As a result of this meeting, the department chair will complete an Academic Honesty Report (Appendix A) and with the consent of the faculty member, affirm, deny, or modify the original penalty assigned by the faculty member. Within five university calendar days of the meeting, the department chair will forward copies of the completed Academic Honesty Report to the student, the faculty member, and the school dean, the graduate dean (if applicable), and the dean of students. Copies of the report will be sent by registered mail (with return receipt) to his/her current mailing address on file with the University. Within ten university calendar days of the department chair's decision, the student or the faculty member may appeal the department chair's decision to the dean of the faculty member's school. If the decision is not appealed, the department chair will send a copy of the Academic Honesty Report to the faculty member's school dean, the graduate dean (if applicable), and to the Office of the Dean of Students, where it will be filed for future reference.

#### **2.3.2.2 Dean's Review**

Within five university calendar days an academic long semester (excluding Saturdays, Sundays and holidays) of the department chair's notification to the student that a penalty has been assigned, the student or the faculty member may submit a written appeal to the dean of the faculty member's school. This written appeal should ask the dean to review the department chair's decision and explain why the student or faculty member believes that the department chair's decision was wrong. Within ten university calendar days from the time the written appeal is received in the dean's office, the dean will determine if the department chair's action should be upheld or overturned and will communicate his/her decision in writing to the student by registered mail, and inform the faculty member, the department chair, the graduate dean (if applicable), and the dean of students. Within ten university calendar days of the dean's decision, the student or the faculty member may appeal the dean's decision to the Senate Ad Hoc Committee on Grade Appeals (see page 37 of the 2005-2006 Undergraduate Catalog). If the decision is not appealed, the dean will send a copy of the Academic Honesty Report along with the results of the dean's review of the report to the student, the faculty member, graduate dean (if applicable), and the office of the dean of students, where it will be filed for future reference. Students may still be subject to further disciplinary action by the university through the student code of conduct, administered by the dean of students (or his/her designee).

#### **2.3.2.3 Senate Ad Hoc Committee on Grade Appeals**

If the student or faculty member is not satisfied, he/she may ask, within five (5) university calendar days (excluding Saturdays, Sundays and holidays) of receiving the school dean's decision, that the school dean contact the president of the university senate to convene the Ad Hoc Committee on Grade Appeals. The school dean shall forward the request (along with all relevant materials) to the senate president within five (5) university calendar days (excluding Saturdays, Sundays and holidays) of receipt. The dean also shall notify the provost/V.P. for Academic Affairs, in writing, that the senate is being asked to convene an ad hoc committee.

The Ad Hoc Committee on Grade Appeals shall be composed of three *members* of the instructional faculty in the ranks of tenured professors or tenured associate professors presently serving on the senate, *selected in alphabetical order each time the committee is appointed.*

The senate president shall appoint the ad hoc committee within five (5) university calendar days and shall notify the student and the faculty member of that fact. The senate president shall not discuss the details of the case with the ad hoc committee. The ad hoc committee will convene within five (5) university calendar days (excluding Saturdays, Sundays and holidays).

The committee shall consider the case and reach a decision within fifteen (15) university calendar days (excluding Saturdays, Sundays and holidays) of its convening by the senate president. Following its deliberations, the committee may deny, affirm or modify the appeal. The committee shall then forward its recommendation to the Provost/V.P. for Academic Affairs, who will implement the recommendation of the committee within five (5) university calendar days (excluding Saturdays, Sundays and holidays). The action of the Provost/V.P. for Academic Affairs shall be final and binding upon all parties, and shall be communicated by the Provost/V.P. for Academic Affairs to the student and the faculty member (with copies to the department chair, school dean, graduate dean (if applicable), and dean of students).

### **2.4 Maintenance of Academic Honesty Reports**

The Office of the Dean of Students will maintain a copy of each Academic Honesty Report filed on a student until that student's graduation or permanent suspension of studies. Students will be assumed to have permanently suspended their studies at WCSU if they go five years without enrolling for any coursework. Faculty members or administrators investigating allegations of academic honesty violations may request that the Office of the Dean of Students release them any previous reports that have been filed on the student against whom the current allegations are being made.

### **2.5 Penalties**

The penalty for an academic honesty violation on a significant course requirement such as a final copy of a term paper/project or final examination shall be an "F" for the course. The penalty for academic honesty violations in other coursework will be left to the discretion of the faculty member and may be modified upon appeal. When an academic honesty violation includes flagrant behavior, such as having a substitute take an exam or stealing an exam, the faculty member also shall refer the matter to the Office of the Dean of Students for disciplinary action pursuant to the CSU Student Code of Conduct. The Office of the Dean of Students also may initiate disciplinary action against a student with repeated academic honesty violations.

## **3. Review And Responsibilities**

1. Provost/V.P. for Academic Affairs and V.P. for Student Affairs
2. University Senate

### 3. President

Review: Every three years (and as needed)  
President  
Policy History  
Issue #1: 2006  
Issue #2:

Form: [Academic Honesty Report - Faculty Member](#)

Form: [Academic Honesty Report - Student](#)

Form: [Academic Honesty Report - Department Chair](#)

Form: [Academic Honesty Report - School Dean](#)

Form: [Academic Honesty Report - Senate Ad Hoc Committee](#)

Form: [Academic Honesty Report - Provost](#)

*Senate Approved as Revised: R-06-05-02*  
*Administrative Approval: 9/6/06*

## Academic Honesty Report

## Faculty Member

Appendix AWestern Connecticut State University Academic Honesty Report

(To be completed by faculty member)

## I. Description of Academic Honesty Violation

1. Student's Name \_\_\_\_\_
2. Faculty Member's Name \_\_\_\_\_
3. Academic Department \_\_\_\_\_
4. Course Label and Number \_\_\_\_\_ Section Number \_\_\_\_\_
5. Course Title \_\_\_\_\_
6. Date of Incident \_\_\_\_\_ Time of Incident \_\_\_\_\_
7. Place \_\_\_\_\_
8. Nature and Description of Offense \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
9. Witnesses to the Incident (if applicable):  
 Name \_\_\_\_\_ Contact Info \_\_\_\_\_  
 Name \_\_\_\_\_ Contact Info \_\_\_\_\_
10. Recommended Penalty by Faculty Member (check all that apply)  
 \_\_\_\_\_ a. This is a warning of unacceptable academic conduct from the instructor. Nor further action is contemplated.  
 \_\_\_\_\_ b. Grade of "F" for the exam, paper, or assignments.  
 \_\_\_\_\_ c. Grade of "F" for the course.  
 \_\_\_\_\_ d. Recommend further university disciplinary action under CSU Student Code of Conduct Policy.  
 \_\_\_\_\_ e. Other: \_\_\_\_\_  
 \_\_\_\_\_

(faculty member's signature)

(date signed)

## Academic Honesty Report

**Student**

(To be completed by student)

- II. By signature, I acknowledge that I have read and understand the Academic Honesty Policy provided at the time this form was received. I understand that only the precise penalty stated above will be imposed unless there is evidence of previous honesty violations in which case additional penalties may be imposed.

\_\_\_\_\_ I admit responsibility for the incident described above and accept the penalty from the instructor.

\_\_\_\_\_ I request a hearing with the appropriate department chair and faculty member. I understand that I will be allowed to remain in my classes until the appeal process is completed.

\_\_\_\_\_  
(student's signature)

\_\_\_\_\_  
(date signed)

If student refused to sign, the penalty stands.

Cc:

Student

Instructor

Department Chair

School Dean

Graduate Dean (if applicable)

Dean of Students

*Senate Approved as Revised: R-06-05-02*

*Administrative Approval: 9/6/06*



## Academic Honesty Report

### Department Chair

(To be completed by department chair, when necessary)

\_\_\_\_\_ affirm \_\_\_\_\_ deny \_\_\_\_\_ modify \_\_\_\_\_

Modification of recommended penalty

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
(Department Chair's signature)

\_\_\_\_\_  
(date signed)

Cc:

Student

Instructor

School Dean

Graduate Dean (if applicable)

Dean of Students

*Senate Approved as Revised: R-06-05-02*

*Administrative Approval: 9/6/06*



## Academic Honesty Report

### School Dean

(To be completed by school dean, when necessary)

\_\_\_\_\_ affirm \_\_\_\_\_ deny \_\_\_\_\_ modify \_\_\_\_\_

Modification of recommended penalty

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
(School Dean's signature)

\_\_\_\_\_  
(date signed)

Cc:

Student

Instructor

School Dean

Graduate Dean (if applicable)

Dean of Students

*Senate Approved as Revised: R-06-05-02*

*Administrative Approval: 9/6/06*

## Academic Honesty Report

### Senate Ad Hoc Committee for Grade Appeals\*

(To be completed by Chair of Senate Ad Hoc Committee for Grade Appeals, when necessary)

\_\_\_\_\_ affirm \_\_\_\_\_ deny \_\_\_\_\_ modify \_\_\_\_\_

Modification of recommended penalty

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
(Chair of Senate Ad Hoc Committee signature)

\_\_\_\_\_  
(date signed)

\*Complete file to be forwarded to the Provost/V.P. for Academic Affairs

Cc:

Student

Instructor

School Dean

Graduate Dean (if applicable)

Dean of Students

*Senate Approved as Revised: R-06-05-02*

*Administrative Approval: 9/6/06*

# Academic Honesty Report

## Provost/V.P. for Academic Affairs

(To be completed by Provost/V.P. for Academic Affairs, when necessary)

Action

Taken: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 (Provost/V.P. for Academic Affairs)

\_\_\_\_\_  
 (date signed)

Cc:

Student

Instructor

School Dean

Graduate Dean (if applicable)

Dean of Students

*Senate Approved as Revised: R-06-05-02*

*Administrative Approval: 9/6/06*

## Guidelines on Classes Missed Because of University Sponsored Events

Each semester students and professors must deal with the inevitable conflict between class and university-sponsored co-curricular activities. As the University grows and the student body becomes more diverse, it is clear that student activities outside the classroom will continue to increase. It is the purpose of these guidelines to spell out the relationship between the two activities, and to suggest a way of accommodating any potential conflict between the two.

At present, no written guidelines exist on the correct procedure for handling missed classes by a student as a result of participation in a university-sponsored event. A suggested protocol is needed to inform all members of the university community of this rights and expectations in this area, and to allow accommodation of the needs of all without destructive conflict. Students recognize that participation in co-curricular activities benefits the students themselves and the university as well. Opportunities for growth outside the classroom are important, but such participation does not take precedence over the academic mission of the school, and it cannot excuse students from required classroom work.

It is the responsibility of all students to recognize that meeting the requirements of all classes is their first priority. It is the students' responsibility to communicate with their professors before a conflict occurs, if possible to insure that all classroom work is properly made up. It is also the students' responsibility to make up all required work as well as to become familiar with the material presented in the class that was missed.

By definition university-sponsored events are legitimate, co-curricular events which are scheduled through a university department or entity, with adequate notice to all parties. For example, participation in a sports contest or a museum trip for the university would be such an event, but attending a practice session would not. It is requested that faculty members understand the depth of the students' commitment, allow reasonable accommodation of student activities, and permit work missed because of legitimate university events to be made up.

*Form: Missed Classes Because of University Sponsored Events*

*Senate approval: (R-04-04-02) 10/20/04*

*Administrative approval: 12/22/04*

(Missed Classes Forms [Because of University Sponsored Events] are available in all of the offices of the Academic Deans and the Dean of Student's Office)

## Missed Classes Because of University Sponsored Events

*(Complete a separate form for each class missed)*

Name of Student:	_____	Course Number:	_____
Course Title:	_____		
Date of Absence:	_____		
Reason for Absence* (be specific):	_____		
	_____		
	_____		
Assignments/Missed Work:	_____		
	_____		
	_____		
Date Work Will Be Completed	_____		
	_____		
Student Signature:	_____	Date:	____/____/____
Event Advisor or Coach Signature:	_____	Date:	____/____/____

\* For athletic absences attach a copy of the athletic schedule.

White Copy: Faculty Member  
Yellow Copy: Event advisor or Coach  
Pink Copy: Student

Senate approved: (04-04-02) 10/20/04  
Administrative approval: 12/22/04

## Guidelines for Faculty in the Classroom

The following is to help you with the proper procedures if any of the following types of behavior happen in your classroom.

### **Physical Assault**

*Never put yourself in a harmful situation!*

1. Call the Police Department immediately at 9-1-1.
2. Have the students in the class move into the hallway away from the situation.
3. File a report to send to the Dean of Student Affairs Office, attention University Judicial Officer.
4. Notify your department chair.

### **Psychological/Emotional Emergency Or Inappropriate Outbursts In The Classroom**

*This could be anything from panic attacks, violent outbursts or emotional outburst that do not cease. If the student has violent outburst or panic attacks, call the police immediately at 9-1-1.*

1. Ask the student to stop the behavior and to talk with the professor after the class.
2. If the behavior doesn't stop, ask the student to leave the class.
3. If the student doesn't comply, call the Police Department at 9-1-1.
4. File a report and send to Dean of Student Affairs Office, attention University Judicial Officer.
5. Notify your department chairperson.

### **Serious Injury, Illness Or Accident (Includes Alcohol Or Drug Related)**

*Do not touch the student or any bodily fluids for their safety and yours. Do not transport student(s) to the hospital!*

1. Call the Police Department 9-1-1.
2. Notify the Dean of Student Affairs office.
3. Advise the student of campus resources according to his/her needs. (i.e./Counseling Center, Health Services)
4. File a report and send to Dean of Student Affairs office, attention University Judicial Officer.
5. Notify your department chairperson.

### **Bias-Related Statements**

*Any language or other acts that are harassing/intimidating and directed towards individuals or groups because of their race, ethnicity, religion, gender, sexual orientation, and physical or mental disability.*

1. Be supportive of the victim. If they feel threatened, intimidated or harassed, or if a crime has been committed, advise them to contact the Police Department and report the incident.
2. Confront the student doing this inappropriate behavior to stop this behavior and to speak with them after class.
3. If the behavior doesn't stop, ask the student to leave the class.
4. If the student doesn't comply, call the Police Department 9-1-1.
5. File a report and send to Dean of Student Affairs Office, attention University Judicial Officer.
6. Notify your department chairperson.

[Form: Inappropriate Behavior in the Classroom Form](#)

Provost, June 2007  
Updated July 2011  
Updated June 2012

## Inappropriate Behavior in the Classroom Form

It is a violation of the CSU Student Code of Conduct and Statement of Judicial Procedures for students to exhibit inappropriate behavior in the classroom. The below form is encouraged to be used by faculty members for incidents that involve disruption or obstruction of teaching, research or other academic or administrative activities. Please send this form to the Dean of Student Affairs office, attention University Judicial Officer.

Faculty Member's

Name/Department \_\_\_\_\_

Faculty Extension: \_\_\_\_\_

Date/Time of incident: \_\_\_\_\_

Course/Location: \_\_\_\_\_

Name of Student: \_\_\_\_\_

Student ID

# \_\_\_\_\_

Please use the back of this form or attach a narrative of the inappropriate behavior and the intervention that may have happened in your classroom.

Professor sent to University

Judicial Officer on: \_\_\_\_\_

Professor's signature \_\_\_\_\_

**BELOW IS FOR OFFICE USE ONLY**

University Judicial Officer

Received on: \_\_\_\_\_

University Judicial Officer

Spoke to \_\_\_\_\_

Student on: \_\_\_\_\_

Professor on: \_\_\_\_\_

Case closed on: \_\_\_\_\_

## Policy Statement on Photocopying of Copyrighted Materials for Classroom and Research Use

Faculty members should be aware of the legal limitations on duplicating copyrighted materials for research and classroom use. The Western Connecticut State University policy follows, and compliance is expected.

### Policy on The Use of Copyrighted Materials

#### I. The Copyright Act and Photocopying

From time to time, the faculty and staff of this University may use photocopied materials to supplement research and teaching. In many cases, photocopying can facilitate the University's mission; that is, the development and transmission of information. However, the photocopying of copyrighted materials is a right granted under the copyright law's doctrine of "fair use" which must not be abused. This report will explain the University's policy concerning the photocopying of copyrighted materials by faculty and library staff. Please note that this policy does not address other library photocopying which may be permitted under other sections of the copyright law, e.g., 17 U.S.C. par. 108.

Copyright is a constitutionally conceived property right which is designed to promote the progress of science and the useful arts by securing for an author the benefits of his or her original work of authorship for a limited time. (U.S. Constitution, Art. 1, Sec. 8.) The Copyright statute, 17 U.S.C. par 101, et seq., implements this policy by balancing the author's interest against the public interest in the dissemination of information affecting areas of universal concern such as art, science, history, and business. The grand design of this delicate balance is to foster the creation and dissemination of intellectual works for the general public.

The Copyright Act defines the rights of a copyright holder and how they may be enforced against an infringer. Included within the Copyright Act is the "fair use" doctrine which allows, under certain conditions, the copying of copyrighted material. While the Act lists general factors under the heading of "fair use", it provides little in the way of specific directions for what constitutes fair use. The law states:

*17 U.S.C. par. 107. Limitations on exclusive rights: Fair use. Notwithstanding the provisions of section 106, the fair use of a copyrighted work, including such use by reproduction in copies or phono-records or by any other means specified by that section, for purposes such as criticism, comment, new reporting, teaching (including multiple copies for classroom use), scholarship, or research is not an infringement of copyright. In determining whether the use made of a work in any particular case is a fair use, the factors to be considered shall include:*

1. Purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes.
2. Nature of the copyrighted work.
3. Amount and substantiality of the portion used in relation to the copyrighted work as a whole.
4. Effect of the use upon the potential market for or value of the copyrighted work.

The purpose of this report is to provide you, the faculty and staff of this University, with an explanation of when the photocopying of copyrighted material in our opinion is permitted under the fair use doctrine. Where possible, common examples of research, classroom, and library reserve photocopying have been included to illustrate what we believe to be the reach and limits of fair use.

Please note that the copyright law applies to all forms of photocopying, whether it is undertaken at a commercial copying center, at the University's central or departmental copying facilities, or at a self service machine. While you are free to use the services of a commercial establishment, you should be prepared to provide documentation of permission from the publisher (if such permission is necessary under this policy), since many commercial copiers will require such proof.

We hope this report will give you an appreciation of the factors which weigh in favor of fair use and those factors which weigh against fair use, but faculty members must determine for themselves which works will be photocopied. This University does not condone a policy of photocopying instead of purchasing copyrighted works where such photocopying would constitute an infringement under the copyright law, but it does encourage faculty members to exercise good judgment in serving the best interests of students in an efficient manner. This University and its faculty and staff will make a conscientious effort to comply with these guidelines.

Instructions for securing permission to photocopy copyrighted works when such copying is beyond the limits of fair use appear at the end of this report. It is the policy of this University that the user (faculty, staff, or librarian) secure such permission whenever it is legally necessary.

#### II. Unrestricted Photocopying

##### A. Un-copyrighted Published Works

Writings published before January 1, 1978, which have been copyrighted may be photocopied without restriction. Copies of works protected by copyright must bear a copyright notice, which consists of the letter "c" in a circle, or the word "Copyright" or the abbreviation "Copr." plus a year of first publication, plus the name of the copyright owner (17 U.S.C. par. 401). As to works published before January 1, 1978, in the case of a book, the notice must be placed on the title page of the reverse side of the title page. In the case of a periodical, the notice must be placed either on the title page, the first page of text, or in the masthead. A pre-1978 failure to comply with the notice requirements resulted in the work being injected into the public domain, i.e., unprotected. Copyright notice requirements have been relaxed since 1978 so that the absence of notice on copies of a work published after January 1, 1978, does not necessarily mean the work is in the public domain (17 U.S.C. par 405 [a] and [c]). However, you will not be liable for damages for copyright infringement of works published after that date, if after normal inspection, you photocopy a work on which you cannot find a copyright symbol and you have not received actual notice of the fact the work is copyrighted (17 U.S.C. par. 405 [b]). However, a copyright owner who found out about your photocopying would have the right to prevent further distribution of the copies if in fact the work were copyrighted and the copies infringing (17 U.S.C. par. 405 [b]).



## **B. Published Works with Expired Copyrights**

Writings with expired copyrights may be photocopied without restriction. All prior to 1906 have expired. (17 U.S.C. par. 304 [b]). Copyrights granted after 1906 may have been renewed; however, the writing will probably not contain notice of the renewal. Therefore, it should be assumed all writings dated 1906 or later are covered by a valid copyright, unless information to the contrary is obtained from the owner or the U.S. Copyright Office (see Copyright Office Circular 15t).

Copyright Office Circular R22 explains how to investigate the copyright status of a work. One way is to use the Catalog of Copyright Entries published by the Copyright Office and available in six Connecticut libraries. Alternatively, you may request the Copyright Office to conduct a search of its registration and/or assignment records. The Office charges an hourly fee for this service. You will need to submit as much information as you have concerning the work in which you are interested, such as the title, author, approximate date of publication, the type of work or any available copyright data. The Copyright Office does caution that its searches are not conclusive; for instance, if a work obtained a copyright less than 28 years ago, it may be fully protected although there has been no registration or deposit.

## **C. Unpublished Works**

Unpublished works, such as theses and dissertations, may be protected by a copyright. If such a work was created before January 1, 1978, and has not been copyrighted or published without copyright notice, the work is protected under the new Act for the life of the author plus fifty years, 17 U.S.C. par. 303, but in no case earlier than December 31, 2001. If such a work is published on or before that date, the copyright will not expire before December 31, 2027. Works created after January 1, 1978, and not published enjoy copyright protection for the life of the author plus fifty years (17 U.S.C. par. 302).

## **D. U.S. Government Publications**

All U.S. Government publications with the possible exception of some National Technical Information Service Publications less than 5 years old may be photocopied without restrictions, except to the extent that they contain copyrighted materials from other sources. 17 U.S.C. par. 105. U.S. Government publications are documents prepared by an official or employee of the government in an official capacity. 17 U.S.C. par. 101. Government publications include the opinions of courts in legal cases, Congressional Reports on proposed bills, testimony offered at Congressional hearings and the works of government employees in their official capacities. Works prepared by outside authors on contract to the government may or may not be protected by copyright, depending on the specifics of the contract. In the absence of copyright notice on such works, it would be reasonable to assume they are government works in the public domain. It should be noted that state government works may be protected by copyright. (See, 17 U.S.C. par. 105.) However, the opinions of state courts are not protected.

# **III. Permissible Photocopying of Copyrighted Works**

The Copyright Act allows anyone to photocopy copyrighted works without securing permission from the copyright owner when the photocopying amounts to a "fair use" of the material (17 U.S.C. par. 107). The guidelines in this report discuss the boundaries for fair use of photocopied material used in research or the classroom or in a library reserve operation. Fair use cannot always be expressed in numbers – either the number of pages copied or the number of copies distributed.

Therefore, you should weigh the various factors listed in the Act and judge whether the intended use of photocopied, copyrighted material is within the spirit of the fair use doctrine. Any serious questions concerning whether a particular photocopying constitutes fair use should be directed to the University Library Director.

## **A. Research Uses**

At the very least, instructors may make a single copy of any of the following for scholarly research or use in teaching or preparing to teach a class.

1. Chapter from a book.
2. Article from a periodical or newspaper.
3. Short story, short essay, or short poem, whether or not from a collective work.
4. Chart, diagram, graph, drawing, cartoon or picture from a book, periodical, or newspaper.

These examples reflect the most conservative guidelines for fair use. They do not represent inviolate ceilings for the amount of copyrighted materials which can be photocopied within the boundaries of fair use. When exceeding these minimum levels, however, you again should consider the four factors listed in Section 107 of the Copyright Act to make sure that any additional photocopying is justified. The following demonstrate situations where increased levels of photocopying would continue to remain within the ambit of fair use.

1. Inability to obtain another copy of the work because it is not available from another library or source or cannot be obtained within your time constraints.
2. Intention to photocopy the material only once and not to distribute the material to others.
3. Ability to keep the amount of material photocopied within a reasonable proportion to the entire work (the larger the work, the greater amount of material which may be photocopied).

Most single-copy photocopying for your personal use in research--even when it involves a substantial portion of a work--may well constitute fair use.

## **B. Classroom Uses**

Primary and secondary school educators have, with publishers, developed the following guidelines, which allow a teacher to distribute photocopied material to students in a class without the publisher's prior permission, under the following conditions.

1. Distribution of the same photocopied material does not occur every semester.
2. Only one copy is distributed for each student, which copy must become the student's property.
3. The material includes a copyright notice on the first page of the portion of material photocopied.
4. The students are not assessed any fee beyond the actual cost of the photocopying.

In addition, the educators agreed that the amount of material distributed should not exceed certain brevity standards. Under those guidelines, a prose work may be reproduced in its entirety if it is less than 2500 words in length. If the work exceeds such length, the excerpt reproduced may not exceed 1000 words, or 10% of the work, whichever is less. In the case of poetry, 250 words is the maximum permitted.

These minimum standards normally would not be realistic in the University setting. Faculty members needing to exceed these limits for college education should not feel hampered by these guidelines, although they should attempt a "selective and sparing" use of photocopied, copyrighted material.

The photocopying practices of an instructor should not have a significant detrimental impact on the market for the copyrighted work. 17 U.S.C. par. 107(4). To guard against this effect, you should restrict use of an item of photocopied material to one course and you should not repeatedly photocopy excerpts from one periodical or author without the permission of the copyright owner.

### **C. Library Reserve Uses**

At the request of a faculty member, a library may photocopy and place on reserve excerpts from copyrighted works in its collection in accordance with guidelines similar to those governing formal classroom distribution for face-to-face teaching discussed above. This University believes that these guidelines apply to the library reserve shelf to the extent it functions as an extension of classroom readings or reflects an individual student's right to photocopy for his personal scholastic use under the doctrine of fair use. In general, librarians may photocopy materials for reserve room use for the convenience of students both in preparing class assignments and in pursuing informal educational activities which higher education require, such as advanced independent study and research.

If the request calls for only one copy to be placed on reserve, an entire article may be photocopied, or an entire chapter from a book, or an entire poem. Request for multiple copies on reserve should meet the following guidelines.

1. The amount of material should be reasonable in relation to the total amount of material assigned for one term of a course taking into account the nature of the course, its subject matter and level, 17 U.S.C. par. 107(1) and (3).
2. The number of copies should be reasonable in light of the number of students enrolled, the difficulty and timing of assignments, and the number of other courses which may assign the same material, 17 U.S.C. par. 107 (1) and (3).
3. The material should contain a notice of copyright, see, 17 U.S.C. par. 401.
4. The effect of photocopying the material should not be detrimental to the market for the work. (In general, the library should own at least one copy of the work (17 U.S.C. par. 107[4]).

For example, a professor may place on reserve as a supplement to the course textbook a reasonable number of copies of articles from academic journals or chapters from trade books. A reasonable number of copies will in most instances be less than six, but, factors such as the length or difficulty of the assignment, the number of enrolled students and the length of time allowed for completion of the assignment may permit more in unusual circumstances.

In addition, a faculty member may also request that multiple copies of photocopied, copyrighted material be placed on the reserve shelf if there is insufficient time to obtain permission from the copyright owner. For example, a professor may place on reserve several photocopies of an entire article from a recent issue of Time magazine or the New York Times in lieu of distributing a copy to each member of the class. If you are in doubt as to whether a particular instance of photocopying is fair use in the reserve reading room, you should seek the publisher's permission. Most publishers will be cooperative and waive the fee for such a use.

### **D. Uses of Photocopies Material Requiring Permission**

1. *Repetitive copying:* The classroom or reserve use of photocopied materials in multiple courses or successive years will normally require advance permission from the owner of copyright (17 U.S.C. par. 107[3]).
2. *Copying for profit:* Faculty should not charge students more than the actual cost of photocopying the material (17 U.S.C. par. 107[1]).
3. *Consumable works:* The duplication of works that are consumed in the classroom, such as standardized tests, exercises, and workbooks, normally requires permission from the copyright owner (17 U.S.C. par. 107[4]).
4. *Creation of anthologies as basic text material for a course:* Creation of a collective work on anthology by photocopying a number of copyrighted articles and excerpts to be purchased and used together as the basic text for a course will in most instances require the permission of the copyright owners. Such photocopying is more likely to be considered as a substitute for purchase of a book and thus less likely to be deemed fair use (17 U.S.C. par. 107[4]).

### **E. How to Obtain Permission of Copyright Owner**

When a use of photocopied material requires that you request permission, you should communicate complete and accurate information to the copyright owner. The America Association of Publishers suggests that the following information be included in a permission request letter in order to expedite the process:

1. Title, author and/or editor, and edition of materials to be duplicated.
2. Exact material to be used, giving amount, page numbers, chapters and, if possible, a photocopy of the material.
3. Number of copies to be made.
4. Use to be made of duplicated materials.
5. Form of distribution (classroom, newsletter, etc.).
6. Whether or not the material is to be sold.

7. Type of reprint (ditto, photography, offset, typeset).

The request should be sent, together with a self-addressed return envelope, to the permissions department of the publisher in question. If the address of the publisher does not appear at the front of the material, it may be readily obtained in a publication entitled *The Literary Marketplace*, published by the R.R. Bowker Company, and available in all libraries.

The process of granting permission requires time for the publisher to check the status of the copyright and to evaluate the nature of the request. It is advisable, therefore, to allow enough lead time to obtain permission before the materials are needed. In some instances, the publisher may assess a fee for the permission. It is not inappropriate to pass this fee on to the students who receive copies of the photocopied material.

The Copyright Clearance Center also has the right to grant permission and collect fees for photocopying rights for certain publications. Libraries may copy from any journal which is registered with the CCC and report the copying beyond fair use to CCC and pay the set fee. A list of publications for which the CCC handles fees and permissions is available from the CCC, 310 Madison Avenue, New York, NY 10017.

**Sample Letter To Copyright Owner (Publisher) Requesting Permission To Copy**

Date

Material Permissions Department  
Hypothetical Book Company  
500 East Avenue  
Chicago, Illinois 60601

Dear Sir or Madam:

I would like permission to copy the following for continued use in my classes in future semesters:

**Title:** Learning is Good, Second Edition Copyright: Hypothetical Book Co., 1965, 1971

**Author:** Frank Jones

**Material to be duplicated:** Chapters 10, 11, and 14  
(photocopy enclosed).

**Number of copies:** 500

**Distribution:** The material will be distributed to students in my classes and they will pay only the cost of the photocopying.

**Type of reprint:** Photocopy

**Use:** The chapter will be used as supplementary teaching materials.

I have enclosed a self-addressed envelope for your convenience in replying to this request.

Sincerely,

Faculty Member

***F. Infringement***

Courts and legal scholars alike have commented that the fair use provisions in the Copyright Act are among the most vague and difficult that can be found anywhere in the law. In amending the Copyright Act in 1976, Congress anticipated the problem this would pose for users of copyrighted materials who wished to stay under the umbrella of protection offered by fair use. For this reason, the Copyright Act contains specific provisions which grant additional rights to libraries and insulate employees of a non-profit educational institution, library, or archives from statutory damages for infringement where the infringer believed or had reasonable grounds to believe the photocopying was a fair use of the material (17 U.S.C. par. 504 [c] [2]).

Normally, an infringer is liable to the copyright owner for the actual losses sustained because of the photocopying and any additional profits of the infringer (17 U.S.C par. 504[a][1] and [b]). Where the monetary losses are nominal, the copyright owner usually will claim statutory damages instead of the actual losses (17 U.S.C. par. 504 [a][2] and [c]). The statutory damages may reach as high as \$10,000 (or up to \$50,000 if the infringement is willful). In addition to suing for money damages, a copyright owner can usually prevent future infringement through a court injunction (17 U.S.C. par. 502).

The Copyright Act specifically exempts from statutory damages any employee of a non-profit educational institution, library, or archives, who "believed and had reasonable grounds for believing that his or her use of the copyrighted work was a fair use under Section 107" (17 U.S.C. par. 504[c] [2]). While the fair use provisions are admittedly ambiguous, any employee who attempts to stay within the guidelines contained in this report should have an adequate good faith defense in the case of an innocently committed infringement.

If the criteria contained in this report are followed, it is our view that no copyright infringement will occur and that there will be no adverse affect on the market for copyrighted works.

*Approved by Library Policy Committee: Feb. 1983  
Approved by University Senate and University President: Mar. 1983*

## I. INSTITUTIONAL POLICY ISSUES

### A. Purpose:

The purpose of Western Connecticut State University (WCSU) Online Learning Policy is to assure high quality in online/distance learning with regard to instruction, procedures, and support. Unless otherwise stated all academic policies and procedures apply to both on-campus and online courses. Nevertheless, the particular nature and circumstances of online learning necessitate a clear explication of policies and procedures on key areas. All Online Learning policies are generated and executed in accordance with the mission of WCSU.

### B. Principles Of Good Practice For Electronically Offered Academic Degree And Certificate Programs:

Distance learning activities at WCSU comply with the NEASC Guidelines for the Evaluation of Distance Education & On-line Learning and with the Guidelines of other accrediting bodies.

See: [https://cihe.neasc.org/sites/cihe.neasc.org/files/downloads/POLICIES/Pp90-Guidelines for the Evaluation of Distance Education On line Learning.pdf](https://cihe.neasc.org/sites/cihe.neasc.org/files/downloads/POLICIES/Pp90-Guidelines%20for%20the%20Evaluation%20of%20Distance%20Education%20On%20line%20Learning.pdf)

WCSU's goal is to ensure that online courses meet the same quality standards as courses taught on campus. Additionally, some online learning may address the needs or topic in ways that on-campus classes cannot.

### C. Definition

**Online Course:** Defined as one in which course content is delivered online via the University's web-based course management system, whether synchronously or asynchronously. Students submit course work and participate in discussions with faculty and other students via the Internet. Many online courses contain media-rich presentations that reinforce important concepts. Students in these courses communicate with faculty and fellow students using e-mail, discussion boards, and submit assignments to faculty through the University's web-based course management system.

**Hybrid Course:** Defined as one in which a course is comprised of both face-to-face meetings and online learning where the online component does not exceed 50% of the designated instructional time. All face-to-face meetings will be announced prior to registration. The online component is delivered via the University's web-based course management system.

If and when the pedagogical needs of a particular course require an adjusted ratio of face-to-face and online instructional time, modifications may be scheduled with the approval of the appropriate dean and the department chairperson.

### D. Review Of Distance Learning Policy:

The responsibility for evaluating and revising the Online Learning Policy resides with the Senate Distance Learning Committee, as specified by NEASC.

## II. CURRICULUM AND INSTRUCTION

### A. Academic Integrity Of Online Learning Courses:

Online learning courses are comparable to campus-based courses in terms of:

- Syllabi
- Office Hours
- Expected learning outcomes
- Readings and assignments
- Grading
- Methods of evaluation
- Student Opinion Survey

Online learning courses are subject to the same policies as stated in the Graduate and Undergraduate Catalogs for campus-based courses. Faculty members must also follow the regulations described in the Collective Bargaining Agreement and the guidelines in the Faculty Handbook.

### B. Oversight Of Courses:

Like all academic activities, online learning at WCSU operates under the purview of the Provost and Vice President for Academic Affairs, CUCAS and Grad Council. WCSU adheres to the policy that all courses of the same prefix and number are equivalent, regardless of mode of delivery and/or period of delivery. It is the responsibility of the faculty to ensure that the rigor of programs and quality of instruction are maintained within their courses.

### C. Online Learning Course Offering Process

For new online offerings, the faculty member must complete the Online Education at WCSU course offering form. Form approval must be provided by the Department Chair, Academic Dean, and Provost. This process should be done as expediently as possible. See: <http://www.wcsu.edu/academics/online.asp>

### D. Instructional Review: Quality Of Instruction Issues

Instruction in all courses, whether campus-based or online is reviewed by the same criteria set forth in the AAUP-CBA, the Faculty Handbook and Departmental



Bylaws.

Criteria will include, but will not be limited to evaluation of teaching effectiveness and student satisfaction. Evaluators may need special training and support to adequately review online instruction due to the distinct pedagogical implications that must be considered when looking at online teaching and learning strategies and processes.

See: DEC Written Evaluation and Recommendation Report for Teaching Faculty Members,  
<http://www.westconn.edu/facultystaff/handbook/pages/DEC-eval.asp>

**E. Faculty Interaction With Students:**

As in all classes, best practices in online learning necessitate clear guidelines on faculty student interaction. Online and hybrid courses require strong instructor presence and frequent interactions with students. Faculty should clarify in their syllabi and course policies the nature of planned interaction, feedback timelines (like grading or email turnaround), as well as appropriate modes of communication (e-mail, phone, fax, chat, or discussion board.) Faculty should ensure clear responses to students, within a student-friendly timeframe. Complete and detailed feedback should be provided via the discussion board, individual email or other appropriate means. Office hours shall be held in compliance with the Faculty Handbook. Depending on the nature of the course, some may want to provide synchronous office hours when students know faculty can be reached by methods such as VoIP (Voice Over Internet Protocol), telephone or email. The instructor is expected to comply with all privacy laws in conducting online and hybrid courses.

**F. Faculty Responsibility:**

The instructor is responsible for presenting course content, instruction, and evaluating student progress in online learning courses, as well as for campus-based courses. Rapid changes in technology may require faculty to reevaluate online course resources frequently.

**G. Accessibility (ADA):**

All online learning is conducted in regard to and compliance with the Americans With Disabilities Act.

See: <http://www.wcsu.edu/accessibility/ADAandRA.asp>

**H. Intellectual Property And Third Party Providers:**

Distance learning courses are frequently designed and disseminated by other colleges, universities, corporations or non-profit organizations. In the event that WCSU wishes to purchase or lease modules or entire courses from a Third Party, such courses or modules must be evaluated by the appropriate curricular committees to ensure that the materials meet all quality criteria set forth by the appropriate curricular committees before any legal agreements are signed between parties.

**I. University Honesty Policy:**

Online, hybrid and on-site course instruction follow the same campus-wide policy on Academic Honesty. WCSU affirms its commitment to enforcing the Academic Honesty Policy and to supporting faculty and students in the handling of academic integrity matters. WCSU is committed to making information on academic integrity easy to find on the campus Web sites and within online courses. Departments offering online courses and degrees should include ethics instruction within the relevant course and/or core curricula. WCSU encourages faculty to report every suspected violation of the Academic Honesty Policy and act upon it. See: <http://www.wcsu.edu/facultystaff/handbook/pages/AH-pol.asp>

**J. Copyright Compliance:**

The University acts in accordance with Section 403 of the Digital Millennium Copyright Act. See: <http://www.copyright.gov/legislation/sec403.pdf>

**K. Testing Policies: Verifying The Identity Of The Student Submitting Work Online**

WCSU verifies the identity of students in online classes in accordance with current educational standards. WCSU provides secure student logins and password to access online courses and related resources, discussions, assignments and assessments. Students are provided instruction on maintaining the security of their logins and passwords. WCSU must have processes that establish that the student who registers in a distance or correspondence education course or program is the same student who participates in and completes the program and receives academic credit. Verification methods are determined by the institution and may include but are not limited to secure login and password protocols, proctored examinations, and new or other technologies and practices.

**III. FACULTY**

**A. Faculty Qualifications:**

Faculty members who teach online learning courses must meet the same qualifications as faculty who teach campus-based courses at Western Connecticut State University. They will be selected in accordance with the WCSU Faculty Collective Bargaining Agreement.

**B. Faculty Training:**

WCSU provides a variety of training workshops and individual training for faculty in the use of all relevant courseware and/or software. Training will be provided as needed to ensure that faculty remain current in the use of the technology. WCSU's Center for Excellence Learning and Teaching (CELT) should offer professional development opportunities for faculty to learn best practices for effective online communication with students.

In addition to training and professional development for faculty related to teaching in distance learning formats, the faculty meets periodically to share

information and discuss ideas to enhance effectiveness of courses and quality of courses being taught.

**C. Faculty Evaluation:**

Procedures to be followed for the evaluation of faculty-administration of Student Opinion Surveys and Peer Observations--should follow the guidelines set forth in the CBA, the Faculty Handbook and Departmental Bylaws in as close to the same manner as is possible in online and on-campus courses. The individual DEC's and Department Chairs should be permitted access to online classes in a manner that is comparable to the observation of faculty teaching on-campus classes. Additionally, department curriculum and assessment committees should be permitted access on a limited basis to courses to ensure course quality. Departments should identify assessment procedures for online learning that are consistent with their mission. On site and online courses should be comparable experiences and each department will need to periodically review its courses to assure that approved course learning outcomes are addressed.

**D. Faculty Teaching Load:**

Faculty members teaching distance-learning courses receive the same workload credit as faculty who teach campus-based courses.

**IV. STUDENT SUPPORT SERVICES**

**A. Student Services:**

All policies covering on-campus classes shall also apply to distance learning classes. This includes matriculation, financial aid, and registration. The WCSU website shall provide information about distance learning orientation sessions as well as all other services online (e.g., financial aid, career development, tutoring services, counseling and academic advising). Students should consult an academic advisor before registering for an online learning class, as well as campus-based courses. Special attention should be paid to a student's ability to work independently and to perform all or most course work by reading and writing. Students should plan their schedules wisely making sure they have sufficient time to complete an online class within the allotted time. Students must ensure that they will have adequate access to a computer and the internet to complete the class.

**B. Student Training**

It is recommended that all students must complete an orientation to online learning course before registering for their first course. This training will familiarize the student with the instructional software and well as acquaint them with the principles and practices of being a good online student. New student orientation sessions should include training on the university's current-web-based learning management system, as provided by Information Technology & Innovation.

**C. Student Complaints/Grievance Procedure:**

All student concerns about grading and other academic concerns should follow established University procedures as set forth in the Student Handbook, the Undergraduate or Graduate Catalog and the Faculty Handbook.

**D. Library Resources:**

WCSU Libraries ensure that the distance learning community has access to library materials equivalent to those provided in traditional settings. The Libraries provide convenient, direct access to library materials in appropriate formats that are of sufficient quality, depth, number, scope, and currency to:

- Meet students' needs in fulfilling course assignments;
- Enrich the academic programs;
- Meet teaching and research needs;
- Support curricular needs
- Promote the acquisition of lifelong learning skills;
- Accommodate students with varying levels of technological access (i.e., low bandwidth); and
- Accommodate other informational needs of the distance community as appropriate.

Library services offered to the distance learning community are designed to meet a wide range of informational, instructional, and user needs. Services include virtual reference and research assistance (via chat, e-mail, phone, text); online library instruction and informational services (including information literacy instruction); reliable, rapid, secure access to online resources; access to electronic reserve materials, interlibrary loan and document delivery services; and adequate service hours. Library services to the distance learning community will be promoted through variety of channels, including the Library's mobile-enhanced website, and will include documented and updated policies and procedures.

**E. University Bookstore:**

The WCSU website provides a link to the WCSU Bookstore (which provides information for both distance learning students and traditional students.) All students may make bookstore purchases using the online service. The bookstore will mail the requested materials to the student.

**V. DISTANCE LEARNING FACILITIES AND SUPPORT SERVICES**

**A. Distance Learning Equipment And Facilities:**

Western Connecticut State University provides the necessary equipment and facilities to effectively deliver scheduled synchronous and asynchronous courses at a distance. Video conferencing rooms are available to fully deliver courses. Computers with Internet access are available on campus for students who may need to use campus facilities for distance learning purposes. All courses that require laboratories and clinical site visits, which cannot be completed via technology-based distance learning, are handled with special arrangements made by the faculty member in consultation with the Dean and IT.

**B. Funding For Distance Learning:**

Sufficient funds for the operation of online/distance learning programs have been allocated to maintain instructional offerings. The annual University budget provides for the maintenance of equipment and networks the WCSU CIO is responsible for this budget.

**C. Institutional Technology Responsibility:**

Information Technology & Innovation provides the technical expertise necessary for maintaining equipment and networks, so that the delivery of online/distance learning programs may occur. A System Administrator addresses student and faculty concerns with the delivery of distance learning and an online Helpdesk is available for equipment problems. In addition, UC provides training of faculty and staff. UC schedules several training modules for professional development during each year and or as needed. UC provides orientation and training modules available online for students.

**VI. PLANNING AND EVALUATION**

**A. Institutional Planning:**

The viability of distance learning programs is included in the planning process. Distance learning is planned to meet the University mission, strategic initiatives, goals and objectives, and is consistent with the University long-range planning document. Distance learning is designed and evaluated according to the same guidelines used for on-campus programs. The effectiveness of distance learning is assessed as discussed in this document. Finally, the results of the assessment are used to make appropriate changes to the long-range plan and to the program. Departments offering online courses or programs track the effectiveness of such program through their assessment process.

**B. Educational Effectiveness**

Distance learning is designed and evaluated according to the same guidelines used to assess on-campus courses, programs, and departments. The effectiveness of distance learning is assessed based on the accreditation policies described by NEASC and other national and regional accrediting bodies related to specific program areas across the University.

**RECOMMENDATIONS**

Date: July 2, 2012

With respect to the proposed Distance Education Policy, we make the following recommendations.

- For online and hybrid instruction to be effective here at WCSU it is recommended that CELT become the faculty-driven catalyst for addressing technology and learning. **Purpose:** in order to perform this function CELT's profile and resources need to be augmented and strengthened. Specifically, the Senate Distance Education Committee, in cooperation with Information Technology & Innovation, create a series of faculty workshops focusing on the development and maintenance of online courses. The committee should also create a best practices document to assist faculty in the creation and evaluation of their online offerings.
- That Information Technology & Innovation modify the university's installation of its current course management software (CMS) to require all new users--faculty and students--to complete an online tutorial before being able to use said system. **Purpose:** to ensure that new users demonstrate minimum standards for using the CMS.
- That Information Technology & Innovation create and make available to each academic department an anonymous online version of the student opinion survey instrument with content identical to that ordinarily in use by the department or one that has been designed or approved by the department specifically for online use in accordance with Article 4.11.8 of the CSU-AAUP Collective Bargaining Agreement. The procedure for administering the survey shall also be subject to approval by the department as provided for in Article 4.11.8.
- That Information Technology & Innovation modify its course registration system such that hybrid courses receive two room assignments, one physical and one "ONLINE." **Purpose:** to provide a simple mechanism for identifying hybrid courses in online course listings.
- That the procedure for scheduling an online course be no more difficult than for onsite classes, requiring the same sequence of approvals and paperwork. Department Chairs must remain cognizant of any substantive changes to a program as the percentage of online courses expands, as per NEASC guidelines. **Purpose:** to foster and facilitate the creation of online courses as a regular component of a term's offerings.

*Senate Approval May 8, 2013 (R-13-5-1)*

*President's Approval 6/11/13*

*SharePoint CD1213187 Approval 7/17/13*

*Senate Approval December 14, 2016*

## Faculty Scholarship, Development and Research Policies and Procedures

### **The Connecticut State University Research Foundation**

The Connecticut State University Research foundation was established by the Connecticut General Assembly under Public Act 79-202 for the purpose of facilitating and promoting research activities among the four institutions that comprise the CSU system.

The Research Foundation operates on each CSU campus under the direction of the campus President in accordance with the regulations of the Foundation and all other relevant general University and State regulations.

Each campus has a Research Foundation Advisory Council, which, at Western, is the Research and Development Committee. The function of the Advisory Council is to advise the campus President on the operation of the Foundation, as well as the conduct of research and public service activities on each campus.

### **Scholarly Activity: Research, Scholarship, And Creative Endeavor**

#### **Definition of Faculty Scholarship**

Although a university may be committed to the idea of being a "teaching institution," that concept cannot be fulfilled apart from a similar commitment to scholarly activity. Scholarly activity has three components--research, scholarship, and creative endeavor--whose principal foci are oriented toward the academic program of the university and are carried out by individual faculty.

These activities are vital to the university and to its academic program and have an impact on the student as a learner. They are a very real part of the instructional process. In progress through undergraduate studies, the student is constantly moving toward more and more independent learning and learns that research and creative endeavor are necessary elements in the learning process. Students must have models of ongoing scholarly activity in which they can see the possibilities for their own creative talents. Faculty engaged in scholarly activity provide those models. In this sense, scholarly activity is an integral part of teaching. Research, creative endeavor, and scholarship are also intimately involved in the professional development of individual faculty members. Through the process of sharing the outcomes of professional efforts with colleagues both on and off the campus, validation of progress in developing as a scholar in a discipline is received. Reviewing and critiquing the work of others provides opportunities for faculty to test ideas and concepts developed in their own work. Often, sharing scholarly activity with colleagues on the campus functions as a stimulus to fellow faculty. Since professional development is a lifelong task, sustained effort in this area of involvement is needed. A detailed description of the three components of scholarly activity follows:

**Research** for the purposes of this discussion will be categorized as discipline, applied, and pedagogical. The first orients toward new knowledge, the second toward the utilization of that new knowledge, and the third toward methods of teaching and learning. Discipline research is that activity which is carried out with the deliberate intent of extending the frontiers of knowledge in a particular academic discipline. Little attention is given to the applicability or practical use of possible discoveries. Applied research is activity that is carried out with the deliberate intent of solving a specific problem in an immediate time frame. The focus of the activity is the applicability of the research to a well-defined, real-life need. Pedagogical research is activity which explores the merits of one educational approach to instruction over another approach, under what conditions students learn best, how educational material may be organized to enhance the learning process, investigations of the degree to which curricula meet the requirements they have designed to meet, etc. The sharing of the results of research, as outlined later in this paper, is an integral part of the research process. The responsibility to communicate the results of research to assist colleagues, as well as to validate findings, is the task of the faculty member. The responsibility to support and facilitate research efforts on the part of the faculty is the task of the academic administrator.

**Scholarship** is an activity that refers to updating and extending an area of study within the professional life of the faculty member. University professors must be constantly alert to new and innovative directions in their disciplines if their leadership in the classroom is to be truly effective. It is this kind of activity that frequently spells the difference between professors who are inspiring and creative in the role as teacher and those who only continue to use notes on aging yellow pages. Faculty engaged in scholarship are those who take advantage of the opportunities to remain viable and active in their particular areas of specialty. The development and sharing of ideas; the conception and implementation of new and creative instructional materials; participation in conferences, conventions, workshops, professional meetings; and the publication of articles and monographs in areas other than research are samples of such activities.

**Creative endeavor** refers to the result of the production of creative work by faculty. Creative endeavor is most easily identified when associated with the performing arts (theatre, music, dance) and the fine arts (two- and three-dimensional art, writing). It is also most appropriate to apply it in the area of applied arts (architecture, graphics and printing, design, decorating). Creative endeavor involves not only the creation of a tangible product, but the subjection of that creative piece to judgment by public and peers through the vehicle of performance, show publication, display, or exhibit. There is some overlap area of scholarship. For example, an article dealing with the impact of carbon steel by its inventor could be classified as creative endeavor.

*Senate Approval: Mar. 20, 1991 (R91-3-2)*

**Source:** \*THE CORE OF ACADEME: Teaching, Scholarly Activity, and Service, published by the American Association of State Colleges and Universities; James E. Gilbert, President, East Stroudsburg State University, and the staff at Pittsburgh State University (KS) originated this statement (May 30, 1987).

### **Policy On Scientific Misconduct In Research**

In accordance with regulations outlined by the National Science Foundation at 45 CFR 689 and Public Health Service regulations at 42 CFR Park 50, Subpart A, which took effect on June 25, 1995, Western Connecticut State University has adopted a Policy on Scientific Misconduct in Research.\* This policy complies with the mandate that requires grant applications and recipients of research, research-training, or research-



related grants or cooperative agreements must have established administrative policies for responding to allegations or research misconduct and certifies that the institution will comply with these policies.

A copy of the WCSU Policy on Scientific Misconduct in Research is available from the office of the Director of Grant Programs.

*Adopted by University Senate: May 10, 1995 (R-95-5-1)*

#### **Policy On Conflict Of Interest Pertaining To Sponsored Projects**

In accordance with regulations outlined by the National Science Foundation and Public Health Service Regulations (42 CFR, Part 50), which took effect on June 25, 1995, Western Connecticut State University has adopted a Policy on Conflict of Interest Pertaining to Sponsored Projects.\* This policy mandates that an institution which receives or applies for an NSF and/or PHS research, research training, or research-related grant or cooperative arrangement must have an established institutional policy to avoid actual or potential conflicts of interest between faculty members' outside interests and Federally funded research by those agencies.

A copy of the WCSU Policy on Conflict of Interest Pertaining to Sponsored Projects is available from the office of the Director of Grant Programs.

*Adopted by University Senate: May 10, 1995 (R95-5-2)*

## Academic Leave Procedures for Faculty

### **I. Notification**

Faculty members will be reminded by the Provost/Academic Vice President of the date by which sabbatic leave applications must be submitted (see III. 1.-2. below).

### **II. Eligibility**

Eligibility shall be determined in accordance with the applicable collective bargaining agreement or Board of Trustees resolution.

### **III. Application**

A. Faculty members may apply for academic leave by completing the application form.

1. By September 28, submit seven (7) copies of each application to the chairperson of the Academic Leave Committee.
2. By September 28, submit one (1) copy of each application, with the proper review forms attached, to each of the appropriate persons listed below.
  - a. Teaching Faculty—to the Department sabbatical leave committee and/or Chairperson and the Dean of the School.
  - b. Librarians—to the Library sabbatical leave committee and/or Spokesperson and the Director of Library Services.
  - c. Counselors—to the Counselor sabbatical leave committee and/or Spokesperson, the Director of the Counseling Center, and the Dean of Student Affairs.
  - d. Administrative Faculty—to the immediate Supervisor and the appropriate management personnel.
3. The time sequence for completing the review follows:
  - a. By October 15th, Chairpersons, Spokespersons, Directors, and Supervisors shall submit written reviews of applications to the:
    - (1) Applicants.
    - (2) Chairperson of the Academic Leave Committee.
    - (3) The appropriate Dean, Associate Dean, or Director of Library Services.
  - b. By November 1, the Deans, Associate Deans, and the Director of Library Services submit written reviews of applications to:
    - (1) Applicants.
    - (2) Chairperson of the Academic Leave Committee.

B. In extenuating circumstances, an application for sabbatic leave may be submitted two (2) years in advance because of the required time and/or funding commitments. Documentation of the need for an early decision must accompany the application so the Academic Leave Committee may present a rationale for recommendations to the University President.

### **IV. Review Procedures**

A. Academic Department, Librarian Group, Counselor Group: Each application review shall be completed by the entire department or special committee elected by the department in accordance with its bylaws. The department review must be completed in accordance with the criteria stated in the Review of Sabbatic Leave form.

B. Administrative Faculty: Each application review shall be completed by the appropriate supervisor or director and must be in accordance with the criteria stated in the Review of Sabbatic Leave form.

C. Deans or Directors: Each application review shall be completed by the appropriate Dean or Director and must be in accordance with the criteria stated in the Dean's or Director's Review of Sabbatic Leave form.

D. An applicant may make a request to appear before the Committee to discuss his/her application. This request must be made to the Chairperson of the Committee within one (1) week of receiving the Dean's recommendation.

E. By December 15, the Academic Leave Committee's recommendations will be submitted to the University President and each applicant will be notified of the committee's recommendation regarding his/her proposal.

F. In January, the Board of Trustees acts upon the President's recommendations.

### **V. Disposition Of Academic Leave Applications**

A. Upon completion of its deliberations, the Academic Leave Committee will submit to the University President copies of all material used in its deliberations along with its recommendations.

B. Committee members will destroy all remaining copies of the applications and other materials used in their deliberations.

C. The President will file the applications and related material in the personnel folder of each applicant.

Form: Application For Sabbatic Leave For Faculty

Form: Department, Library Faculty, or Counseling Center Review of Sabbatic Leave Proposal

Form: Dean or Director's Review of Sabbatic Leave Proposal

*Revised: Aug. 1984; Mar. 1985; Sept. 1988*  
*Senate Approval: Nov. 16, 1988*  
*Admin. Approval: Jan. 2, 1990*  
*Senate Approval: Apr. 26, 1991 (R91-4-8)*  
*Admin. Approval: May 15, 1991*



## Application For Sabbatic Leave For Faculty

Refer to Sabbatic Leave Procedures in the Faculty Handbook for instructions concerning completion and processing of this Sabbatic Leave Application and the attached Review forms. This application must be submitted by September 28th.

Names of Applicant \_\_\_\_\_ Date \_\_\_\_\_ 201\_\_

Academic or Administrative \_\_\_\_\_  
Rank \_\_\_\_\_ Department \_\_\_\_\_

Duration of Leave requested (half year at full pay or full year at half pay) \_\_\_\_\_

Inclusive Dates: From \_\_\_\_\_ 201\_\_ To \_\_\_\_\_ 201\_\_

Length of Service in CSU \_\_\_\_\_

Previous Sabbatic Leaves and Date \_\_\_\_\_

If previous sabbatic leave has been granted, attach a copy of the written statement as referenced by the Academic Leave Bylaws section III.D.1 and the AAUP contract article 13.7.

Applicant should realize that this form is the main document used by the Academic Leave Committee. Application should be prepared in detail and with care and include the following;

1. Nature of the project.
2. Specific goals to be accomplished.
3. Evidence of specific knowledge and skills necessary to achieve stated goals (including curriculum vitae, if relevant).
4. Facilities necessary to achieve stated goals.
5. Professional contact for the project.
6. Appropriate itinerary if travel is an integral part of the project.
7. Potential benefit of this project to the University.

Other material may be included if applicant so desires. Attach additional pages and material to this application.

*Revised: Aug. 1984; Mar. 1985; Sept. 1988  
Senate approval: Nov. 16, 1988  
Admin. Approval: Jan. 2, 1990  
Senate Approval: Apr. 26, 1991 (R91-4-8)  
Admin. Approval: May 15, 1991  
Revised Senate: R-09-03-05  
Admin. Approval 7/14/09*

Department, Library Faculty, or Counseling Center Review of Sabbatic Leave Proposal

In this review, consideration should be given to the professional merits of the proposal, the value to the unit and the impact of the applicant's absence on the unit. If the proposal is primarily for retraining, please comment upon its appropriateness and the benefit of the proposal to the unit.

By October 15th, one copy of the review must be sent to the applicant, seven copies to the Chairperson of the Academic Leave Committee, and one to the appropriate Dean or Director.

Signature \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_

*Revised: Aug. 1984; Mar. 1985; Sept. 1988  
Senate Approval: Nov. 16, 1988  
Admin. Approval: Jan. 2, 1990  
Senate Approval: Apr. 26, 1991 (R91-4-8)  
Admin. Approval: May 15, 1991*

## Dean or Director's Review of Sabbatic Leave Proposal

In this review, taking into account the department's review of the application, consideration should be given to the impact on staffing within the applicant's unit and the potential benefit of the proposed project to the University. By November 1, one copy of this review must be sent to the applicant and seven copies to the chairperson of the Academic Leave Committee.

Signature \_\_\_\_\_

Date \_\_\_\_\_ 20\_\_

*Revised: Aug. 1984; Mar. 1985; Sept. 1988**Senate Approval: Nov. 16, 1988**Admin. Approval: Jan. 2, 1990**Senate Approval: Apr. 26, 1991 (R91-4-8)**Admin. Approval: May 15, 1991*

## Faculty Retraining Grants

Faculty retraining grants may be used for tuition, books, travel and related expenses. Retraining must be in areas deemed useful to the University as determined by departments or administration. All grants must be approved by the University President or his designee and the CSU-AAUP. Although retraining monies cannot be used to support salaries or reassigned time, they may be used in conjunction with a sabbatical or professional leave applied for separately.

All full-time members of the faculty, as defined by the Collective Bargaining Agreement between the American Association of University Professors and the Connecticut State University, are eligible to apply.

Applications for grants to be used in connection with an academic leave must be submitted to the Chair of the Academic Leave Committee by November 1st. Other applications will be processed by the committee as they are submitted. Proposals will be judged as highly recommended, recommended, or not recommended. Applicants will receive a copy of the recommendation as transmitted to the President. Following this transmittal, the faculty member should contact the Academic Vice President to negotiate the actual level of funding.

In preparing the application, the following points should be included:

1. The academic or administrative area in which the retraining is expected to be used.
2. The specific departmental or administrative need at Western Connecticut State University to be met by the new skills and knowledge.
3. The reason the proposed activities are appropriate for meeting the needs as stated in No. 2 above.
4. If possible, previous experience in the new area and/or evidence of the likelihood of success in the new field.

[Form: Faculty Retraining Grant Application](#)

*Academic Leave Committee: Nov. 1983  
Revised: Mar. 1985*

Date Submitted 20

Department \_\_\_\_\_

**L** Activity to be engaged in including the location and dates.

### Tuition

## Travel

**Related Expenses** (enumerate using a separate sheet)

TOTAL \$

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins or other markings visible.

Date \_\_\_\_\_ 20\_\_\_\_

*Comments of the Dean or other administrator may be attached.*

Date 20

Date \_\_\_\_\_ 20\_\_\_\_





## Faculty Development Funds

Under the terms of the CSU-AAUP contract, Article 9.6 and 12.10.1, a specified amount of money must be allocated annually for faculty development, "which shall be construed broadly to mean activities by and for members that enhance their ability to be productive and innovative professionals." In view of other funding sources for research (CSU/AAUP research grants) faculty development fund applications should not directly relate to the carrying out of research, nor be for the purpose of purchasing materials. AAUP Travel Funds for faculty members are also available from the Deans of the Schools, and should be seen as a first source for conference attendance and professional presentations. Such requests will be considered for Faculty Development Funds, after Travel Funds are depleted, but will receive lower priority.

### I. Notification

Notification of available funds shall be published by the Provost/Vice President for Academic Affairs on the Academic Planning Calendar. Application forms are in the Faculty Handbook and are also available in the office of the Director of Grant Programs.

### II. Application

Funding is available for all members of the AAUP/CSU faculty bargaining unit as defined in the contract; this includes 10% of the funds being allocated for part-time faculty. Priority will be given to activities which support the spirit of learning and enhance teaching expertise.

A maximum of \$1,200 may be granted to any individual full-time faculty member and \$750 to any individual part-time faculty member. The Faculty Development and Recognition Committee believes that funds should be available to many individuals, so prior use of the Fund as well as merit of activity will be considered. In cases where the dollar total for approved applications exceeds available funds in a given funding period, preference will be given to applicants who have not been awarded full funding in the previous fiscal year." Applications for "in-house" workshops do not have a specified maximum funding level, but will be reviewed on the basis of merit and numbers of individuals across the University community who will benefit from the workshops. Proposals from AAUP members may be cosponsored with non-members.

Applications will be accepted and reviewed in the following time frame:

#### Application Deadline

September 1, 2017  
November 17, 2017  
February 23, 2018  
April 20, 2018

#### Planned Activity

October 1 – December 31, 2017  
January 1 – March 31, 2018  
April 1 – June 30, 2018  
July 1 – September 30, 2018

Applications submitted after these deadline dates will not be considered. Applications for funds are to be made on the prescribed form, which is available online in the Faculty Handbook. An electronic, PDF copy of the application is to be submitted to the Faculty Development and Recognition Committee, c/o the Provost/Vice President for Academic Affairs at [cunninghami@wcsu.edu](mailto:cunninghami@wcsu.edu).

### III. Committee Actions

The Faculty Development and Recognition Committee will review all proposals received and make recommendations concerning the allocation of funds to the Provost/V.P. for Academic Affairs based on consideration of the above factors, the expected benefit to the University community, and the amount of money available. The Committee will inform each applicant of the recommendation made in regard to each proposal.

### IV. Faculty Recognition Ceremony

This is an annual event that acknowledges the professional achievements of the members of the University community. If you would like to participate, please use the form on the following pages of the Faculty Handbook.

[Form: Application for Faculty Development Funds](#)

Application for Faculty Development Funds  
(All applications must be on this form.)

NAME \_\_\_\_\_ Date \_\_\_\_\_

DEPARTMENT \_\_\_\_\_

This summary information must be filled out on cover sheet. **Applications will not be considered if all information outlined below is not complete.**

1. Total amount of funds requested \$ \_\_\_\_\_  
(Maximum \$1,200 for full-time and \$750 for part-time)
2. Date of proposed use of funds: \_\_\_\_\_
3. Activity/purpose of funding request: \_\_\_\_\_

Please provide the following information in an attachment.

- A. Clearly describe the nature of the project and how you anticipate it will improve WCSU and your professional life: as classroom teacher at WCSU (e.g., identify specific courses or methodologies), scholar, or provider of public service and/or information to others. Proposals must include any printed material that relates to the project.
- B. All project expenses must be identified on a WCSU *Request for Professional Travel Worksheet*. Proposals must include supporting documentation for any of the expenses listed on the WCSU *Request for Professional Travel Worksheet*: fees, travel, lodging, meals and other costs. The worksheet is located at [www.wcsu.edu/travel](http://www.wcsu.edu/travel). Travel Authorization forms should not be submitted and/or substituted for this worksheet.
- C. Clearly state the time schedule for this project and plans for coverage of campus responsibilities.
- D. Have you applied for or received any other funding for this activity? If yes, from which source and for what amount? If no, please state reason for not applying or reason for denial.
- E. Submit one (1) electronic, PDF copy of all materials to the Faculty Development and Recognition Committee, c/o the Provost/Vice President for Academic Affairs at [cunninghamj@wcsu.edu](mailto:cunninghamj@wcsu.edu).

Signature of Applicant \_\_\_\_\_

Signature of Department Chairperson \_\_\_\_\_

(The signature of the Chairperson is not related to an evaluation of the project; it simply indicates knowledge by the Chairperson that the application has been made.)

Revised March 2004  
Revised Sept. 2006  
Revised Aug. 2007  
Rev. Senate Approv. R-10-03-03  
President Approv. 6/15/10

## Reassigned Time for Research

Under terms of the CSU-AAUP contract specified minimum credit hours of faculty load must be reassigned for research for each semester. All members of the bargaining unit are eligible to apply. No individual may be awarded more than six (6) credit hours of reassigned time for one semester. The term "research" is intended to be broadly interpreted. (See definition of Faculty Scholarship under University Policy and Procedures in Faculty Handbook).

### **I. Notification**

Notification of the deadline for submission of applications for either or both semesters of the following academic year will be published on the Academic Planning Calendar by the Provost/Vice President for Academic Affairs at the beginning of the Fall term.

### **II. Application**

Application deadline is November 6. Faculty members may apply for reassigned time by using the prescribed application form, a copy of which follows. The applicants may request reassigned time for more than one semester. Please print, sign, scan, and submit an electronic copy of this application and all related materials to the Research & Development Committee, c/o the Administrative Assistant to the Provost and Vice President for Academic Affairs ([cunningham@wcsu.edu](mailto:cunningham@wcsu.edu)) by close of business on November 6. The chair of your department should be copied on this email. Late applications cannot be accepted. You must use the application form found in the current Faculty Handbook, which is available through the WCSU webpage at [http://www.wcsu.edu/faculty staff/handbook](http://www.wcsu.edu/faculty%20staff/handbook). Outdated application forms will not be accepted.

### **III. Committee Actions**

The Research and Development Committee will review the applications received and make recommendations using the following criteria:

- A. The nature of the research question, the premise of the creative work, or the rationale for the instructional or curricular research project, which must be clearly stated.
- B. The applicant should give evidence of specific knowledge and skills necessary to execute the project.
- C. The applicant should indicate that the facilities and resources necessary to complete the project are available.
- D. The applicant should indicate how the project will contribute to the body of research, creative or pedagogical knowledge in the applicant's discipline.
- E. The Research and Development committee
  1. requires a current curriculum vitae which includes publications and/or presentations as well as a listing of previously University-funded projects.
  2. will submit its recommendations to the University provost or his/her designee.
  3. will inform each applicant of the recommendation made in regard to his/her application

### **IV. Administrative Action**

The University Provost or his/her designee will notify successful applicants regarding reassigned time awarded.

### **V. Report(S)**

A summary of the results of a reassigned time award shall be submitted to the Research and Development Committee by the end of the first week in September after the reassigned time was awarded. Submission of a final report is required for consideration of future Reassigned Time For Research awards.

[Form: Application For Reassigned Time For Research](#)

*Spring 1988; Rev. Spring 1990, Sept. 1992, Feb. 1998  
 Rev. Senate Approval: (R-05-02-06), 3/16/05  
 Admin. Approval: 4/19/05  
 Rev. Senate Approval: R-06-04-02  
 Admin. Approval: 9/6/06  
 Revised Senate Approval: R-09-05-04  
 Admin. Approval: 7/14/09  
 Revised Senate Approval: R-12-10-02  
 Admin. Approval: 10/22/12*

# Application for Reassigned Time for Research

When completed, select "Save Copy As" to save the completed PDF.

Name \_\_\_\_\_ Date \_\_\_\_\_

Rank \_\_\_\_\_ Department \_\_\_\_\_

Reassigned time **requested** (not more than six[6] credit hours per semester)

**Please note:** Each credit hour equates to a minimum of 45 hours of research time during the semester requested.

Semester \_\_\_\_\_ Year \_\_\_\_\_ Credit Hours \_\_\_\_\_

Semester \_\_\_\_\_ Year \_\_\_\_\_ Credit Hours \_\_\_\_\_

## Application Requirements:

### A. Previous request.

If you have been granted reassigned time for research, please submit the following information:

1.

Semester	_____	Year	_____	Topic	_____	Credit Hours	_____
Semester	_____	Year	_____	Topic	_____	Credit Hours	_____

2. Is the current project directly related to your previous work during that re-assigned time? ☐ Yes ☐ No

If yes, please discuss the similarities or differences from your previous work (please attach separately.)

### B. Because of limited reassigned time for research, it is important that the Review Committee have the following information. Please indicate "yes" or "no". You may wish to elaborate on appropriate items.

<input type="checkbox"/> Yes	<input type="checkbox"/> No	1. My project has been worked on in a previous sabbatical leave and/or leave of absence.
<input type="checkbox"/> Yes	<input type="checkbox"/> No	2. I have applied for other funding for reassigned time (if yes, please indicate: Source _____ number of credit hours _____)

### In a separate document, please provide the following:

### C. Present a clear statement, in layman's terms (with the idea that people outside your discipline will need to understand) of the following:

1. The research question(s), hypothesis(es), or objective(s)
2. Discuss the rationale or basis for the creative work

### D. Identify the relevance or contribution to:

1. The body of research
2. Creative or pedagogical knowledge in your discipline
3. Your area of teaching and your students

### E. Supporting documents:

1. A curriculum vitae which includes publications and/or presentations, as well as a listing of previously University-funded projects
2. Knowledge and skills necessary to execute the project (e.g., documentations of your previous work and/or study in the subject area)
3. Indicate that the facilities and resources necessary to complete the project are available

F. Please print, sign, scan, and submit an electronic copy of this application and all related materials to the Research & Development Committee, c/o the Administrative Assistant to the Provost and Vice President for Academic Affairs (cunninghamj@wcsu.edu) by close of business on November 6. The chair of your department should be copied on this email.

Chair Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### Supplementary Laboratory (Workload) Credits

The CSU-AAUP Collective Bargaining Agreement allows faculty to request additional/supplementary laboratory workload credit 'up to one quarter load credit for each class hour of each laboratory selected.' Areas for consideration could include sciences, technical lab, physical education, psychology, fine arts, etc.

**Procedure:** Individual faculty members should request consideration (and submit justification) in writing from the chairperson by March 15; chairs will submit recommendations to the appropriate Dean by March 25. In turn, the Dean will submit recommendations to the Academic Vice President by March 29. Awards will be made by April 12, for the following year.

## Summer Curriculum-Related Activities

The Collective Bargaining Agreement provides for stipends during the summer for curriculum-related activities. Individuals should address their requests to the Dean. Faculty deadline is March 1. The Dean must submit requests to the Academic Vice President by March 6. An advisory group composed of up to three members from CUCAS and up to three members from the Graduate Council, with at least one representative from each school, will then review the proposals. Faculty who are awarded stipends for summer curriculum-related activities must submit a brief report to the Committee on Undergraduate Curriculum and Academic Standards and the Graduate Council in the Fall semester following completion of activities.

The basic guidelines used by the Committee on Undergraduate Curriculum and Academic Standards in reviewing summer curriculum-related activities shall include: (1) the proposals should be for curriculum development (development of courses and programs) and not for training, assessment, or promotion of programs; (2) funds can go only to full-time members of the AAUP Collective Bargaining Unit in accordance with that agreement (Article 9.11); (3) preference is given to new curriculum development over revising existing courses; (4) preference is given to those who had not received funds in recent years over those who had recently received funds; and (5) faculty who fail to file a report will not be considered for funding until such report is filed.

*Senate approval: Oct. 20, 1993 (R93-10-3)*

*Admin. Approval: Dec. 13, 1993*

*Rev. Senate: (R-05-04-02)*

*Admin. Approval: Sept. 16, 2005*

*Rev. Senate: R0-6-04-05*

*Admin. Approval: 9/6/06*

**Please answer the following questions. Please keep your response to no more than two pages. You are to submit your proposal to your Dean by March 1st.**

1. *What is the title of your proposal?*
2. *How many credits are you requesting?*
3. *What is the primary purpose of your proposal?*
4. Briefly explain which of the following your proposal addresses and how?
  - a. New Curriculum Proposal
  - b. Revision of existing program or existing courses
5. Describe your proposal in detail. Include your rationale for the proposal and why this work is needed. Include the goals of the proposed program or courses.
6. What are the goals you plan to accomplish this summer?
  - a. What will be the schedule of your work plan?
  - b. What will be the output from this activity?
 Describe this in detail.
7. When do you plan to implement your program or course(s)?

Previous  
funding

Have you ever received funding for Summer Curriculum-Related Activities? Yes\_\_\_ No\_\_\_

When was the most recent time you received funding?

Report on  
funding

Following funding, did you file a report on your activities with the Provost and Chair of CUCAS at the completion of these activities?

Provost: Yes\_\_\_ No\_\_\_

Chair of CUCAS: Yes\_\_\_ No\_\_\_

At the completion of this activity you are required to file a report with the Provost and Chair of CUCAS. Please include an assessment of how your goals for the proposal/funding were met.

*Senate Approved R-12-05-02*  
*Administrative Approval 5/10/12*

### Instructional Load-Outside Teaching Employment

Members shall not accept outside teaching employment during the Fall and spring Semesters with any other higher education institution without the express written approval of the President. (CSU-AAUP Collective Bargaining Agreement). Effective in the Fall 1991 Semester, requests to teach will only be approved when the proposed arrangement would be of demonstrable benefit to both the faculty member and the University.

The [Request for Approval Form](#) must be completed.

## Request for Approval to Accept External Teaching Employment During the Fall or Spring Semester

Please type or print in ink. After presidential action, a copy of this form will be returned to the Provost/Academic Vice President, Dean, Department Chair, faculty member and a record copy sent to the Human Resources Office.

Faculty  
Member

Department

Phone

Extension

Semester of proposed teaching:

Name:

Address:

Telephone:

**Description of Teaching Assignment:** Requests to teach will only be approved when the proposed arrangement would be of demonstrable benefit to both the faculty member and the Connecticut State University (see CSU-AAUP Collective Bargaining Agreement).

Course: Level:

*Please attach a written description of the teaching assignment to this form.*

Faculty Member's Signature:

Date: 20

Comments, if any, by Department Chair:

Department Chair's Signature:

Date: 20

Comments, if any by Dean:

Dean's Signature:

Date: 20

Provost/Vice President's Signature

Date: 20

Presidential Action: ☐ Approved ☐ Disapproved

President's  
Signature:

Date: 20

*For copy distribution see above.*



### Conference and Workshop Funds

Funds may be appropriated for the purposes enumerated under the CSU-AAUP Collective Bargaining Agreement for full-time members with at least one semester of service for attendance at professional seminars, workshops or conferences. Each full-time member shall normally be allowed up to \$1200 reimbursement per contract year toward the cost of fees, travel, food and lodging related to attendance at such events, provided such travel is approved in advance. Requests for travel funds must be submitted to the appropriate Dean at least five weeks in advance.

REQUEST FOR FACULTY CREDIT FOR FACULTY DEVELOPED COURSE

**DUE DATE:** DECEMBER 15TH for Spring  
MAY 15th for Fall

FACULTY MEMBER: \_\_\_\_\_  
(please print)

STUDENT ELIGIBILITY: \_\_\_\_\_

\_\_\_\_\_  
(please print)

TOPIC TITLE (and brief description): \_\_\_\_\_

\_\_\_\_\_

Student Semester Hours: \_\_\_\_\_ Number of Semester Hour Credits for Faculty Member: \_\_\_\_\_

Course Scheduled (Day, Time and any Special Needs): \_\_\_\_\_

Approval Recommendation of Academic Department:

APPROVE \_\_\_\_\_ DISAPPROVE \_\_\_\_\_  
(Date) (Date)

\_\_\_\_\_  
(Signature of Department Chairperson)

\_\_\_\_\_  
(Signature of School Dean)

If approved, this will be credited to faculty as in Item 2 of the CBA Letter of Agreement for Specialized Workload Assignments.

**TO BE COMPLETED BY REGISTRAR'S OFFICE OR GRADUATE OFFICE:**

Received and Processed/Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Submit a copy of the FDC course proposal with this form. The proposal should include: 1) FDC topic title and short description of the course, and 2) FDC course syllabi including grading criteria. After the required signatures are obtained on this form, file the form with either the Registrar's Office (UG) or the Division of Graduate Studies Office (G) OM 206

## Human Subjects and Vertebrate Animals

All research and instructional activities that involve human subjects and/or vertebrate animals must have prior review by the appropriate review panel on campus. Western Connecticut State University has adopted the policies and guidelines of the Office for the Protection from Research Risks of the Department of Health and Human Services, U.S. Public Health Service.

### Human Subjects

The Institutional Review Board (formerly the Human Subjects Review Committee) is the designated Institutional Review Board for instructional activities and research projects—unfunded as well as sponsored—that involve the participation of humans as research subjects. The requirement to adhere to procedures to protect human subjects extends to students as well as faculty and non-instructional personnel.

Certain categories of research may be declared exempt from the regulations, or may be eligible for expedited review by the Committee. Both exempt and expedited categories of research require the completion of a research protocol and a completed WCSU HUM-1 form. Approval to conduct research and/or instructional activities in the exempt or expedited categories will be decided by the Chairperson of the IRB or his/her designee(s) and the Director of the Office of Sponsored Research Administrative Services.

Claims for exemption may be requested for such types of activities as normal educational practices (comparison of instructional techniques), educational tests (aptitude, achievement), survey or interview procedures (questionnaires with no identifying information requested), observation of public behavior, and collection of existing data (records, pathological specimens).

### Student Projects

Projects that are carried out by students as class assignments *in the exempt category only* may be reviewed by the instructor and department chair on a one-page abbreviated form. Students who assist a faculty member with his/her research projects should not use this form. This form should be forwarded to the Director of the Office of Sponsored Research Administrative Services for information purposes.

### Vertebrate Animals

University policy requires prior approval by the Institutional Animal Care and Use Committee (IACUC) of all research, training, and biological testing—whether funded or unfunded—using vertebrate animals, whether conducted at the University or at another institution as the result of subcontracting.

Information and forms to request permission to use human subjects and/or vertebrate animals may be obtained from the Director of Grant Programs, the Chairperson of the Institutional Review Board, or the Chairperson of the IACUC. They are also contained in the Faculty Handbook.

### Procedures Research With Human Subjects

Procedures for filing an application for human subjects approval with the WCSU Institutional Review Board (IRB) can be found updated at the IRB website, <http://www.wcsu.edu/irb/>

The WCSU IRB Research Application Guide contains complete instructions for submitting a Research Application. All necessary documents can also be found on the website, including:

- The HUM-1 Form
- The WCSU Informed Consent Guidelines
- Approval Form for Undergraduate Student Research Involving Human Subjects
- Information on available Human Subjects Training through the CITI program
- List of Frequently Asked Questions

[Form: Use of Human Subjects in Research Memorandum](#)

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Use of Human Subjects in Research Memorandum

**TO:** All Members of the Faculty  
**FROM:** Chairperson, Institutional Review Board (formerly Human Subjects Review Committee) and  
Director of Grant Programs  
**DATE:** \_\_\_\_\_ 20\_\_\_\_  
**SUBJECT:** Use of Human Subjects in Research

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We attach hereto an abstract of the University's Multiple Project Assurance, in accordance with the guidelines published by the Office of Protection Against Research Risks of the National Institutes of Health of the Department of Health and Human Services. Please keep this copy for reference. Copies of the Code of Federal Regulations (45CFR36-Revised 3/8/83) are available in the Office of Grant Programs.

The Institutional Review Board (formerly the Human Subjects Review Committee) has responsibility for monitoring all research involving human subjects, whether funded or not. The IRB has adopted the following plan to assure maintenance of records of experiments involving humans. The purpose of these records is to provide written assurance that the rights of the subjects are respected and that the risk of physical, social and psychological injury is minimal. Reiteration of the following procedures at this time does not signify dissatisfaction with present treatment of human subjects, but rather the perception of the need for a written record which will substantiate the facts and, at the same time, avoid unnecessary paperwork.

## Human Subjects Research Review Form (Hum-1)

Proposal # \_\_\_\_\_

WESTERN CONNECTICUT STATE UNIVERSITY  
Human Subjects Research Review Form (Hum-1)**Information**

Principal Investigator(s) \_\_\_\_\_

If the PI is a student, Faculty Supervisor: \_\_\_\_\_

Project Title: \_\_\_\_\_

Department \_\_\_\_\_

Address (Where the reviewed application should be sent): \_\_\_\_\_

E-mail \_\_\_\_\_

Phone number: \_\_\_\_\_

Is this grant funded? YES NO If yes, Grant agency: \_\_\_\_\_

**I. Purpose of IRB Review**

The role of the WCSU Institutional Review Board (IRB) is to review and to approve, when in compliance, all proposed research at WCSU or by WCSU faculty, staff or students to ensure that the research meets Federal standards for the safety and protection of any human subjects involved in the research.

The WCSU IRB operates in compliance with the U.S. Code of Federal Regulations, Department of Health and Human Services (DHHS) Title 45 Part 46, entitled, "Protection of Human Subjects." A link to the DHHS regulations may be found on the WCSU IRB website. WestConn's IRB is registered with the Office of Human Research Protections (OHRP) and has an approved assurance from OHRP (Federalwide Assurance or FWA).

The IRB is responsible for determining that:

- The rights and welfare of the subjects are adequately protected
- The risks to subjects are outweighed by the potential benefits of the research
- The selection of subjects is equitable
- Informed consent will be obtained and, when appropriate, documented

To help the IRB fulfill its role, WCSU requires all researchers to submit their research protocol for review and approval. All applications must include the completed HUM-1. The human subjects research application you submit must describe the research activity, including a protocol, and especially the plan for ensuring the protection of human subjects (please refer to the **Research Application Guide** for complete instructions).

The WCSU IRB is unlikely to reject an application without first discussing its concerns about the research with the investigator. However, applications may be deferred for review at another meeting if substantial issues need to be resolved. Researchers are encouraged to attend the regularly scheduled IRB meetings at which their application will be considered in order to address any concerns directly. You will be informed of the IRB's decision regarding your application as expeditiously as possible. Failure to submit applications for review by the published deadlines may result in a delay in the review process. It is required that researchers ensure that their application is submitted by the first of the month in which the next IRB meeting is scheduled.

**II. Application for IRB Review Checklist**

Before submitting your research application for review by the IRB, please make sure the following steps have been completed.

1. Ensure that everyone involved in the research has completed WCSU IRB human subjects research training requirements (including researcher, student's instructor, research assistants and department chair). If you have any questions concerning whom should complete human subjects research training, please contact the Office of Grants and Research for guidance.

Attach human subjects research training certificates for all such research personnel to your application.

WCSU is part of the Collaborative Institutional Training Initiative (CITI) program. You can sign up for and complete CITI human subjects training via the link on the WCSU IRB website <http://www.wcsu.edu/irb/> Information about this training is provided in the Frequently Asked Questions link on the IRB website.

2. Indicate the category under which you believe your study should be reviewed. There are three choices. See the **WCSU IRB Guidelines for Researchers** (pages 6-11) to determine the requirements for each category.

Is this a new research project? YES NO

If so, are you applying for?

- ☐ Exempt Review  
☐ Expedited Review  
☐ Full Review

Is this research a Continuation of previously reviewed research? YES NO

Is this research a Modification of previously reviewed research? YES NO

3. Submit a Research Application (see the WCSU IRB Research Application Guide).

4. Attach to your application any survey or questionnaire instruments that will be given to subjects, or any protocols describing assessments to which they will be subjected. When an instrument must be purchased or is not yet available, you may describe the instrument in lieu of attaching a copy.

**\*\*Note:** You must cite the source for any instruments you are using if they have been developed by others.

5. Attach your Informed Consent Form, or an explanation of why the signed Informed Consent requirement can be waived (see the **WCSU IRB Informed Consent Guidelines**).

### III. Signatures

The principal investigator must sign this form. If the P.I. is a student, his/her faculty supervisor must also sign.

**Assurance of continued compliance with regulations regarding the use of human subjects.**

I certify that the information provided in this application is accurate. If the procedures for obtaining consent of subjects change, or if the risk of physical, psychological, or social injury to the research subjects increases, or if there should arise unanticipated problems involving risk to subjects or others, I shall promptly report such changes to the Institutional Review Board. I shall report promptly any unanticipated injury to or harm of a subject to my Department Chair and to the Institutional Review Board.

Principal Investigator's Name \_\_\_\_\_

Principal Investigator's Signature \_\_\_\_\_ Date \_\_\_\_\_

Faculty Supervisor's \_\_\_\_\_ Date \_\_\_\_\_

Name and Department

Faculty Supervisor's Signature \_\_\_\_\_ Date \_\_\_\_\_

(if PI is a student)

### Committee Action:

- ☐ Approved through exempt review  
☐ Approved by full committee review  
☐ Approved through expedited review  
☐ Not approved; clarification/modification required

IRB Chair's Signature \_\_\_\_\_ Date \_\_\_\_\_

Rev. 6/10

## Assurance Of Compliance With HHS Regulations For Protection Of Human Subjects

**Abstract****I. Statement of Applicability, Principles and General Policies****A. Applicability**

1. All research sponsored by the University is covered by the Assurance
  - a. Certain categories of research may be declared exempt from the regulations of eligible for expedited review by the Institutional Review Board (IRB).
  - b. Declaration of exempt or clearance for expedited review requires
    - i. complete research protocol, and
    - ii. a completed Western Connecticut State University HUM-1 form, and
    - iii. an Informed Consent form.
2. Exempt and expedited review will be provided by the Chairperson of the Research and Development Committee or designee and the Director of the Office of Sponsored Research Administrative Services.

**B. Ethical Principles**

1. The University must be in full compliance with Title 45, Part 46 of the Code of Federal Regulations. A copy of the Regulations is on file in the Office of Sponsored Research Administrative Services.

**C. Institutional Policy**

1. Informed consent is required of all human subjects, unless such consent is altered or waived by the IRB.
  - a. Conditions of waiver or modification of written consent include (45 CFR 46.116, 46.117)
    - i. Declaration of exemption
    - ii. Minimal risk and research
      - a. in which the only record of participation is the consent document
      - b. involving "no procedures for which written consent is required outside of the research context,"
      - c. directed toward evaluation of the "Social Security Act, or other public benefit or service program" and is "subject to the approval of state or local government officials,"
      - d. which could not practicably be carried out without waiver or alteration.

**II. Implementation****A. Responsibilities of Investigators**

1. Preparation of a complete research protocol and submission of HUM-1 and Consent form to the Office of Sponsored Research Administrative Services.
  - a. The Chairperson of the Research and Development Committee or designee and the Director of the Office of Sponsored Research Administrative Services will refer to the IRB all protocols which are not exempt or processed by expedited review.
2. Investigators will comply with decisions of the Institutional Review Board (Human Subjects Research Review Committee), including alterations or supplements which may be required.
  - a. An appeal for reconsideration may be filed with the Committee if the investigator deems such action appropriate.
3. Maintain records concerning human subjects, e.g., consent, when required.
4. Report alterations in originally approved research protocol.
5. Provide information necessary for consideration by an extramural agency of a supplementary proposal, continuation of committed support, or renewal of expired support.

**B. Responsibilities of the Institutional Review board (Human Subjects Research Review Committee) concerning the use of human subjects in research.**

1. Examine all research protocols involving human subjects.
2. Approve research which satisfies requirements of the Office for Protection from Research Risks of the National Institute of Health of the Department of Health and Human Services.
3. Certify that requirements for informed consent are satisfied when required.
4. Review ongoing research projects at least annually.
5. Terminate research which is not conducted in conformity with the terms and conditions under which the protocol was approved.

Rev. 8/01

## WESTERN CONNECTICUT STATE UNIVERSITY

## Institutional Animal Care and Use Committee Review of Research Involving Vertebrate Animals

University policy requires prior approval of all research protocols involving animals. The policy applies to the use of live vertebrate animals in research, research training, or biological testing-whether funded or unfunded-conducted at this University or at another institution as a result of subcontracting or other type of collaboration.

The following plan has been adopted to assure maintenance of records which provide written assurance that all animal facilities, as well as research and training procedures, are beyond reproach and are in compliance with all applicable laws, regulations, and guidelines.

**Procedures**

**I. FUNDED RESEARCH:** Submit FORM IACUC-1 to the Director of Sponsored Research Administrative Services well before the anticipated deadline.

**II. Non-funded Research:** Includes both faculty projects and student research and instructional activities. Major advisor and departments chairs must sign for student research. Review will be prompt, and a report will be provided for the principal investigator. In certain instances, modification may be requested by the full Committee, and any changes requested must be incorporated into the final proposal.

**III. Cooperative Research:** When a project requires collaboration with another institution, e.g., hospital, the Committee must have the approval of both institutions' Animal Care and Use Committees.

**IV. Teaching:** Protocols must be filed as above.

*Please use the form IACUC-1*

*Individual faculty are responsible for the adherence to these regulations by staff and students under their supervision.*



## OFFICE USE ONLY

IACUC LOG # \_\_\_\_\_

Approval Date \_\_\_\_\_

Expiration Date \_\_\_\_\_

**WESTERN CONNECTICUT STATE UNIVERSITY**  
**Institutional Animal Care and Use Committee (IACUC)**  
**PROTOCOL FOR RESEARCH WITH ANIMALS**

**NOTE:** You **must** attach a copy of your certificate of successful completion of online training (available at <http://hsc.unm.edu/som/research/acc/iacuc.shtml>) to this form. Send the original and six (6) copies of the completed/signed form with appropriate attachments to: Office of Grant Programs, 321 Warner Hall, Western Connecticut State University, 181 White Street, Danbury, CT 06810. The form will be logged in and forwarded to the IACUC for review.

PLEASE TYPE:

**A. ADMINISTRATIVE DATA:**

Principal Investigator/Project Director: \_\_\_\_\_

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

Address signed form should be sent to: \_\_\_\_\_

Telephone: \_\_\_\_\_ Emergency: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Project Title: \_\_\_\_\_

Initial Submission ☐ or Renewal ☐ or Modification ☐ of Project Number \_\_\_\_\_

If a teaching project, what is course number: \_\_\_\_\_

If a research project, list funding source: \_\_\_\_\_ Submission Deadline: \_\_\_\_\_

Proposed Project Start Date: \_\_\_\_\_ Project End Date: \_\_\_\_\_

**B. ANIMAL REQUIREMENTS:**

Species: \_\_\_\_\_ Age/Weight/Size: \_\_\_\_\_ Sex: \_\_\_\_\_

Stock or Strain: \_\_\_\_\_

Source(s): \_\_\_\_\_

Housing Location(s)(If animals will be housed in lab or anywhere else outside the primary facility for more than 12 hours, provide building and room number.): \_\_\_\_\_

Animal Procedure Location(s): \_\_\_\_\_

Number of Animals:

			=	
Year 1	Year 2	Year 3	=	TOTAL

**C. SPECIAL CONCERNS OR REQUIREMENTS:** \_\_\_\_\_ Yes (If yes, attach response) \_\_\_\_\_ No (If no, go to Section D.) List any special housing, equipment, animal care (e.g., special caging, water, feed, or waste disposal, environmental enhancement, etc.). Solid-bottom caging, with bedding is recommended for rodents. Housing rodents on wire requires scientific justification. If laboratory personnel are primarily responsible for animal care, provide a copy of the standard operating procedures.

**D. TRANSPORTATION:** \_\_\_\_\_ Yes (If yes, attach response.) \_\_\_\_\_ No If no, go to Section E. Transportation of animals must conform to all institutional guidelines/policies and federal regulations. If animals will be transported on public roads or out of state, describe efforts to comply with USDA regulations. If animals will be transported between facilities, describe the methods and containment to be utilized. If animals will be transported within a facility, include the route and elevator(s) to be utilized. Will live animals be returned to animal facilities?

**E. PROJECT OBJECTIVES:**

1. Briefly describe in non-technical terms the aim of the project and how the project may benefit human or animal health or advance scientific understanding of biological processes or educational objectives, e.g., what do you expect it to achieve? Why is the project important? (Attach response.)
2. Only If Renewal. Briefly explain why more work needs to be done. (Attach response.)

**F. RATIONALE FOR ANIMAL USE:**

1. Explain your rationale for animal use. (*The rationale should include reasons why non-animal models cannot be used.*) (Attach response.)
2. Justify the appropriateness of the species selected. (Attach response.)
3. Justify the number of animals to be used. (Attach response. *Describe how the number of animals to be used was determined, and why that number is necessary to achieve the goals of this project. If possible, summarize this information in a table giving 1) the number of different experiments, 2) the number of groups per experiment, and 3) the number of animals per group. Whenever possible, justify the number of animals statistically.*)

**G. DESCRIPTION OF EXPERIMENTAL DESIGN AND ANIMAL PROCEDURES:**

Briefly explain the experimental design and specify all animal procedures. This description should allow the IACUC to understand the experimental course of an animal from its entry into the experiment to the endpoint of the project. Specifically address the following:

1. **Animal Identification Methods** (e.g., ear tags, tattoos, collar, leg band, cage card, implant, etc.)
2. **Injections or Inoculations** (substances, e.g., infectious agents, adjuvants, etc.; dose, sites, volume, route, and schedules). \_\_\_\_\_ Yes \_\_\_\_\_ No
3. **Blood Withdrawals** (volume, frequency, withdrawal sites, and methodology). \_\_\_\_\_ Yes \_\_\_\_\_ No

**4. Non-Survival Surgical Procedures** (Provide details of survival surgical procedures in Section I)

☐ Yes ☐ No

**5. Radiation** (dosage and schedule) ☐ Yes ☐ No

**6. Methods of Restraint** (e.g., restraint chairs, collars, vests, harnesses, slings, etc.) ☐ Yes ☐ No

**7. Resultant Effects**, if any, the animals are expected to experience (e.g., pain or distress, ascites production, etc.) ☐ Yes ☐ No

**8. Other potential stressors** (e.g., food or water deprivation, noxious stimuli, environmental stress) **and procedures to monitor and minimize distress.** If a project is Category D (See J: **Pain or Distress Category and Consideration of Alternatives** for a description of categories), indicate any non-pharmaceutical methods to minimize pain and distress. ☐ Yes ☐ No

**9. Other Procedures** (e.g., behavioral studies, tail biopsies, etc.) ☐ Yes ☐ No

**10. Experimental Endpoint Criteria** (e.g., tumor size, percentage body weight gain or loss, inability to eat or drink, behavioral abnormalities, clinical symptomology, or signs of toxicity) must be specified when the administration of tumor cells, biologics, infectious agents, radiation or toxic chemicals are expected to cause significant symptomology or are potentially lethal. List the criteria to be used to determine when euthanasia is to be performed. Death as an endpoint must always be scientifically justified. (Attach response.)

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**H. RECORDS:**

Records should include animal or group identification, type of procedure (blood collection (amount, method), kind of surgery, euthanasia (method), administration of drugs (name, dose, route), etc.), initials of personnel, date, and observations relating to animal health and welfare. Describe your records or attach a copy for the IACUC to review. (Attach response.)

---

**I. SURVIVAL SURGERY:** ☐ Yes (If yes, attach response.) ☐ No If no, go to Section J.

Minor Surgery (cut-downs, needle aspirations, tail biopsies). Specify.

Major Surgery (entering a body cavity or producing substantial impairment of physical or physiologic functions (such as laparotomy, thoracotomy, craniotomy, joint replacement, or limb amputation). Specify.

1. Identify and describe the surgical procedure(s) to be performed. Include preoperative procedures (e.g., fasting, analgesic loading), and anesthetic monitoring (e.g., corneal and pedal reflexes, heart and respiratory rates, etc.), and supportive care (ophthalmic ointment, methods to prevent dehydration and hypothermia, etc.) during surgery. Include the aseptic methods (e.g., animal and human preparations, sterile instruments and field, etc.) to be utilized.
2. Who will perform surgery and what are their qualifications and/or experience?
3. Where will surgery be performed (Building and Room)?
4. Are paralytic agents used during surgery? If yes, please describe how ventilation will be maintained and how pain will be assessed.
5. If survival surgery, describe post-operative care required, including location, frequency of observation, consideration of the use of post-operative analgesics, and identify the responsible individual(s), and duration of survival after surgery. What impairment can be expected from the surgery and describe any post-operative complications that may develop and your plans to handle them

6. Has major survival surgery been performed on any animal prior to being placed on this project?  
       Yes (If yes, attach response.)       No
7. Will more than one major survival surgery be performed on an animal while on this project?  
       Yes (If yes, attach response justifying procedure.)       No

## J. PAIN OR DISTRESS CATEGORY AND CONSIDERATION OF ALTERNATIVES

### 1. Pain or Distress Categories

Species (common name)	Category* A, B, C or D	Number of animals used each year			3-year total number of animals
		Year 1	Year 2	Year 3	
<b>Total number of animals (should equal total from Section B):</b>					

#### \* Categories and Examples

**Category A:** Animals being bred, conditioned, or held for use in teaching, testing, experiments, research, or surgery, but not yet used for such purposes.

##### Examples:

- Breeding colonies of any animal species. Breeding colony includes parents and offspring.
- Newly acquired animals that are held in proper caging and handled in accordance with applicable regulations.
- Animals held under proper captive conditions or wild animals that are being observed.

**Category B:** Animals upon which teaching, research, experiments, or tests will be conducted involving no pain, distress, or use of pain-relieving drugs.

##### Examples:

- Procedures performed correctly by trained personnel such as the administration of electrolytes/fluids, administration of oral medication, blood collection from a common peripheral vein per standard veterinary practice or catheterization of same, standard radiography, parenteral injections of non-irritating substances, restrictions of food/water intake for less than equivalent to periods of abstinence in nature.
- Euthanasia performed in accordance with the recommendations of the most recent AVMA Panel on Euthanasia, utilizing procedures that produce rapid unconsciousness and subsequent humane death.
- Manual restraint that is no longer than would be required for a simple exam; less than 12 hours of physical restraint for an adapted animal.

**Category C:** Animals upon which experiments, teaching, research, surgery, or tests will be conducted involving accompanying pain or distress to the animals and for which appropriate anesthetic, analgesic, or tranquilizing drugs will be used.

**Examples:**

- Surgical procedures conducted by trained personnel in accordance with standard veterinary practice such as biopsies, gonadectomy, exposure of blood vessels, chronic catheter implantation, laparotomy or laparoscopy.
- Blood collection by more invasive routes such as intracardiac or periorbital collection from species without a true orbital sinus such as rats and guinea pigs.
- Administration of drugs, chemicals, toxins, or organisms that would be expected to produce pain or distress but which will be alleviated by analgesics.

**Category D:** Animals upon which teaching, experiments, research, surgery, or tests will be conducted involving accompanying pain or distress to the animals and for which the use of appropriate anesthetic, analgesic, or tranquilizing drugs will adversely affect the procedures, results, or interpretation of the teaching, research, experiments, surgery, or tests.

**Examples:**

- Procedures producing pain or distress unrelieved by analgesics such as toxicity studies, microbial virulence testing, radiation sickness, and research on stress, shock, or pain.
- Surgical and postsurgical sequella from invasion of body cavities, orthopedic procedures, dentistry or other hard or soft tissue damage that produces unrelieved pain or distress.
- Negative conditioning via electric shocks that would cause pain in humans.
- Physical restraint of animals not conditioned to the procedure for the time period used or in excess of 12 hours.

**Note Regarding Category D:** An explanation of the procedures producing pain or distress in these animals and the justification for not using anesthetic, analgesic or tranquilizing drugs must be provided. (Attach response.) For USDA (Animal Welfare Act) AWA-covered animals, this information is required to be reported to the USDA, will be available from USDA under the Freedom of Information Act.

## **2. Consideration of Alternatives**

The project director must provide a written assurance that the activities do not unnecessarily duplicate research projects/courses and that there are no alternatives (such as less sentient animal species, computer models, tissue culture, *etc.*) to the use of live animals. This narrative should include adequate information for the IACUC to assess that a reasonable and good faith effort was made to determine the availability of alternatives or alternative methods. If the database search or other source identifies a bonafide alternative method (one that could be used to accomplish the goals of the animal use proposal), the written narrative should justify why this alternative was not used. (Attach response.)

If any procedures fall into Categories C or D, causing more than momentary or slight pain or distress to the animals, 1) describe your consideration of alternatives and your determination that alternatives are not available and 2) involve the Attending Veterinarian in planning. \_\_\_\_ Yes \_\_\_\_ No

Alternatives include methods that (1) refine existing tests by minimizing animal distress, (2) reduce the number of animals necessary for an experiment, or (3) replace whole-animal use with in vitro or other tests. Note that you must certify in Section R.5. that no valid alternative was identified to any described procedures which may cause more than momentary pain or distress, whether relieved or not. Delineate the methods and sources used



in the search. Database references must include databases (2 or more) searched, the date of the search, period covered, and the keywords used.

☐ Medline ☐ Agricola ☐ Biosis ☐ Embase ☐ AWIC ☐ CAB Abstracts  
☐ CAB Vet & Medica ☐ Index Medicus ☐ Federal Research in Progress ☐ NML  
☐ Science Citation Index ☐ Current Contents ☐ National Agricultural Library ☐ PubMed  
☐ Periodicals: (names of periodicals or journals read on a regular basis) \_\_\_\_\_

☐ Meetings or conferences: (names and dates of meetings attended): \_\_\_\_\_

☐ Consultation with colleagues (names and credentials of colleagues (*i.e.*, M.D., Ph.D.), dates of consultations and nature of discussions): \_\_\_\_\_

☐ Other. Specify: \_\_\_\_\_

**K. ANESTHESIA, ANALGESIA, TRANQUILIZATION PROJECT:** ☐ Yes (If yes, attach response.)  
☐ No (If no, go to Section L.)

For animals indicated in Section J, Category C, specify the anesthetics, analgesics, sedatives or tranquilizers that are to be used. Include the name of the agent(s), the dosage, route and frequency of administration. Describe tracking and security of controlled drugs (Drug Enforcement Agency requirements). (Attach response.)

**L. METHOD OF EUTHANASIA OR DISPOSITION OF ANIMALS AT END OF PROJECT**

What will happen to the animals at the conclusion of the experiment or demonstration? Techniques for euthanasia must follow the guidelines established by the latest report by the AVMA Panel on Euthanasia. Deviations must be justified for scientific reasons and approved by the IACUC. If euthanasia will be used, provide details: the proposed method, and if a chemical agent is used, specify the dosage and route of administration. Indicate the method of carcass disposal if not described in Section M. below. (Attach response.)

☐ Anesthetic injection overdose (state drug/dose per body weight/route of administration of drug).  
☐ Exsanguination under anesthesia (state name/dose (per body weight)/route of administration of drug).  
☐ Inhalation of carbon dioxide from a compressed gas cylinder.  
☐ Cervical dislocation.  
☐ Decapitation.  
☐ Other. Describe: \_\_\_\_\_

**Note:** In some animals exposed to gas, heartbeat can be maintained after visible respiration has ceased, and the animal might eventually recover. A thoracotomy or other physical method is recommended to assure death of animals after gas exposure. At minimum, check for both respiratory and cardiac arrest prior to discarding the carcass. Describe how death is verified: \_\_\_\_\_

**M. HAZARDOUS AGENTS IN ANIMALS** \_\_\_ Yes \_\_\_ No If no, go to Section N.

Use of hazardous agents requires the approval of the institutional biosafety specialist. Registration Documents for the use of recombinant DNA or potential human pathogens may be attached at the discretion of the IACUC.

	YES	NO	List Agents & Registration Document # (if applicable)
Radionuclides			
Biological Agents			
Hazardous Chemicals or Drugs			
Recombinant DNA			

Project conducted at Animal Biosafety Level: \_\_\_\_\_

Describe the practices and procedures required for the safe handling and disposal of contaminated animals and material associated with this project. Also describe methods for removal of radioactive waste and, if applicable, the monitoring of radioactivity. (Attach response.)

Additional safety considerations: \_\_\_\_\_  
\_\_\_\_\_

**N. BIOLOGICAL MATERIAL/ANIMAL PRODUCTS FOR USE IN ANIMALS** (e.g., cell lines, antiserum, etc.): \_\_\_ Yes \_\_\_ No ( If no, go to Section O.)

1. Specify Material: \_\_\_\_\_

2. Source : \_\_\_\_\_ Material Sterile or Attenuated \_\_\_ Yes \_\_\_ No

3. If derived from rodents, has the material been MAP/RAP/HAP tested?  
\_\_\_ Yes (Attach copy of results) \_\_\_ No

4. I certify that the MAP/RAP/HAP tested materials to be used have not been passed through rodent species outside of the animal facility in question and/or the material is derived from the original MAP tested sample. To the best of my knowledge the material remains uncontaminated with rodent pathogens. \_\_\_\_\_ Initials of Principal Investigator/Project Director.

**O. TRANSGENIC AND KNOCKOUT ANIMALS:** \_\_\_ Yes \_\_\_ No (If no, go to Section P.)

Describe any phenotypic consequences of the genetic manipulations to the animals. Describe any special care or monitoring that the animals will require. (Attach response.)

**P. FIELD STUDIES AND WILD CAUGHT ANIMALS:** \_\_\_ Yes \_\_\_ No (If no, go to Section Q.)

If animals in the wild will be used, describe how they will be observed, any interactions with the animals, whether the animals will be disturbed or affected, and any special procedures anticipated. Indicate if Federal and/or state permits are required and whether they have been obtained. (Attach response)

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**Q. PERSONNEL:**

List the name(s), title(s) and qualifications for each research person working with animals. Who will perform the procedures. Please include the number of years of experience working with the species listed in Section B. If the person needs to be trained, please indicate who will do the training.

Last Name	First Name	Middle Initial	Title	Procedures

All live animal work conducted under teaching/classroom projects must be supervised at all times by University faculty or staff listed above. It is the Project Director's responsibility to assure that all participants are properly trained in animal handling and the procedures conducted as part of this project. Keep a list of all such participants with the protocol.

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**R. PROJECT DIRECTOR CERTIFICATIONS:**

1. I certify that all personnel, including myself in this project will attend the IACUC training course.
2. I certify that I have determined that the research proposed herein is not unnecessarily duplicative of previously reported research.
3. I certify that all individuals working on this project who are at risk are participating in the WestConn's Occupational Health and Safety Program.
4. I certify that the individuals listed in Section Q. are authorized to conduct procedures involving animals under this project, have attended the institutionally required investigator training course, and received training in: the biology, handling, and care of this species; aseptic surgical methods and techniques (if necessary); the concept, availability, and use of research or testing methods that limit the use of animals or minimize distress; the proper use of anesthetics, analgesics, and tranquilizers (if necessary); and procedures for reporting animal welfare concerns.
5. For all Category C and Category D projects (see Section J): I certify that I have reviewed the pertinent scientific literature and the sources and/or databases (2 or more) as noted in Section J.2, and have found no valid alternative to any procedures described herein which may cause more than momentary pain or distress, whether it is relieved or not.
6. I certify that I will obtain approval from the IACUC before initiating any significant changes in this project.



7. I certify that I will notify the IACUC regarding any unexpected project results that impact the animals. Any unanticipated pain or distress, morbidity or mortality will be reported to the attending veterinarian and the IACUC.
8. I certify that copies of the approved protocol will be made available to all laboratory personnel.
9. I certify that I shall on a monthly basis, monitor drugs used in my laboratory and shall insure that outdated drugs are promptly discarded.
10. I certify that I shall maintain complete, up-to-date, and accessible records of procedures for the animals used in this project.
11. I will comply with the procedures described in the *Guide for the Care and Use of Laboratory Animals* (National Academy of Sciences, 1996), with PHS Policy, the Animal Welfare Act, and applicable University policies.

\_\_\_\_\_  
Principal investigator's/Project Director's Signature

\_\_\_\_\_  
Date

**If this is a student research project, both the student and the supervising faculty member must sign.**

\_\_\_\_\_  
Supervising Faculty Member

\_\_\_\_\_  
Date

#### **S. CONCURRENCES: PROJECT NUMBER:**

For all projects housing animals:

**Animal Facility Supervisor** certification of resource capability in the indicated facility to support the proposed project.

Facility \_\_\_\_\_ Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

For all Category C and Category D projects (see Section J):

**Attending Veterinarian** certification of review and concurrence.

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

For all projects using hazardous agents (see Section M):

**Safety Representative** certification of review and concurrence.

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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**Checklist for attachments** (as appropriate):

- \_\_\_\_\_ OLAW training certificate(s) **Note:** If this is a student research project, both the student's and the supervising faculty member's certificates **must** be attached
  - \_\_\_\_\_ Attachment C
  - \_\_\_\_\_ Attachment D
  - \_\_\_\_\_ Attachment E (#1 or #2)
  - \_\_\_\_\_ Attachment F (#1, #2, #3)
  - \_\_\_\_\_ Attachment H
  - \_\_\_\_\_ Attachment I (Minor Surgery) or
  - \_\_\_\_\_ Attachment I (Major Surgery, #1, #4, #5, #6 if your answer is yes, #7 if your answer is yes)
  - \_\_\_\_\_ Attachment J (Category 1.D., Category 2)
  - \_\_\_\_\_ Attachment K
  - \_\_\_\_\_ Attachment L
  - \_\_\_\_\_ Attachment O
  - \_\_\_\_\_ Attachment P
- 
- 

**T. FINAL APPROVAL:**

Certification of review and approval by the Western Connecticut State University IACUC Chairperson:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

*Last updated 8/15/06;*

## DECLARATION ON THE USE OF ANIMALS IN RESEARCH\*

Biomedical science faces increasingly hostile and outspoken campaigning aimed at the abolition of animal experimentation. Statements of support for the responsible use of animals in research have been made to the AAAS, the AMA, the BAAS, and the 41st World Medical Assembly and many other medical and scientific organizations. Whereas this attack on biomedical science not only threatens the progress of medicine but also challenges the principles of scientific inquiry, we make the following declaration.

Experiments on animals have made an important contribution to advances in medicine and surgery which have brought major improvements in the health of human beings and animals.

While alternatives to the use of animals are actively sought and eagerly adopted as soon as they are provide to be reliable, continued research involving animals is essential for the conquest of many unsolved medical problems such as cancer, AIDS, other infectious diseases, and genetic, developmental, neurological and psychiatric conditions.

The use of animals continues to be essential in basic research that furthers the understanding of biological processes and which provides the essential foundation for improvements in medical and veterinary knowledge, education and practice.

It is unethical to expose human beings to products and processes which have not been adequately tested for safety. Such testing in some cases requires the use of animals.

The scientific and medical community has a duty to explain the aims and methods of its research and to disseminate information about the benefits derived from animal experimentation.

All legislation and regulations governing the use of animals in scientific procedures must be strictly adhered to. Those involved must respect animal life, using animals only when essential and as humanely as possible.

Freedom of opinion and discussion on this subject must be safeguarded, but violent attacks on property, hostile campaigns against individual scientists and associated personnel and the use of distorted, inaccurate or misleading evidence should be publicly condemned.

Form: Institutional Review Board Protocol Termination Report

Senate Approval: Apr. 17, 1991 (R-91-4-7)  
Admin. Approval: May 15, 1991

\*Source: Sigma XI, The Scientific Research Society, Nov. 7, 1990.

Institutional Review Board Protocol Termination Report

<i>For Office Use Only</i>	
Received date:	Termination date:

**PLEASE RETURN THE COMPLETED FORM TO THE** Institutional Review board, c/o Office of Grant Programs, 321 Warner Hall.

Protocol Number: \_\_\_\_\_

Principal Investigator: \_\_\_\_\_

Protocol Title: \_\_\_\_\_

Brief description of the protocol:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Brief description of the results of the protocol:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Has this research resulted in any publications? \_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please submit a copy of the publication(s) to the IRB.

Number of subjects enrolled at WestConn: \_\_\_\_\_

Number of subjects enrolled at another site: \_\_\_\_\_

Please list the number of subjects who completed the study:

At WestConn: \_\_\_\_\_

At another site: \_\_\_\_\_

Serious Adverse Events:

Have there been any serious adverse events on this protocol: \_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please list the number of adverse events

\_\_\_\_\_

Were these reported to the IRB? \_\_\_\_\_ Yes \_\_\_\_\_ No

If the events have not been reported, attach a completed Adverse Event Form.

Reason for Termination:

- ☐ Protocol reached goals
- ☐ Protocol never received funding
- ☐ Principal investigator or major co-investigator left the institution
- ☐ Not enough subjects for project to be completed
- ☐ Protocol closed due to adverse reaction(s)
- ☐ Investigator lost interest in the study
- ☐ Other (please explain below)

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*I certify that as of the date below, subjects are no longer being studied or followed on this protocol and therefore this protocol should be officially terminated by the IRB.*

Principal Investigator's Signature:

Date:

I have reviewed the termination report:

IRB Chair's Signature:

Date:

*Last updated: 6/27/06*

# Institutional Review Board Internal Adverse Event Form

An adverse event is an undesirable and unintended, although not necessarily unexpected, result of therapy or other intervention.

## **Unanticipated Problems that Affect Risks to Subjects (from "Guidelines for Researchers, 11):**

*If adverse consequences or unanticipated side effects are encountered in the course of a study, or new information becomes available that could change the perception of a favorable risk/benefit ratio, the principal investigator is responsible for informing the Committee PROMPTLY.*

*A copy of every adverse event report, letter, or form submitted to an outside agency (e.g., a federal agency) should also be forwarded to the WestConn IRB in care of the Office of Grant Programs, 321 Warner Hall, within seven working days after discovery. The WestConn IRB will make the final determination regarding protocol changes required due to adverse event reports.*

### **A. General Information**

Protocol number: \_\_\_\_\_

Principal Investigator's Name: \_\_\_\_\_

Protocol Title: \_\_\_\_\_

### **B. Event Information**

Adverse event date: \_\_\_\_\_

Subject's ID number: \_\_\_\_\_

Adverse event (describe in 1 brief sentence): \_\_\_\_\_

\_\_\_\_\_

The adverse event appears to be: \_\_\_\_\_ Serious \_\_\_\_\_ Moderate \_\_\_\_\_ Unexpected

Based on your review of the information, what is the relationship of the event to the research?

\_\_\_\_\_ Definite; clearly related to the research

\_\_\_\_\_ Probably; likely related to the research

\_\_\_\_\_ Possible; may be related to the research

\_\_\_\_\_ Unlikely; doubtfully related to the research

\_\_\_\_\_ Unrelated; clearly unrelated to the research

In your opinion, do you expect this event to occur again?

Yes \_\_\_\_\_ No \_\_\_\_\_

Is the event adequately described in the protocol and consent form?

Yes \_\_\_\_\_ No \_\_\_\_\_

Should the protocol be modified to minimize this risk?

Yes \_\_\_\_\_ No \_\_\_\_\_

Will the consent form be modified as a result of this adverse event?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, please submit an amendment to update the consent form.

Yes \_\_\_\_\_ No \_\_\_\_\_

Will the subjects be re-consented as a result of this adverse event?

Yes \_\_\_\_\_ No \_\_\_\_\_

Please describe the adverse event, including the investigator's analysis of the event. Use additional pages if necessary.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Principal Investigator's Signature

\_\_\_\_\_  
Date

===== For IRB Use Only  
=====

\_\_\_\_\_  
IRB Chair's (or designee's) Signature

\_\_\_\_\_  
Date

Further action by the IRB:

\_\_\_\_ Yes

\_\_\_\_ No

*Last updated: 6/27/06*

## Institutional Review Board External Adverse Event Form

An adverse event is an undesirable and unintended, although not necessarily unexpected, result of therapy or other intervention.

*Unanticipated Problems that Affect Risks to Subjects (from "Guidelines for Researchers," 11)*

*If adverse consequences or unanticipated side effects are encountered in the course of a study, or new information becomes available that could change the perception of a favorable risk/benefit ratio, the principal investigator is responsible for informing the Committee PROMPTLY.*

*A copy of every adverse event report, letter, or form submitted to an outside agency (e.g., a federal agency) should also be forwarded to the WestConn IRB in care of the Office of Grant Programs, 321 Warner Hall, within seven working days after discovery. The WestConn IRB will make the final determination regarding protocol changes required due to adverse event reports.*

## A. General Information

Protocol Number: \_\_\_\_\_

Principal Investigator: \_\_\_\_\_

Protocol Title: \_\_\_\_\_

## B. Event Information

Adverse event date: \_\_\_\_\_

Adverse event (describe in 1 sentence): \_\_\_\_\_

## C. Nature of the Event

Submit this form ONLY if all three boxes are checked.

\_\_\_\_\_ Unexpected \_\_\_\_\_ Related or possibly related \_\_\_\_\_ Serious

## D. Principal Investigator's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Do you expect this event to occur again: \_\_\_\_\_ Yes \_\_\_\_\_ No

Is the event adequately described in the protocol and consent form? \_\_\_\_\_ Yes \_\_\_\_\_ No

Should the protocol be modified to minimize this risk? \_\_\_\_\_ Yes \_\_\_\_\_ No

Will the consent form be modified as a result of this adverse event? If so, please submit an amendment to the consent form. \_\_\_\_\_ Yes \_\_\_\_\_ No

Will subjects be re-consented as a result of this adverse event? \_\_\_\_\_ Yes \_\_\_\_\_ No

Describe the event, including the investigator's analysis of the event. Use additional pages, if necessary.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



\_\_\_\_\_  
Principal Investigator's Signature

\_\_\_\_\_  
Date

===== For IRB Use Only  
\_\_\_\_\_

\_\_\_\_\_  
IRB Chair's (or designee's)  
Signature

\_\_\_\_\_  
Date

Further action by IRB:

\_\_\_\_ Yes

\_\_\_\_ No

*Last updated 7/12/07*

## Procedures for Adding or Refilling Any Unclassified Faculty Position

**Overview Of Process**

1. **Approval to Add or Refill a Position and to Advertise for a Position** - The department (or Unit) should contact the Academic Dean to request a new or refill a faculty position. The Dean will initiate the appropriate steps noted in the below Position Action Form Procedures.
2. **Development of Procedure for Recruitment** - Upon approval of the Position Action Form, the Department (or Unit) must meet with the Executive Assistant to the President/Chief Diversity Officer to develop a recruitment plan.
3. **Screening of Candidates and Selection of Interviewees** - The Department (or Unit) and/or Search Committee shall review candidate application materials to determine those candidates to be interviewed.
4. **Affirmative Action Approval** - Upon selection of principal candidates, the Department (or Unit) or Search Committee Chair shall meet with the Executive Assistant to the President/Chief Diversity Officer to verify the proper selection of principle candidates prior to invitation for interview.
5. **Selection of Final Candidate** - Upon successful completion of the recruitment process, the Department (or Unit) or Search Committee Chair, in consultation with the Dean, shall make their recommendations and obtain the approval of the Executive Assistant to the President/Chief Diversity Officer. The Academic Dean will consult with the Associate Vice President for Human Resources for verification of starting salary and verbal offer of employment.
6. **Background Check of Final Candidate** - After the Provost/Vice President for Academic Affairs has approved the final candidate, the Associate Vice President for Human Resources will work with the Academic Dean or designee for the final offer of appointment and to arrange for the background check to be completed.
7. **Appointment Letter** - Upon acceptance, the President in consultation with the Associate Vice President for Human Resources shall prepare an Appointment Letter.
8. **Finalization of Search Process** - The Department (or Unit) or Search Committee Chair shall finalize search materials and verify all candidate reimbursement forms, Affirmative Action forms, and other required documents are completed.

**Detailed Recruitment Process****A. Approval to Add or Refill Position and Advertise for Position**

Approval for adding or refilling an unclassified faculty position is initiated by the Chairperson of a Department or Head of a Unit before the end of the Spring Semester. A Justification and Position Description should be sent to the Dean who will then initiate the above Position Action Form procedures.

1. **Justification** - *For instructional departments* - the request should detail the departmental need with both curricular and workload justification. *For administrative, library, athletic or counselor areas* - analysis of workload justification is sufficient.
2. **Position Description** - All requests should contain a proposed position description for advertising and/or posting. The Chairperson's request should be forwarded to the appropriate Academic Dean. The Academic Deans shall make their recommendation to the Provost/Vice President for Academic Affairs sometime during the summer months (June, July, and August). The Provost/Vice President for Academic Affairs shall make the final decision regarding position allocation. Approval/disapproval of position allocation will be communicated by the Provost/Vice President for Academic Affairs, in consultation with the Associate Vice President for Human Resources, to the Academic Dean, and Chairperson or Unit Head, with appropriate instructions no later than September 1st. Positions approved to be filled will be allocated for the following academic year, unless noted differently.

**Note:** Requests for refilling unexpected vacancies may be made as soon as they are known to the department or unit.

**B. Development of Procedure for Recruitment**

An Affirmative Action Recruitment and Hiring Plan must be developed jointly between the Chairperson or Unit Head and the Executive Assistant to the President/Chief Diversity Officer. Forms and format for the Affirmative Action Report, that must be submitted prior to formal interviews, will be reviewed in the Plan's development (see D. below). Upon approval to advertise, Human Resources, in consultation with the Chairperson or Unit Head will finalize with the Executive Assistant to the President/Chief Diversity Officer a job description/position announcement and composition of the Search Committee. The President reserves the right to have representatives on all University Search Committees and/or to approve the membership of all such committees. Only minimum acceptable qualifications should be used in the job description. Recruitment sources will include present adjunct faculty, women, and minorities (the Executive Assistant to the President/Chief Diversity Officer shall provide information on sources for candidates), and advertising in appropriate publications.

**C. Screening of Candidates and Selection of Those to be Interviewed**

The screening of candidates should be carried out by a search committee according to a predetermined procedure of the department or unit. The Executive Assistant to the President/Chief Diversity Officer is available to help develop such procedures. Screening should be accomplished by the same search committee members to provide realistic comparison and to address each of the following consistently:

1. **Uniform Method** - A uniform method to evaluate all candidates should be used, based only on appropriate job related qualifications. Differential criteria of competence are not to be applied to male and female candidates or to majority and minority candidates.
2. **In-person Questioning** - Only those questions which elicit information of an individual's qualifications for employment are to be asked.

**Note:** Strong consideration should be given by the search committee to having the Executive Assistant to the President/Chief Diversity Officer brief the committee at the onset of the search as to affirmative action and equal opportunity concerns.

#### **D. D. Affirmative Action Approval: Interviews of Principal Candidates**

1. Following the department or unit search and evaluation, one or several candidates may be chosen to be interviewed by the Academic Dean and Provost/Vice President for Academic Affairs. Once these principal candidates have been identified, each should be informed by the search committee chair to send an official transcript from the institution of their highest degree to the department or unit.
2. Prior to the submission of the name(s) of the principal candidate(s) to the Academic Dean and the Provost/Vice President for Academic Affairs, the head of the search committee must submit the Affirmative Action Report to the Executive Assistant to the President/Chief Diversity Officer. This report includes:
  - a. Applicant Data Chart - summary of the results of the search procedure
  - b. Affirmation Action Data Sheet - distribution of candidates by minority status and gender
  - c. All applications and resumes
  - d. The basis and reason for final decisions on principal candidates, including the results of the examination of documents, academic credentials, and interviews.
3. The Executive Assistant to the President/Chief Diversity Officer will review all information and notify the Provost/Vice President for Academic Affairs, Human Resources, and the head of the search committee that the report has been reviewed and accepted and that final interviews may be arranged. With this approval, the head of the search committee should assemble the following materials for each principal candidate and present them to the Dean or Director prior to the interview:
  - a. Resume
  - b. Official transcript (or unofficial transcript while official transcript is being requested).
4. Following the Academic Dean's interview, the materials (resume and transcripts) will be provided to the Provost/Vice President for Academic Affairs for his/her review. At the completion of the interviews of the principal candidates and after affirmative action approval has been received in writing, the Academic Dean will make a formal recommendation to Carolyn Lanier who, in turn, submits the approval in writing to Associate Vice President for Human Resources. The Associate Vice President will then prepare a salary proposal, which will be reviewed with the Department Chair, Academic Dean and the Provost prior to an offer being presented to the candidate.

#### **E. Letter Offering Position**

The Associate Vice President for Human Resources will make the offer of employment to the candidate stating terms and requesting the candidate's willingness to accept the appointment. Upon confirmation of all documents and credentials, via a formal background check, the appointment will be formally approved by the President.

#### **Position Action Form Procedures**

The Position Action Form (PAF) is used to either establish a new position or to initiate a recruitment process in order to fill a current vacancy. The recruitment process cannot begin until the Human Resources Department receives a completed PAF.

#### **Establishing a New Position**

- Prior to establishing a new position the appropriate Vice President will consult with the Vice President for Finance & Administration to determine if funding for the position exists.
- After receiving this approval the appropriate Vice President will inform the Associate Vice President for Human Resources.
- The Human Resources Department will then work with the department supervisor on identifying the appropriate job level for this position. Unclassified positions (Management & Confidential, SUOAF, and AAUP) will be handled by the Associate Vice President for Human Resources and Classified positions (Clerical, Maintenance, & the Connecticut Police & Fire Union) will be handled by the Assistant Director of Human Resources – Recruitment.
- Based on the information gathered from the Department Supervisor/Chair, the Assistant Director of Human Resources – Recruitment will complete a PAF and electronically distribute it to the Department Supervisor/Chair, Dean (if applicable), and the appropriate Vice President for their approval. Electronic approvals will be sufficient.
- Once the approvals have been received the Assistant Director of Human Resources – Recruitment will review, approve, and forward it to the Director of Financial Planning & Budgets and the Vice President for Finance & Administration for final approval.
- Once the final approval has been received the Assistant Director of Human Resources – Recruitment will email a copy of the completed PAF to all signatory/approval individuals, as well as the Executive Assistant to the President/Chief Diversity Officer, informing them that they are authorized to begin the recruitment process. If the position is within the SUOAF or Management & Confidential ranks it may require approval of a newly created job description from the Council on Employee Relations (CER) and/or SUOAF union leadership prior to beginning the recruitment process.
- If, for some reason, the Vice President for Finance & Administration, in consultation with the appropriate Vice President, does not approve the PAF, within two (2) business days of the receipt of the PAF they will inform the Assistant Director of Human Resources – Recruitment of such who in turn will notify the Department Supervisor/Chair and Dean (if applicable).

#### **Refilling a Current/Upcoming Vacancy**

- Once the Human Resources Department becomes aware of an upcoming position vacancy due to a resignation, retirement, etc., the Assistant Director of Human Resources – Recruitment will contact the Department Supervisor/Chair in order to assess their intentions with regards to refilling the position vacancy.
- The Human Resources Department will then work with the department supervisor on identifying the appropriate job level for this position. Unclassified positions (Management & Confidential, SUOAF, and AAUP) will be handled by the Associate Vice President for Human Resources and Classified positions (Clerical, Maintenance, & the Connecticut Police & Fire Union) will be handled by the Assistant Director of Human Resources – Recruitment.
- Based on the information gathered from the Department Supervisor/Chair & the Assistant Director of Human Resources – Recruitment, the appropriate Vice President will consult with the Vice President for Finance & Administration to determine if funding for the position exists.

- After receiving this confirmation, the appropriate Vice President will inform the Associate Vice President for Human Resources.
- The Assistant Director of Human Resources – Recruitment will complete a PAF and electronically distribute it to the Department Supervisor/Chair, Dean (if applicable), and the appropriate Vice President for their approval. Electronic approvals will be sufficient.
- Once the approvals have been received the Assistant Director of Human Resources – Recruitment will review, approve, and forward it to the Director of Financial Planning & Budgets and the Vice President for Finance & Administration for final approval.
- Once the final approval has been received the Assistant Director of Human Resources – Recruitment will email a copy of the completed PAF to all signatory/approval individuals, as well as the Executive Assistant to the President/Chief Diversity Officer, informing them that they are authorized to begin the recruitment process. If the position is within the SUOAF or Management & Confidential ranks it may require approval of a newly created job description from the Council on Employee Relations (CER) and/or SUOAF union leadership prior to beginning the recruitment process.
- If, for some reason, the Vice President for Finance & Administration, in consultation with the appropriate Vice President, does not approve the PAF, within two (2) business days of the receipt of the PAF they will inform the Assistant Director of Human Resources – Recruitment of such who in turn will notify the Department Supervisor/Chair and Dean (if applicable).

Form: Position Action Form

Rev. 8/00  
 Rev. 9/06  
 HR-Rev. 8/08  
 HR-Rev. 7/11  
 HR-Rev. 7/12  
 HR-Rev. 7/14

**Western Connecticut State University  
Position Action Form**

The Position Action Form (PAF) is used to either establish a new position or to initiate a recruitment process in order to fill a current vacancy. The recruitment process cannot begin until the Human Resources Department receives a completed PAF. If you have any questions regarding the PAF please contact Ms. Peggy Boyle, Assistant Director of Human Resources – Recruitment at 203-837-8662 or via email at [boylep@wcsu.edu](mailto:boylep@wcsu.edu).

Position Title: \_\_\_\_\_ SUOAF Administrative Rank: \_\_\_\_\_

Department: \_\_\_\_\_ Union: \_\_\_\_\_

Position Supervisor: \_\_\_\_\_ Title: \_\_\_\_\_

Position #: \_\_\_\_\_ Position Status: \_\_\_\_\_ Vacant \_\_\_\_\_ New Position

Previous Incumbent: \_\_\_\_\_

Appointment Type: \_\_\_\_\_ Permanent \_\_\_\_\_ Temporary \_\_\_\_\_ Tenure-Track \_\_\_\_\_ Special

Anticipated Starting Date: \_\_\_\_\_ Work Schedule: \_\_\_\_\_

Number of Months Per Year: \_\_\_\_\_ Hours Per Week: \_\_\_\_\_ FTE: \_\_\_\_\_ (ie: 1.00, .75, .50)

Minimum Annual Salary: \$ \_\_\_\_\_ Maximum Annual Salary: \$ \_\_\_\_\_

**Comments Section:**

**Signatures/Electronic Approvals:**

Department Supervisor/Chair: \_\_\_\_\_ Date: \_\_\_\_\_

Dean (if applicable): \_\_\_\_\_ Date: \_\_\_\_\_

Vice President: \_\_\_\_\_ Date: \_\_\_\_\_

Human Resources: \_\_\_\_\_ Date: \_\_\_\_\_

Budget Office: \_\_\_\_\_ Date: \_\_\_\_\_

VP for Finance & Administration: \_\_\_\_\_ Date: \_\_\_\_\_



## President's Affirmative Action Policy Statement

Western Connecticut State University is grounded on a sound Affirmative Action foundation. To that end, as President of Western Connecticut State University, I am fully committed to the University's grounded philosophy of the intellectual and moral leadership responsibility to carry out this well established philosophy, as well as the responsibility of Western Connecticut State University leadership to advance social justice and equity by exercising Affirmative Action to remove all discriminatory barriers to equal employment opportunity and upward mobility. Accordingly, the University, through its Plan of Affirmative Action will, with conviction and effort, continue to undertake positive action to overcome the present effects of past practices, policies or barriers to equal employment opportunity, and to achieve the full and fair participation of Blacks, Hispanics, Whites, Asians/Pacific Islanders, and American Indians/Alaskan Aleuts found to be underutilized in the workforce. The university through its Plan of Affirmative Action, with conviction and effort, will also continue to undertake positive action for the full and fair participation of the above groups and any other protected group found to be adversely impacted by University policies or practices.

Equal opportunity, a distinctly different matter, is employment of individuals without consideration of race, color, religious creed, age, sex, marital status, sexual orientation, genetic information (Section 46a-60(a)(11) of the Connecticut General Statutes, national origin, ancestry, mental retardation, past or present history of mental disability, physical disability, including but not limited to blindness, learning disability, veteran status, or criminal record, unless the provisions of section 46a-60(b), 46a-80(b) or 86a-81(b) of excluding persons in one or more of the above protected groups. Equal employment opportunity is the purpose and goal of affirmative action.

Western Connecticut State University's Affirmative Action Plan incorporates and lists federal and state constitutional provisions, law regulations, guidelines and executive orders prohibiting or outlawing discrimination, identifying classes of persons protected based on race, color, religious creed, age, sex, (including pregnancy) marital status, sexual orientation, national origin, ancestry, mental disability, genetic information, intellectual disability, physical disability, learning disability, gender identity or expression, veteran status, and criminal record, except for bona fide occupational qualifications.

The University outlines its employment process as one of recruitment, selection, assignment, compensation, promotion and upgrading, training, educational assistance, transfers, terminations, layoffs and recall, and all other terms, conditions and privileges of employment. Affirmative Action is an integral consideration throughout the entire employment process. The Associate Vice President of Human Resources and the Executive Assistant to the President/Chief Diversity Officer are responsible for ensuring that affirmative action remains in the forefront of each step of the employment process. An affirmative action discussion occurs throughout the employment process continuum. All facets of the employment process are linked to affirmative action.

Clearly, affirmative action and equal employment opportunity are immediate and necessary agency objectives for Western Connecticut State University. We shall affirmatively provide services and programs in a fair and impartial manner. We also recognize the hiring difficulties experienced by individuals who are physically disabled and many older persons, and will undertake measures to overcome the present effects of past discrimination, if any, to achieve the full and fair utilization of such persons in the work force. The procedures for adding or refilling any unclassified faculty position are outlined in the current Faculty Handbook.

Typically, the Chair of the Department must obtain approval from the School's Dean, who obtains final approval from the Provost/Vice President for Academic Affairs to advertise for the position. Then the Chair of the Department, or Department members acting together, prepare(s) the position announcement, which is first reviewed and approved by the appropriate School Dean. The Associate Vice President for Human Resources and the Executive Assistant to the President/Chief Diversity Officer reviews the position announcement. After the Search Committee is established, the Executive Assistant to the President/Chief Diversity Officer will routinely meet with and instruct its membership regarding the University's recruitment policy and related institutional goals to diversify the pool of candidates with respect to ethnicity, race, and gender. Through ongoing monitoring, the Executive Assistant to the President/Chief Diversity Officer advises the Search Committee as to the sufficiency or insufficiency of the composition of the pool for the purpose of achieving the goals of diversity.

Before the Search Committee prepares and recommends a list of the finalists, the Executive Assistant to the President/Chief Diversity Officer and the Chair of the Committee will consult regarding good faith efforts made to obtain diversity, obtain a goal candidate, whether the finalist is a goal candidate, and the completion of relevant documentation. Prior to the offering of a position to a candidate, the Provost/Vice President for Academic Affairs will request the Executive Assistant to the President/Chief Diversity Officer approve the candidate who is recommended for hire.

The Program Goals as set forth in the Affirmative Action Plan further detail the University's Affirmative Action requirements for the hiring process of all positions. As President of Western Connecticut State University, I am committed to the University adhering to and meeting the goals and timetables as set forth in the plan. The University is well positioned to continue Affirmative Action progress, and I will continue to exercise leadership and commitment to achieve the goals and timetables as set forth in the Affirmative Action Plan of Western Connecticut State University.

This policy is not limited to employment practices but extends to services and programs provided by the University. All executive, administrative, and supervisory personnel are expected to discharge their affirmative action responsibilities, in word and deed, consistent with the University's objective to establish and implement affirmative action and equal employment opportunity for all qualified persons.

As President of Western Connecticut State University, I pledge to make every good faith effort to realize the goals and timetables as set forth in the Affirmative Action Plan, and as required by pertinent state and federal legislation as set forth in the Affirmative Action Plan. Copies of the Affirmative Action Plan are housed in the Haas Library, the President's office, the Provost and Vice President for Academic Affairs' office, Human Resources, the office of Multicultural Affairs and Affirmative Action and online at <http://www.wcsu.edu/multicultural>.

Ms. Carolyn Lanier, Executive Assistant to the President/Chief Diversity Officer, is responsible for overseeing affirmative action and equal employment opportunity at the University. Ms. Carolyn Lanier is the University's full time Affirmative Action Officer. To this end, the Executive Assistant to the President/Chief Diversity Officer shall be concerned with equitable treatment of all of the University community. Ms. Lanier is located at: Western Connecticut State University, Midtown Campus, Old Main 101, 181 White Street, Danbury, Connecticut, 06810. Telephone and voice mail (203) 837-8277. Employees and others who wish to file a complaint of discrimination pertaining to Western

Connecticut State University may do so by contacting Ms. Lanier.

James W. Schmotter  
March 20, 2013

## Discrimination Grievance Procedure

The Affirmative Action Regulations by State Government require that Western Connecticut State University establish a system to process and resolve employee allegations of discrimination consistent with Chapters 67 and 68 of the Connecticut General Statutes. This requirement further stipulates that this system provide for the expeditious resolution of grievances, to assure that legal options for filing complaints with enforcement agencies are not foreclosed. The parameters for what this grievance procedure should include are also set forth in the Regulations and are incorporated into the University's discrimination grievance procedure. The University's discrimination grievance procedure has been approved by the Commission as meeting compliance with the Regulations.

In accordance with the Regulations, where informal allegations have resulted in complaints to enforcement agencies, the Plan shall provide information on the number of such complaints, investigating agency, whether such matter is currently pending, or the outcome thereof. The University does not unilaterally suspend or terminate an investigation or processing of internal complaints when the complaining party files a complaint with the CHRO and/or the United States Equal Employment Opportunity Commission.

All records relevant to employee grievances filed under Section 46a-68-46 of the Affirmative Action Regulations by State Government shall be maintained by the University for examination by the Commission. All records of grievances and dispositions thereof, shall be maintained and reviewed on a regular basis by the Executive Assistant to the President/Chief Diversity Officer Programs to detect any patterns in the nature of the grievances. In accordance with the Regulations, records so retained shall be confidential except where disclosure is required by law. Access shall include, but not be limited to, all documents presented or considered by the panel, should a panel be convened.

University employees regularly receive notice of the University's grievance procedure on an annual basis. Distribution takes place as an inclusion with the employee's paycheck, which ensure that all employees have been reached. In addition, all new employees receive notification of the grievance procedure as part of the initial Affirmative Action orientation process.

### Protection From Adverse Actions

All employees shall be free from all restraint, interference, coercion, or reprisal on the part of their associates, supervisors and all others in making any complaint or appeal, in serving as a representative for a complaint, in appearing as a witness, or in seeking information. The above principles apply with equal force after a complaint has been adjudicated. Should these principles be violated, the facts shall be brought to the attention of the Executive Assistant to the President/Chief Diversity Officer Programs by the aggrieved party, his/her representative or any person affected. The Executive Assistant to the President/Chief Diversity Officer Programs shall bring all such situations to the attention of the President and Associate Vice President for Human Resources for confidential discussion, review, the potential for early proactive intervention and appropriate action.

### Filing A Complaint

A complaint may be filed by any employee, applicant, student, or other person who believes that an employment/service practice at Western Connecticut State University has or will result in discrimination against him/her. A complaint of general discriminatory employment may also be filed. The complainant and respondent shall have the right to representation and shall be afforded due process. All complaints received are initially assessed for 90-day filing timeliness from the alleged occurrence of the act of discrimination, and jurisdiction of the Affirmative Action Office to initiate an investigation of discrimination.

The respondent shall receive a copy of the written complaint when it is filed and the complainant shall receive a copy of the written response, if any. The time frame for such notifications shall not exceed five working days. Also, the complainant and the respondent, to the extent required by law, shall be notified of the outcome of the complaint.

The Executive Assistant to the President/Chief Diversity Officer Programs may be contacted for confidential counseling regarding a particular matter, will provide confidential counseling as requested and necessary during the complaint process and ensure prompt consideration of complaints filed.

All complaints are to be filed with the University Executive Assistant to the President/Chief Diversity Officer by contacting: Ms. Carolyn Lanier, Executive Assistant to the President/Chief Diversity Officer, Western Connecticut State University, Old Main—Office 101, 181 White Street, Danbury, CT 06810. [Lanierc@wcsu.edu](mailto:Lanierc@wcsu.edu) Initial contact may also be made by calling (203) 837-8277.

Any person not able to file a complaint in the above manner because of a disability may use whatever method that is accommodating to him/her.

Individuals are advised of their legal options to file complaints with the Connecticut Commission on Human Rights and Opportunities, United States Equal Employment Opportunity Commission, United States Department of Labor, Wage and Hour Division and any other agencies, state, federal or local that enforces laws concerning discrimination in employment.

All complaints received that may subject an employee to disciplinary action must be reported to the Associate Vice President of Human Resources by the Executive Assistant to the President/Chief Diversity Officer and investigated, incorporating University personnel procedures into the investigation process. Any contested disciplinary action shall be pursued through the appropriate contract article or other external means of choice.

The Executive Assistant to the President/Chief Diversity Officer shall personally investigate and/or oversee all discrimination complaints filed with the University.

The Executive Assistant to the President/Chief Diversity Officer is required by law to investigate all discrimination complaints filed against the University. As part of the investigation process mediation may take place at the supervisory or department head level under the guidance of and with occurrence from the Executive Assistant to the President/Chief Diversity Officer, who will oversee the investigation process and who may also elect to mediate a complaint. The Executive Assistant to the President/Chief Diversity Officer Programs shall have full access to University records, resources, and staff in mediation, investigation, and resolution of complaints.



If, after investigation of a complaint, the Executive Assistant to the President/Chief Diversity Officer Programs has reasonable cause to believe that an act of discrimination may have taken place, or has the potential to take place, such findings shall be brought to the attention of the President and Associate Vice President of Human Resources for review and corrective action, as appropriate. The Executive Assistant to the President/Chief Diversity Officer is charged, in this regard, to conciliate and/or bring closure to the matter in a manner that eliminates the discriminatory act in question.

If, after investigation of a complaint, the Executive Assistant to the President/Chief Diversity Officer does not have reasonable cause to believe an act of discrimination may have taken place or has the potential to take place, the complainant shall be advised of this finding, in writing, and provided advisement again of his/her right to legal options to file complaints.

After investigation, the procedure provides for a hearing by a panel which is comprised of an individual who is not a constituent of either party and a constituent of each party, who will make recommendations to the President. If the President accepts a recommendation, the recommendation shall be implemented as soon as practical. The Executive Assistant to the President/Chief Diversity Officer is responsible for following up to ensure that the recommendation is implemented. Training shall be provided for those who serve on the panel. Time frames shall not exceed 90 days for filing, processing and resolution of such matters, time frames that are consistent with the Regulations for Affirmative Action by State Government.

## Connecticut University System Sexual Harassment Policy

**SECTION 1. Purpose**

The Connecticut State University System reaffirms and emphasizes its commitment to maintain a workplace and educational environment free from sexual and other forms of illegal harassment. Sexual and other harassment is reprehensible and subverts the mission of the university and will not be tolerated at the Connecticut State University System. It threatens the careers of employees, faculty and staff, and the educational experience of our students. The purpose of this policy is to prevent sexual harassment and to offer students and employees who believe they have been sexually harassed a means to redress any such claim with the goal of ending the harassment and providing an environment conducive to learning and working. Retaliation against an individual who complains about sexual harassment or who cooperates with an investigation of a complaint is unlawful and, if found to have occurred, will not be tolerated.

**SECTION 2. STATUTORY AUTHORITY**

Sexual harassment is prohibited by Title IX of the Education Amendments of 1972, Title VII of the Civil Rights Act of 1964, Section 46a-60 of the General Statutes of Connecticut and University policy. Harassment based on other protected classes covered by state or federal law is also prohibited. It is the intention of the CSU to take whatever appropriate action may be needed to prevent, correct, and if necessary, discipline behavior that violates this policy.

**SECTION 3. POLICY STATEMENT**

All members of the CSU community shall conduct themselves in an appropriate manner with concern, dignity and respect for others. The CSU community includes students, employees, and non-employees when they conduct business on CSU property. Sexual and other illegal harassment may occur between staff and staff, staff and student, student and student. Complaints of sexual and other illegal harassment within the Connecticut State University System will be taken seriously and investigated. Any member of the CSU community who violates this policy is subject to the full range of disciplinary action. While there is a difference between illegal conduct and unprofessional or inappropriate conduct in the CSU community sexual or other harassment in some instances need not be intentional to violate this policy. In the event of a charge of sexual harassment, a defense based upon consent will be given little weight when the facts establish an employee/student or supervisor/employee relationship existed. Since any significant power differential between members of the CSU community makes voluntary consent questionable, members of the faculty and staff are expected to be aware of their professional responsibilities and avoid apparent or actual conflict of interest.

An individual with a complaint concerning sexual harassment has a right to be heard. By means of these procedures, the CSU ensures an opportunity for an individual (Complainant), without fear of retaliation, to express a complaint and to seek a prompt and equitable resolution while protecting the rights of the person against whom the complaint has been filed (Respondent). These procedures shall be available to any person who, at the time of the act complained of, was an employee, student, or applicant for employment or admission to the Connecticut State University System.

**SECTION 4. DEFINITION OF SEXUAL HARASSMENT**

"Any unwelcome sexual advance or requests for sexual favors or any conduct of a sexual nature when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of substantially interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working or environment". In an academic setting sexual harassment would also include any unwelcome sexual advances or requests for sexual favors or any conduct of a sexual nature when submission to or rejection of such conduct by an individual might affect academic or personal decisions that are subject to the influence of the person making the proposal.

The law currently recognizes two various forms of sexual or other harassment:

**1. Quid Pro Quo.**

Unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when:

- a. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's academic work or employment; or
- b. Submission to or rejection of such conduct by an individual is used as the basis of employment or academic decisions affecting such individuals; and

**2. Hostile Environment**

- a. Such contact affects or interferes with an individual's work or academic performance or creates an intimidating, hostile or offensive academic or working environment. Hostile environment sexual harassment involves speech or conduct that is directed at someone because of their gender and/or is conduct of a sexual nature. Such speech or conduct includes, but is not limited to, unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature.
- b. Such speech or conduct is reasonably regarded as offensive and substantially impairs the academic or work opportunity of students, colleagues or co-workers. This policy shall not be interpreted so as to constitute interference with academic freedom.

**3. Gender Harassment.**

Gender harassment is a form of sexual harassment, which consists of discriminatory behavior towards an individual based on gender. It includes the use of sexist language, illustrations, examples and gestures that demonstrate discriminatory behavior. Sexually related conduct forms the basis of a sexual harassment claim if a reasonable person of the same gender would consider the actions sufficient to interfere unreasonably with the academic and/or employment performance of the Complainant.

#### **4. Other Harassment**

Harassment against any other protected class member covered by state or federal law.

### **SECTION 5. EXAMPLES OF SEXUAL HARASSMENT**

While it is not possible to list all conduct which may constitute sexual harassment, the following are some examples of conduct which may constitute sexual harassment depending upon the totality of the circumstances, including the severity of the conduct and its pervasiveness. Examples of sexual harassment may include but are not limited to:

1. Direct unwanted proposition of a sexual nature.
2. Direct or implied threats that submission to sexual advances is a condition of employment, promotion, or advancement in grades, letters of recommendation, scholarships, or any related matter.
3. A pattern of conduct intentionally intended and/or which has the effect of humiliating another that includes examples of the following: comments of a sexual nature; sexually explicit statements, questions, anecdotes, jokes, pictures, or other written materials;
4. A pattern of conduct that would humiliate another (using the reasonable person standard) which would include the following: unnecessary touching, patting, hugging, or brushing against another's body, remarks of a sexual nature about a person's clothing or body, or remarks about sexual activity or speculations about sexual experiences.

### **SECTION 6. CONFIDENTIALITY**

The Connecticut State University System is committed to take corrective action when it becomes aware of a problem involving sexual or other harassment. Individuals who feel that they have been subjected to any instance of sexual or other harassment or instances of a pattern of sexual or other harassment are strongly encouraged to come forward with complaints regarding sexual harassment and to seek assistance from CSU officials. The CSU cannot insure confidentiality upon receipt of a complaint of sexual harassment; however, dissemination of information relating to the case should be limited, in order that the privacy of all individuals involved is safeguarded as fully as possible to the extent permitted by law. The CSU will enforce compliance with the non-retaliation provision of this policy. The CSU may proceed to investigate a complaint without the consent of the individual who originally filed the complaint.

### **SECTION 7. COMPLAINT PROCEDURES**

The Connecticut State University System is committed to take reasonable care to prevent and correct any sexually or other harassing behavior or other forms of unlawful discrimination at the System Office and on its four university campuses. Complaints alleging a violation of this policy shall be addressed through established discrimination and sexual harassment procedures at each university. Procedures for the handling of complaints involving claims of discrimination or sexual harassment are available through the Affirmative Action Officer at the university. These procedures will allow for an informal resolution of the complaint. If the informal process is unsuccessful or if the Complainant wishes to bypass the informal process, he/she may file a formal complaint. Complaints should be lodged as soon as possible after the alleged incident, but no later than 180 days after said incident.

Students alleging a violation of this policy may file a sexual or other harassment complaint following established procedures noted in their University's Student Handbook.

### **SECTION 8. ALTERNATIVE LEGAL REMEDIES**

Nothing contained in the Policy is intended to deny any member of the Connecticut State University community the right to pursue other avenues of recourse in the event he/she believes that he/she has experienced sexual harassment. Such recourse may include filing charges with a state or federal enforcement agency, or initiating civil or criminal action under state and federal law. Complaints must be filed within 180 days with the Connecticut Commission on Human Rights and Opportunities, 21 Grand Street, Hartford, CT 06106, Telephone 860-477-5737.

### **SECTION 9. DISSEMINATION OF POLICY**

This Policy shall be conspicuously posted in the System Office. The System Office and each university shall conform to statutory requirements for posting. In addition, each university shall ensure its dissemination in accordance with established practice. This policy shall appear in the student handbook and faculty handbook and shall be reviewed periodically for compliance with state and federal law.

FOR FURTHER INFORMATION ABOUT THIS POLICY OR INFORMATION REGARDING THE PROCESS FOR FILING A COMPLAINT, CONTACT THE AFFIRMATIVE ACTION DIRECTOR. STUDENTS SHOULD CONSULT THEIR UNIVERSITY STUDENT HANDBOOK FOR FURTHER INFORMATION REGARDING THE PROCESS FOR FILING A COMPLAINT.

CSU-BR#99-42  
June 11, 1999

WCSU Contact: Executive Assistant to the President/Chief Diversity Officer

## Local and Contract Procedures Concerning Professional Assessment

### **I. Contract Procedures**

Each tenured member shall receive one Professional Assessment every six (6) years unless: (a) the DEC, in an effort to assist, schedules the next Assessment in less than six (6) years; or (b) the affected member requests more frequent Assessment. The DEC shall honor such requests. The purpose of this assessment shall be to measure the member's teaching effectiveness, and/or primary professional function, service to the department and university, scholarship, and professional activity in order to further the member's professional growth.

In making its Assessment, the DEC shall seek and use student and peer assessments as indicated by Article 4.11.7 of the CSU-AAUP Collective Bargaining Agreement. (See also Article 4.12) Peer evaluation (classroom observation) in the form of a written report and data from a written student survey instrument are required components of a Professional Assessment of members whose workload includes classroom teaching. All Assessments completed by the DEC will be reviewed by the appropriate Academic Dean and Academic Vice President, as referred to them by department chairpersons, before transmitting a copy of the Assessment to the President.

The original DEC Professional Assessment shall be placed in the member's personnel file.

### **II. Local Procedures Developed By The University Senate**

1. The DEC shall inform each member to be assessed in writing of:
  - a. the opportunity to submit information to the DEC.
  - b. the fact and purpose of the assessment.
  - c. the opportunity to appear before the DEC
2. Each Assessment shall be signed by all members of the DEC.
3. A copy of the assessment shall be:
  - a. sent to the affected member upon issuance.
  - b. placed in the member's personnel file.
  - c. sent to the appropriate dean or director.
4. The Professional Assessment form which must be used follows this page and should be placed in the member's file by February 1 of the appropriate academic year.

[Form: Professional Assessment](#)

[Form: Professional Assessment Of Tenured Faculty](#)

*March 19, 1980; Revised: March 1996  
Senate Revised: May 19, 1999  
Adm. Approved: Sept. 1999*

DEPARTMENT EVALUATION COMMITTEE  
Professional Assessment

Faculty Member \_\_\_\_\_

Department \_\_\_\_\_

The purpose of this assessment shall be to measure the member's:

1. Teaching effectiveness and/or primary professional function.
2. Service to the Department and the University.
3. Scholarship and professional activity in order to further the member's professional growth.

In making its assessment, the DC shall seek and use student and peer assessments as required by Article 4.11.7 of the CSU-AAUP Collective Bargaining Agreement.

Satisfactory \_\_\_\_\_

Unsatisfactory \_\_\_\_\_

**A supporting narrative must be attached explaining the rating.**

Members of DEC	Date
_____	_____ 20__
_____	_____ 20__
_____	_____ 20__
_____	_____ 20__
_____	_____ 20__
_____	_____ 20__
Faculty Member	Date
_____	_____ 20__
Dean or Director	Date
_____	_____ 20__
Provost/Vice President for Academic Affairs	Date
_____	_____ 20__

*This document may be found on the K drive in the Temp-Shared/Human Resources/Evaluation Material/Professional Assessment Cover Page*

DEPARTMENT EVALUATION COMMITTEE REPORT  
Professional Assessment Of Tenured Faculty

Faculty Member \_\_\_\_\_ Rank \_\_\_\_\_

Department \_\_\_\_\_ Date \_\_\_\_\_ 20\_\_\_\_

Identify strengths and weaknesses in narrative form (*see Article 4.11.9.1*).

- (1) Article 4.11.9.1-Load credit activity for which the member receives load credit or the equivalent, e.g., one or more of the following: teaching, coaching, counseling, department chairperson, division director, library services, research, student supervision, or any other function specified in a letter of appointment or subsequent extension or modifications of such appointment (see Article 4.7), or identified in a letter of agreement (see Article 10.4).
- (2) Article 4.11.9.1-Creative activity appropriate to one's field, such as delivering papers at professional conferences, production/performance or artistic works, research, study, and publication.
- (3) Article 4.11.9.3-Productive service to the department and university.
- (4) Article 4.11.9.4-Professional activity, e.g., attendance and participation in conferences and workshops, membership and service in appropriate professional organizations, and other professional activities.
- (5) Article 4.11.9.5-Years in Rank.



## Promotion, Tenure, Professional Assessment and Annual Evaluation Procedures for Teaching Faculty Members, Librarians, Athletic Coaches, And Non-Instructional Athletic Trainers

### **I. Departmental Evaluation Committee (DEC) Responsibilities**

- A. Evaluation of non-tenured teaching faculty members, librarians, athletic coaches, and non instructional athletic trainers.
- B. Evaluation of teaching faculty members, and librarians for tenure.
- C. Evaluation of teaching faculty members, including librarians, athletic coaches, and non instructional athletic trainers for promotion.
- D. Within the limits of the CSU-AAUP contract and legal limits, maintenance of complete and absolute confidentiality about all data and deliberations.

### **II. Departmental Evaluation Committee Membership**

Departments may set their own rules regarding rank and number of members of the DEC provided that all members are tenured and that the committee consists of at least three people.

- A. The membership of the DEC shall include only tenured members of the department.
- B. In no case shall persons under consideration for promotion serve on any DEC during any deliberations for promotion.
- C. If, in the judgment of the University President, these provisions work a hardship on a department, the department shall develop and approve a list of tenured members from allied disciplines and shall seek members from that list in forming the DEC. If the department requests, the School Dean (or Director) will assist in the formation of the DEC. Such DEC's shall follow the procedure set by the department involved.
- D. Departmental procedures for DEC's must be consistent with the current CSU-AAUP contract and this document.
- E. Tenured department chairpersons may be members of the DEC. In no case, however, shall a department chairperson being considered for promotion participate in the promotion evaluation process as a member of the DEC.

### **III. Evaluation Procedures And Considerations**

A. The DEC Chairperson shall inform each member being evaluated in writing of (a) the fact and purpose of the evaluation; (b) the opportunity to submit material to the DEC, and (c) the opportunity to appear personally before the DEC prior to the DEC recommendation. (Refer to current Collective Bargaining Agreement and Department By laws.) A suggested memorandum that may be used by the DEC Chairperson has been attached to these procedures.

By October 1 of each year the DEC shall send a list of the members being evaluated for promotion and tenure (with their present rank) to the appropriate Dean or Director, the University Promotion and Tenure Committee, and the Associate Vice President for Human Resources for informational purposes only.

B. In accordance with the due dates established in the AAUP Collective Bargaining Agreement, the member being evaluated should prepare and submit all relevant material to be considered for evaluative purposes directly to the DEC. Each page of the material submitted should be numbered and the total number of pages submitted must be provided. If the member provides other supporting material such as books, art portfolios, etc., then the member should prepare a table of contents listing all the material presented for consideration.

C. In making its annual evaluations and its promotion and tenure evaluations, the DEC shall make peer evaluations and shall obtain and use written student evaluations and consider materials supplied by the candidate.

D. The University President or his designee shall make available to the DEC and the Promotion and Tenure Committee (when a member is being considered for promotion and/or tenure) the personnel file of those members being evaluated. It is understood that the appropriate Dean or Director, Provost/V.P. for Academic Affairs and other administrators may access a personnel file for operational needs of the University. The member must understand that it is his/her responsibility to make sure that the file contains, in addition to the current curriculum vitae any official documents such as legal transcripts.

E. The DEC shall make a written evaluation and recommendation with supporting reasons which is signed and dated by all members of the DEC. The DEC shall issue their written evaluation and recommendation on the form titled "Department Evaluation Committee Written Evaluation and Recommendation Report." Separate evaluation forms have been developed for teaching faculty members, librarians, athletic coaches, and non-instructional athletic trainers.

F. Department chairpersons who are not members of the DEC shall submit at least one calendar week prior to the due date for the DEC evaluation and recommendation, a separate signed and dated evaluation to the DEC for its consideration. This evaluation will be attached to the DEC recommendation. In no case, however, shall a department chairperson being considered for promotion participate in the promotion evaluation process; being considered for tenure participation in the tenure evaluation process; or being considered for renewal participate in the renewal evaluation process.

G. In the event the evaluatee feels that a DEC member has abrogated his/her responsibilities by absenting himself/herself from deliberations, the evaluatee may request that appropriate academic dean or director investigate the situation. The evaluatee must make this request to the academic dean or director no later than five working days after receipt of the DEC written evaluation and recommendation report. If the dean or director finds that a DEC member has abrogated his/her responsibilities, then the academic dean or director shall direct the DEC to reevaluate the member and issue a new evaluation and written recommendation based upon the reevaluation.

H. By the appropriate date, the DEC shall transmit its written evaluation and recommendation with supporting reasons to the appropriate academic dean or director, together with all material submitted to and considered by the DEC. A copy of the DEC's recommendation including supporting reasons and any material considered by the DEC which was not submitted by the member shall be sent to the affected member upon issuance. The original copy of the DEC's written evaluation and recommendation with supporting reasons shall be placed in the member's personnel file.

I. The Dean or Director shall review and consider all of the materials submitted by the DEC and make a recommendation based primarily on these materials. A copy of the Dean or Director's recommendation shall be sent to the affected member upon issuance and a copy placed in the member's personnel file.

J. The following procedures are applicable only to the annual renewal evaluation of non-tenured members and the evaluation members employed on term contracts:

1. An evaluation shall be done after completing a full semester of service and annually thereafter, in accordance with department bylaws and the CSU-AAUP contractual criteria for tenure.
2. The criterion for evaluating and recommending full-time non-tenured members shall be the criterion stated in the current CSU-AAUP Collective Bargaining Agreement for teaching faculty members or the criterion for librarians. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the current CSU-AAUP Collective Bargaining Agreement shall be considered in the evaluation process for renewal, promotion, or tenure.

The criterion for evaluating and recommending full-time members employed on term contracts shall be the criterion stated in the current CSU-AAUP Collective Bargaining Agreement for athletic coaches or the criterion for non-instructional athletic trainers. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the current CSU-AAUP Collective Bargaining Agreement shall be considered in the evaluation process for renewal, promotion, or tenure.

3. The Dean or Director shall send his/her recommendation along with all of the previously submitted material to the appropriate Vice President. A copy of the Dean or Director's recommendation and any new material considered by the Dean or Director shall be sent to the affected member upon issuance and a copy of the Dean or Director's recommendation shall be placed in the member's personnel file.
  4. After his/her review of the material, the Vice President shall return to the member any material the member has submitted for consideration during the evaluation process.
- K. The following procedures are applicable only to the evaluation of members for promotion and/or tenure
1. The department chairperson shall inform its members who are eligible for consideration for promotion.
  2. Unless requested otherwise, members shall be considered for promotion as they become eligible.
  3. A member not wishing to be considered for promotion must so indicate in writing to the department chairperson with a copy sent to the University President.
  4. A promotion recommendation may be initiated by the department pursuant to Article 5.3.5 of the current CSU-AAUP contract.
  5. Candidates with a terminal degree or comparable credentials are eligible to apply for promotion during their fifth year in rank.
  6. Candidates without a terminal degree or comparable credentials are eligible to apply for promotion during their tenth year in rank.
  7. A member who wishes to apply for tenure before the sixth year may do so by applying to his/her DEC. A copy of the application should be sent to the appropriate Dean or Director. Normally, four years of full time experience at the college level in the appropriate department (academic, library, counseling) with two of these years at Western are suggested before applying for tenure or the number of years mutually agreed to by the member and the University President (or designee) not later than the end of the first semester's service.
  8. **Promotion.** The criterion for evaluating and recommending full-time members shall be the criterion stated in the current CSU-AAUP Collective Bargaining Agreement for either teaching faculty members, librarians, athletic coaches, and non-instructional athletic trainers. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the current CSU-AAUP Collective Bargaining Agreement shall be considered in the evaluation process for renewal, promotion, or tenure.
  9. **Tenure:** The criterion for evaluating and recommending full-time members shall be the criterion stated in the current CSU-AAUP Collective Bargaining Agreement for teaching faculty members or the criterion for librarians. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the current CSU-AAUP Collective Bargaining Agreement shall be considered in the evaluation process for renewal, promotion, or tenure. Leaves without pay shall be classified as: (a) pursuit of the member's scholarly discipline; or (b) other purposes. Leaves in pursuit of the member's scholarly discipline shall be considered a period of service for purposes of seniority, eligibility for tenure, promotion, or sabbatic leave.
  10. The Dean's (or Director's) recommendation, along with all of the previously submitted material, shall be transmitted to the University Promotion and Tenure Committee. At the time it is sent, a copy of the Dean's (or Director's) recommendation (with all comments) shall be sent to the affected member and a copy shall be placed in the member's personnel file.
  11. The deans for each school and the appropriate directors shall forward all material to a designated central location where it can be accessed by the P & T Committee, Provost/Vice President for Academic Affairs, and the President.
  12. After conclusion of the promotion and tenure process, all material submitted by the candidate will be offered back to the member within 60 days. If a dispute regarding the promotion and or tenure process arises after the material has been returned to the faculty member, the faculty member must provide the University with a copy of all the material submitted thirty (30) days from when the dispute is initiated.

*September 1982  
Revised: Mar. 1996  
Revised Dec. 2001  
Revised Feb 2003*

L. Summary of promotion and tenure procedural guidelines

1. The DEC chairperson shall send the letter which follows about department evaluations to:
  - a. The Vice President for Human Resources.



- b. The Promotion and Tenure Committee Chairperson.
  - c. The appropriate Dean or Director.
2. The DEC report should include:
- a. Peer evaluations (e.g., classroom observations, etc.)
  - b. CV (curriculum vitae) of the candidate.
  - c. Student evaluations and/or their summaries from most recent semesters.
  - d. Statement clarifying the "primary professional function" for those faculty whose primary function is not teaching (e.g., library work, etc.), as well as any special conditions incorporated within appointment letters.
  - e. Separate reports for promotion and tenure if a candidate is being evaluated for both in the same year.
3. The DEC shall prepare a total of three (3) copies of the entire DEC Written Evaluation and Recommendation Report and distribute:
- a. One copy to the candidate.
  - b. One copy to the Dean or Director.
  - c. The original signed copy to the member's personnel file.
4. The Dean shall prepare a total of three (3) copies of his/her recommendation and distribute:
- a. One copy to the candidate.
  - b. One copy, with the DEC report, to the chairperson of the Promotion and Tenure Committee.
  - c. The original recommendation shall be sent to the member's personnel file.
5. Listed below are the administratively approved terminal degrees (not doctoral degrees) according to the definition used in the Semi Annual Statistical Report of the Connecticut State University System: MBA/CPA for teachers of accounting only
- MFA for teachers of fine or applied arts (not including art history or education)
  - MLS for librarian
  - MSW for teachers of social work
  - JD or LLB for teachers of business law
6. Additional and/or comparable credentials and/or experience defined in individual departmental side letters or letters of appointment shall be taken into consideration by all persons and committees involved in the evaluation process, pursuant to Article 5.3.5 (Comparable Standards) of the CSU-AAUP Collective Bargaining Agreement.

*Revised Senate Approval: R-03-02-02*  
*Admin. Approval: 4/17/03*

## Policies For Promotion, Tenure, And Evaluation

The following recommendations apply to the evaluations of all WCSU AAUP members. In the case of librarians, counselors, athletic coaches, and athletic trainers, the word "director" shall be substituted for "dean" wherever appropriate.

1. Department Evaluation Committees should be elected by the departments, except in "hardship" cases. (Note: "hardship" is defined in the CSU-AAUP Collective Bargaining Agreement)
2. A department may allow its DEC the use of an outside peer evaluator. Such peer evaluator should have demonstrated expertise in the area of the candidate's responsibilities. If an outside peer evaluator is used, his/her evaluation should be available to the DEC, the Dean, and the Promotion and Tenure Committee. A candidate may introduce evaluation from an outside peer evaluator for the consideration of the DEC, the Dean, the Promotion and Tenure Committee, and the President.
3. All persons in a department who are eligible to serve on its DEC have the responsibility to serve.
4. It is the responsibility of the chairperson of the department to see to it that the DEC's are constituted appropriately and in a timely manner. If a member of a department believes that the composition of the DEC is inappropriate or not timely, appeal may be made to the Vice President for Human Resources. DEC members, peer evaluators, department chairs, and all others who write evaluations or recommendations should be clearly identified in the evaluations/ recommendations.
5. It is recommended that a faculty member be notified at least one (1) year in advance by the department chairperson of his/her evaluation and its requirements. However, this does not change the contractual requirements as enumerated in 4.11.3 of the Collective Bargaining Agreement.
6. The DEC report should contain the material on which the DEC's evaluation was based (except the material that already exists in the personnel file). Summaries of student evaluations may be placed in the personnel file instead of the student evaluations. However, if student comments are included in the DEC report, then all the raw student evaluations should be placed in a supplemental file. Such a supplemental file should remain in the Human Resources Office until the conclusion of the current evaluation process (President's action).
7. The CSU-AAUP Collective Bargaining Agreement establishes five categories for evaluating faculty members. The Collective Bargaining Agreement also allows special conditions under article 4.7 in letters of appointment. Quality is the criterion in each category or condition. Departments, through their bylaws, shall articulate the expectations by which quality of performance in each of the five categories (except #5, rank) is to be judged. This information should be made available to the Dean, the Promotion and Tenure Committee, and the President.
8. A department chairperson's evaluation of a candidate should be submitted to the DEC for its deliberations prior to the writing of the DEC report (unless the chairperson is a DEC member). The candidate shall be provided a copy of the chairperson's evaluation at the same time as it is given to the DEC.
9. It is the responsibility of the candidate to provide evidence for claims of accomplishments. In the absence of such evidence the claims should be ignored. Candidates should remove duplicate material from their personnel files with the consent of the Human Resources Office or put such material in a sub file clearly marked "duplicates."
10. DEC's and Deans should cite appropriate documentation in the candidate's personnel file to support their evaluations where such documentation exists. This does not preclude the use of other evaluative material or assessments and records of disciplinary action which may be used by the DEC or the Dean (refer to 4.14.1 of the Collective Bargaining Agreement).
11. A Dean should meet with a candidate if the candidate so requests at the time of the evaluation. Similarly, a candidate should meet with the Dean if the Dean so requests. Either the Dean or the candidate (or both) has the right to have a representative present.
12. Student evaluations should be done for most of the courses taught by the faculty member for at least one year prior to his/her evaluation. However, all the courses taught by the faculty member during the year should be listed in the DEC report. A department may, through its bylaws, require student evaluations for a longer period than one year. All student evaluations should be conducted with department-approved instruments. The course number and the total number of students enrolled in the course at the time the evaluation is conducted should be identified. All required student evaluations, as well as those submitted by the candidate, should be considered by the DEC, the Dean, and the P & T Committee.
13. Since the Deans and the P & T Committee are to take the student evaluations into account when faculty members are evaluated, some commonality in the student evaluation instruments is necessary. In addition, the P & T Committee should not have to judge the comparative merits of the instruments. In order for the student evaluations to be useful to the P & T Committee, they should, at a minimum, contain information on the following:
  - a. Quality of teaching
  - b. Course content
  - c. Clear criteria for grading
  - e. Grading fairness
  - f. Accessibility of the instructor outside the classroom
  - g. Clarity in the presentation of the subject matter
  - h. Frequency of class cancellations
14. When the annual list of eligible candidates is sent to department chairpersons and Deans (usually done by the Provost/Vice President for Academic Affairs) a copy of the above recommendations, as accepted by the Senate and approved by the President, shall also be sent with the list.

[Form: Suggested DEC Chairperson's Memorandum](#)

[Form: DEC Written Evaluation and Recommendation Report for Teaching Faculty](#)

[Form: DEC Written Evaluation and Recommendation Report for Athletic Coaches](#)

[Form: DEC Written Evaluation and Recommendation Report for Athletic Trainers](#)

Form: DEC Written Evaluation and Recommendation Report for Librarians

Approved Senate: 12/18/91  
Administrative Approval: 12/19/91  
R91-4-17  
R91-12-2

Revised:  
Senate: 4/19/00  
Administrative Approval: 5/4/00  
R00-3-2

Suggested DEC Chairperson's Memorandum

**TO:** \_\_\_\_\_

**FROM:** \_\_\_\_\_, *DEC Chairperson*  
 \_\_\_\_\_, *Department*

**RE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_ 20\_\_

The Department Evaluation Committee of the \_\_\_\_\_ Department is scheduled to evaluate you. The purpose of this evaluation is \_\_\_\_\_. The members of the Department Evaluation Committee who will conduct the evaluation are as follows:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Please be aware that you have the opportunity to submit material directly to the DEC in accordance with the evaluation due dates established in Table 1 (in Article 4) of the CSU-AAUP collective bargaining agreement. You also have the opportunity to appear personally before the DEC prior to the DEC's recommendation.

**CC:** \_\_\_\_\_, *Academic Dean or Appropriate Director*  
 \_\_\_\_\_, *Human Resource Department*  
 \_\_\_\_\_, *Chair of the P & T Committee*<sup>1</sup>

*Rev. Senate R-01-09-06  
 Admin Approval 1/3/02*

*1- The Chair of the Promotion and Tenure Committee should only be issued a copy of this memorandum for candidates who are being considered for either tenure or promotion in rank.*



***We the undersigned members of the DEC, submit the attached written evaluation and recommendation. We certify that this report shall be distributed in accordance with the following distribution instructions.***

**Distribution Instructions:** *The Department Evaluation Committee shall make three copies of their written evaluation and recommendation (this form) with supporting reasons. The original copy of this form along with the written evaluation should be placed in the member's personnel file. The second copy should be transmitted to the appropriate dean (or director), and the third copy should be provided to the affected member upon issuance.*

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**I, the subject of this evaluation, am signing this to indicate that I have received a copy of the Department Evaluation Committee's written evaluation and recommendation. I may submit additional comments to the appropriate Dean in accordance with the following schedule:**

1st Year Appointees	Within three (3) calendar days after the DEC due date
2nd Year or Later Appointees	Within one (1) calendar week of the DEC due date
Tenure and Promotion Candidates	Within one (1) calendar week of the DEC due date

Signature: \_\_\_\_\_ Date \_\_\_\_\_

*Revised Senate R-03-02-02  
Administrative Approval 4/17/03*

Athletic Department Evaluation Committee Written Evaluation and Recommendation Report for Athletic Coaches

**Preface** – The following form should be used by the Athletic Department Evaluation Committee to issue their written evaluation and recommendation report for the renewal evaluation and recommendation for athletic coaches and trainers; and athletic coaches; and athletic coaches applying for promotion in rank.

Faculty Member:	_____
Rank:	_____
Department:	_____
Academic Year 20_____ - 20_____	
Evaluation Purpose <sup>1</sup> :	_____
Overall Rating for Renewal of Defined Term Appointment <sup>2</sup> :	_____

<p><b>DEC Recommendation:</b> The DEC should provide their recommendation regarding either: 1) Renewal of Defined Term Appointment; or 2) Promotion in Rank.</p>

*1 Evaluation Purpose may be either 1) Annual Defined Term Appointment Renewal Evaluation; or 2) Promotion in Rank.*

*2 An overall rating of "Satisfactory", "Marginal", or "Unsatisfactory" should be provided for the annual defined term appointment evaluation. No overall rating is necessary for a promotion.*

The DEC should identify strengths and weaknesses in narrative form for the following evaluation criterion and categories.

<p>1. Article 6.8.1 Administration and conduct of the assigned sport (e.g., adherence to institutional policies and applicable external rules governing the sport, fund raising, budget management, general program organization and administration).</p> <p>_____</p>
<p>2. Article 6.8.2 Relationship with student athletes (e.g., recruitment of qualified student athletes, maintenance of acceptable graduation rates as established by the institution and team management).</p> <p>_____</p>
<p>3. Article 6.8.3 Record of student athletes in competitive performance (e.g., program development, record of successful competitions).</p> <p>_____</p>
<p>4. Article 6.8.4 Productive service to the department and University.</p> <p>_____</p>
<p>5. Article 4.11.9.5 Years in Rank</p>



**We the undersigned members of the DEC, submit the attached written evaluation and recommendation. We certify that this report shall be distributed in accordance with the following distribution instructions.**

**Distribution Instructions:** The Department Evaluation Committee shall make three copies of their written evaluation and recommendation (this form) with supporting reasons. The original copy of this form along with the written evaluation should be placed in the member's personnel file. The second copy should be transmitted to the Athletic Director, and the third copy should be provided to the affected member upon issuance.

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**I, the subject of this evaluation, am signing this to indicate that I have received a copy of the Department Evaluation Committee's written evaluation and recommendation. I may submit additional comments to the Athletic Director in accordance with the following schedule:**

1st Year Appointees

Within three (3) calendar days  
after the DEC due date

2nd Year or Later Appointees

Within one (1) calendar week of  
the DEC due date

Tenure and Promotion Candidates

Within one (1) calendar week of  
the DEC due date

Signature: \_\_\_\_\_

Date \_\_\_\_\_

*Revised Senate R-03-02-02  
Administrative Approval 4/17/03*



***We the undersigned members of the DEC, submit the attached written evaluation and recommendation. We certify that this report shall be distributed in accordance with the following distribution instructions.***

**Distribution Instructions:** *The Department Evaluation Committee shall make three copies of their written evaluation and recommendation (this form) with supporting reasons. The original copy of this form along with the written evaluation should be placed in the member's personnel file. The second copy should be transmitted to the Athletic Director, and the third copy should be provided to the affected member upon issuance.*

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**I, the subject of this evaluation, am signing this to indicate that I have received a copy of the Department Evaluation Committee's written evaluation and recommendation. I may submit additional comments to the Athletic Director in accordance with the following schedule:**

1st Year Appointees	Within three (3) calendar days after the DEC due date
2nd Year or Later Appointees	Within one (1) calendar week of the DEC due date
Tenure and Promotion Candidates	Within one (1) calendar week of the DEC due date

Signature: \_\_\_\_\_ Date \_\_\_\_\_

*Revised Senate R-03-02-02  
Administrative Approval 4/17/03*



*We the undersigned members of the DEC, submit the attached written evaluation and recommendation. We certify that this report shall be distributed in accordance with the following distribution instructions.*

**Distribution Instructions:** The Department Evaluation Committee shall make three copies of their written evaluation and recommendation (this form) with supporting reasons. The original copy of this form along with the written evaluation should be placed in the member's personnel file. The second copy should be transmitted to the Library Director, and the third copy should be provided to the affected member upon issuance.

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**I, the subject of this evaluation, am signing this to indicate that I have received a copy of the Department Evaluation Committee's written evaluation and recommendation. I may submit additional comments to the Athletic Director in accordance with the following schedule:**

1st Year Appointees	Within three (3) calendar days after the DEC due date
2nd Year or Later Appointees	Within one (1) calendar week of the DEC due date
Tenure and Promotion Candidates	Within one (1) calendar week of the DEC due date

Signature: \_\_\_\_\_ Date \_\_\_\_\_

*Rev. Senate R-01-09-06  
Admin Approval January 3, 2002  
Rev. Senate R-03-02-02  
Admin. Approval 4-17-03*

**DIRECTOR OF COUNSELING  
WRITTEN EVALUATION AND RECOMMENDATION REPORT  
FOR COUNSELORS**

**Preface** – The following form should be used by the Director of Counseling (DoC) to issue his/her written evaluation and recommendation report for non-tenured faculty, faculty applying for promotion in rank, faculty being considered for tenure, and professional assessment of members employed as Counselors.

Faculty Member: \_\_\_\_\_

Rank: \_\_\_\_\_

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

Academic Year 20\_\_\_\_ - \_\_\_\_

Evaluation Purpose<sup>1</sup>: Promotion in Rank

Overall Rating for Renewal of Non-Tenured Faculty<sup>2</sup>: \_\_\_\_\_

**DoC Recommendation:** The DoC should provide their recommendation regarding either: 1) Renewal of a Non-Tenured Faculty Member; 2) Promotion in Rank; or 3) The Award of Tenure.

<sup>1</sup> Evaluation Purpose may be either 1) Annual Non-Tenure Evaluation; 2) Promotion in Rank; 3) Tenure Consideration or 4) Professional Assessment.

<sup>2</sup> An overall rating of "Satisfactory", "Marginal", or "Unsatisfactory" should be provided for the annual non-tenure renewal evaluation. No overall rating is necessary for a promotion or tenure evaluation.

The DoC should identify strengths and weaknesses in narrative form for the following evaluation criterion and categories.

1. *Article 7.3.1.1 - Load Credit Activity - Professional effectiveness in providing counseling in the area appropriate to the specialty(ies).*

2. *Article 7.3.1.2 - Professional activity, e.g. attendance and participation in conferences and workshops, membership and service in appropriate professional organizations and other professional activities.*

**3. Article 7.3.1.3 Productive service to the department and University.**

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**4. Article 7.3.1.4 - Creative activity appropriate to one's field, such as delivering papers at conferences, research, study and publication.**

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5. *Article 7.3.1.5 - Years in Rank*

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I the undersigned Director of the Counseling Center, submit the attached written evaluation and recommendation. I certify that this report shall be distributed in accordance with the following distribution instructions.

**Distribution Instructions:** *The Director of Counseling Center shall make three copies of his/her written evaluation and recommendation (this form) with supporting reasons. The original copy of this form along with the written evaluation shall be placed in the member's personnel file. The second copy should be transmitted to the Dean of Student Affairs, and the third copy should be provided to the affected member upon issuance.*

**Director of Counseling**

Printed Name \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

I, the subject of this evaluation, am signing this to indicate that I have received a copy of the Department Evaluation Committee's written evaluation and recommendation. I may submit additional comments to the appropriate Dean in accordance with the following schedule:

1 <sup>st</sup> Year Appointees	Within three (3) calendar days after the DoC due date
2 <sup>nd</sup> Year or Later Appointees	Within one (1) calendar week of the DoC due date
Tenure and Promotion Candidates	Within one (1) calendar week of the DoC due date

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Assessment and Evaluation of Administrative Faculty**

Procedures on Evaluation of Administrative Faculty and the maintenance of the Personnel File are detailed in the current "Collective Bargaining Agreement between State University Organization of Administrative Faculty AFSCME-Council 4- Local 2836 and the Board of Trustees for Connecticut State University System."

## Student Policies and Procedures

Descriptions of the principal responsibilities of the activities that fall under the purview of the Dean of Students are contained under University Organization.

The following publications and documents should be referred to for detailed information on policies, services, and procedures on student-related activities.

### **1. The Student Handbook - Available online. Following is a partial list of areas covered in detail:**

- |                                      |  |
|--------------------------------------|--|
| a. University Buildings and Services | f. Frequently Asked Questions about Academics  |
| b. Academic Calendar                 | g. Frequently Asked Questions - General Topics |
| c. A-Z of Student Services           | h. University Policies                         |
| d. Contact Information               | i. Student Code of Conduct                     |
| e. Clubs and Organizations           | j. Fun Info and Maps                           |

### **2. Role of Faculty Advisor - Available from the Center for Student Involvement**

- a. Policy Affecting Campus Student Groups
- b. Reserving Rooms and Spaces for Meetings
- c. Specific Duties of Group and Club Advisors
- d. Regulations Affecting Student Program Activities and Faculty Advisors
- e. Sponsored Trip Approval Request Form (available from the Center for Student Involvement and at [www.wcsu.edu/studentlife](http://www.wcsu.edu/studentlife))

## Family Educational Rights and Privacy Act (FERPA)

Western Connecticut State University accords all the rights under the law to students. No one outside the university shall have access to, nor will the university disclose information from, a student's educational records without his/her written consent except to personnel within the university, to officials of other institutions in which students seek to enroll, to persons or organizations providing students financial aid, to accreditation groups, to persons in compliance with a judicial order, and to persons in an emergency in order to protect the health or safety of students or other persons or to parents of a student who is officially documented as their dependent for income tax purposes. All these exceptions are permitted under the Family Educational Rights and Privacy Act. The university will maintain a record of all requests for and/or disclosure of information from a student's educational records. The record will indicate the name of the party making the request, any additional party to whom it may be redisclosed, and the legitimate interest the party had in requesting or obtaining the information. The record may be reviewed by the eligible student.

Within the Western Connecticut State University community, only those university officials, acting in the student's educational interest are allowed access to student education records. A university official is any person employed by the university in an administrative, supervisory, academic, research, or support-staff position; any person appointed to the Board of Trustees for the Connecticut State University, and any person employed by or under contract to the university or the State of Connecticut to perform a special task, such as an attorney or auditor. A university official has a legitimate educational interest if the official is: performing a task that is specified in his or her position description or by contract agreement; performing a task related to a student's education; performing a task relating to the discipline of a student; or providing a service or benefit relating to the student or student's family, such as health care, counseling, job placement or financial aid.

At its discretion the university may provide directory information in accordance with the provisions of the act to include: student name, address, telephone number, photo ID, date of birth, major field of study, dates of attendance, degrees and awards received, participation in officially recognized activities and sports, and weight and height of members of athletic teams. Students may withhold directory information by notifying the Office of the Dean of Students in writing. Such a request would be honored until such time students requested in writing that their directory information again be made public.

The law provides students the right to inspect and review information contained in their education records, to challenge the contents of their education records and to have a hearing on the matter. The Vice President for Student Affairs or his designee at Western Connecticut State University has been designated to coordinate the inspection and review procedures for student educational records, which include admissions, personal, academic, financial, disciplinary, cooperative education, and placement records. Students wishing to review their educational records must make requests to the Registrar listing the item of interest. Only records covered by the Act will be made available within 45 days of the request. Students may have copies made of their records with certain exceptions (e.g., a copy of their academic record for which a financial "hold" exists, or a transcript of an original or source document which exists elsewhere). Educational records do not include: records of instructional, administrative and educational personnel, which are the sole possession of the maker and are not accessible or revealed to any individual except a temporary substitute; records of a law enforcement unit; student health records; employment records or alumni records. Health records, however, may be reviewed by the physician of the student's choosing.

Students may not inspect and/or review the following as outlined by the Act: financial information submitted by their parents; confidential letters and recommendations associated with admissions, employment or job placement, or honors to which they have waived their rights of inspection and review; or education records containing information about more than one student. In this last case, the university will permit access only to that part of the record which pertains to the inquiring student. The university is not required to permit students to inspect and/or review confidential letters and recommendations placed in their files prior to January 1, 1975, provided these letters were collected under established policies of confidentiality and were used only for the purpose for which they were collected.

Students who believe that their education records contain information that is inaccurate or misleading, or is otherwise in violation of their privacy or other rights may discuss their problems informally with the Office of Student Affairs.

In the event the student's request, either to have access to a record or to amend information in a file has been denied, the student may ask for a formal hearing. The student must submit a written request for the hearing to the Vice President for Academic Affairs. The hearing panel will consist of the Vice President for Academic Affairs and the Academic Dean of his/her school. Decisions of the hearing panel are final. Any alteration to the student's record will be in accordance with the decision of the hearing panel and will become a permanent part of that record. The student has a right to add a statement to a challenged record if the panel's decision is not to amend the record in accordance with the student's request.

Students who believe that the adjudications of their challenges were unfair or not in keeping with the provisions of the Act may request, in writing, assistance from the Vice President for Student Affairs to aid them in filing complaints with the Family Education Rights and Privacy Act (FERPA), U.S. Department of Education, Washington, D.C. 20202.

*Adopted: DOSA May 1989  
Revised DOSA June 2010*

## Administrative Procedures

### **I. Contacts With Media**

All official statements made in behalf of the University must be channeled and cleared through the Vice President for Institutional Advancement and the Office of University Relations. This policy applies to all contacts with the media, policy statements and the like.

### **II. Fund Raising**

All fund raising activity undertaken in behalf of the University or any unit of the University must be channeled and cleared through the Vice President for Institutional Advancement.

### **III. Room Reservations**

Requests for classrooms for non-course use should be made directly to the Registrar's office x78229. Campus and Student Center reservations should be made via email to [campuscenter@wcsu.edu](mailto:campuscenter@wcsu.edu) or by telephone x78211. All other room reservation requests should be made to the Coordinator of University Events at x78800.

All events taking place on campus property and involving the serving of alcoholic beverages require an approved Campus Alcoholic Beverage Permit completed and approved in advance. In addition, any event involving alcoholic beverages which has a charge or fee of any type associated with it must have a State Alcoholic Beverage permit approved in advance. Information regarding State or University Permits may be obtained from the Office of University Events. Campus policy requires that positive identification be required for access to events, receptions, and the like, which may be attended by persons who are under 21.

### **IV. Alcoholic Beverages At Faculty Functions**

All events taking place on campus property and involving the serving of alcoholic beverages require an approved Campus Alcoholic Beverage Permit completed and approved in advance. In addition, any event involving alcoholic beverages which has a charge or fee of any type associated with it must have a State Alcoholic Beverage permit approved in advance. Staff or Departmental functions involving the use of alcoholic beverages require the advanced approval of the President, Vice President, or appropriate Dean. Campus permit forms must be completed and signed by the appropriate approving authority prior to the event. The forms are available in each of the deans' office and the Office of University Events. Campus policy requires that positive identification be required for access to events, receptions, and the like, which may be attended by persons who are under 21.

### **V. Identification Cards**

Full-time and part-time faculty may obtain an identification card from the University's WestConnect Card Office located in Old Main on the Midtown Campus.

### **VI. Purchasing**

All University purchasing must be approved or performed by the Purchasing Office. The deadline for purchasing academic equipment and supplies is April 15.

### **VII. Travel**

Requests for travel to workshops, conferences, etc., are initiated through the Department chairperson. Travel is administered through the Administrative Services' Office. No travel can be authorized unless a completed Travel Authorization has been issued to the employee who requested travel approval. The complete travel manual can be located on Western's web page <http://www.wcsu.edu/travel/>.

### **VIII. Building Access After Hours**

Each full-time faculty member has access to classroom buildings after hours as required by use of a University Identification Card. There is one set of entry doors in each classroom building that has a card reader for that purpose. (See Key/Passkey policy.)

### **IX. Bookstore**

Bookstore orders for the upcoming semesters are completed by faculty members and forwarded to the Department chairperson for approval. The Department Chairperson forwards the order to the Bookstore. In the absence of an instructor, the Department Chairperson completes the book request order.

### **X. Facilities Work Orders**

Facilities Work Orders (Maintenance Work Orders) are administered through the Environmental and Facilities Services Department. Work orders for services such as office moves, repairs, and cleaning are processed through an electronic work order system. Access to the system is available through the University web site at <http://www.wcsu.edu/efs/MaintDirect.asp>.

Policy Concerning  
Faculty Authored Textbook at Western Connecticut State University



Consistent with Section 1-84 of the Connecticut General Statutes and the State of Connecticut Ethics Commission's requirement in Advisory Opinion 2001-7, WCSU requires that all faculty utilizing their own published works as required or recommended readings in a course not profit from that use.

Having chosen to use my own publication \_\_\_\_\_  
Title

(as author, editor, or contributor) in my course \_\_\_\_\_  
Course Title

I will donate all royalties from the sale of my work to my WCSU students to \_\_\_\_\_

Signature \_\_\_\_\_ 20\_\_\_\_\_  
Date

Printed Name: \_\_\_\_\_

A completed copy of this form shall be sent to the Vice President for Academic Affairs

Every semester the Vice President for Academic Affairs shall instruct faculty to refer to the appropriate page in the Faculty Handbook on which the above appears.

Senate Approval: R-03-05-04  
Administrative Approval: 6/18/03



## Faculty Copier Policy

### **Purpose:**

The WESTCONNECT Card will allow faculty members to produce copies on designated machines throughout both campuses. All faculty receive a copy plan on their WESTCONNECT Card. A list of machines is available on the university's website, [www.wcsu.edu/westconnect/cardservices.asp#Faculty\\_Copy\\_Plans](http://www.wcsu.edu/westconnect/cardservices.asp#Faculty_Copy_Plans).

### **How To:**

All faculty members are required to obtain a WESTCONNECT Card in order to use the copy card system, this can be done at the WESTCONNECT Card Office located in Old Main, lower-level, facing the Student Center.

In order to request copy card credit, not to exceed 1,000 copies at a time, a faculty member must send a written request to the WESTCONNECT Card Office staff. This request may be handled via e-mail to [RequestWestconnect@wcsu.edu](mailto:RequestWestconnect@wcsu.edu). Please include the following mandatory information; your name, department, active semester and number of copies requested.

Problems with a copy machine, and requests for repair, may be reported through the Purchasing Office at 837-8657.

### **Terms And Conditions:**

The use of the copy credit is solely for academic purposes related to employment at WCSU. The WESTCONNECT Card is intended for use by the individual to whom it was issued, and must not be transferred to another. Any lost or stolen cards must be reported immediately either in person at the Card Office (during business hours) or via telephone (837-9311).

Each semester active full-faculty members are given a 6,000 copy credit on their card, active part-time faculty are given a 1,000 copy credit on their card. There is no cash value given in association with copy card credits, therefore the value cannot be transferred for the purposes of purchasing other services.

*Created 02/2005  
Revised 07/2009  
Revised 6/13/11*

### **Copier Instructions**

1. Swipe your WESTCONNECT Card. Make sure the magnetic stripe is facing the correct way as indicated on the reader.
2. The card reader will display a count of 1,000 and begin to count down from 1,000. This amount simply indicates a block of 1,000 copies is activated. If you have more than 1,000 copies on your copy plan you may copy more than 1,000 copies; however, you will be required to swipe your card again.
3. You will now see the green light on the "start" button of the copier. At this point you may begin to use the copier controls as necessary, i.e. choose size of paper, number of copies, etc.
4. When you are finished copying you may hit the button labeled "Quit/Enter" in the lower, right-hand corner of the keypad. If you forget to hit this button, the card reader will "time-out", or cancel automatically, after 60 seconds.

If you have any problems, please contact the WESTCONNECT Office at 837-9311 or via-email at [RequestWestonnect@wcsu.edu](mailto:RequestWestonnect@wcsu.edu)

*Created 02/05  
Revised 07/09*

## Proposal/Grant Applications Procedures

The Office of Sponsored Research Administrative Services provides pre-award through post-award administrative management for all sponsored projects at Western Connecticut State University (WCSU). The office assists in identifying funding sources, preparing and submitting proposals, and managing post-award activities and requirements. The director also serves as a liaison with funding agencies.

All grant applications and proposals for funding with WCSU as the lead organizational applicant or as a partner in another organization's application must be processed through this office for initial pre-approval and final authorization for submission. For grant applications that require the applicant to be a 501(c)(3) organization, the development and submission of the proposal must be coordinated with the Western Connecticut State University Foundation. The director will assist you in this process.

### The Proposal Process

To initiate the proposal review/approval process, use the *Intent to Apply* form to obtain preliminary approval from your department chair, dean, the VP of Finance & Administration, and the Provost & VP of Academic Affairs. If your proposal involves the hiring of personnel or staff, you also will need the approval of the Associate VP for Human Resources. The form is available online at: [http://www.wcsu.edu/grants/Intent\\_to\\_Apply.pdf](http://www.wcsu.edu/grants/Intent_to_Apply.pdf). Please complete and submit the *Intent to Apply* form at least 30 days prior to the proposal submission deadline.

If your project involves research with human subjects or with vertebrate animals, you will need to get the approval of WCSU's Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC). The IRB form and instructions are available online at: <http://www.wcsu.edu/irb/>. The IACUC form is available online at: <http://www.wcsu.edu/facultystaff/handbook/forms/IACUC%20Protocol08152006.pdf>.

At least two weeks prior to the submission deadline, provide a copy of your complete grant application/proposal, along with a completed *Internal Administrative Approval Form* signed by your department chair, to the director of the Office of Sponsored Research Administrative Services to allow sufficient time for the internal review and approval process. The director will facilitate the timely review and approval of your proposal by the appropriate dean and officers. The *Internal Administrative Approval Form* is available online at: [http://www.wcsu.edu/grants/Grant\\_Approval\\_Form2.pdf](http://www.wcsu.edu/grants/Grant_Approval_Form2.pdf). This final step is very important since WCSU may refuse an award for an application or proposal submitted without administrative approvals.

### Indirect Cost Distribution

Please check with the Director of Sponsored Research Administrative Services for WCSU's current negotiated indirect cost rate. Indirect reimbursements from grant awards are distributed as follows:

- Principal Investigator (PI) or Project Director receives 25% of indirect costs;
- PI's/Project Director's Department receives 10% of indirect costs;
- PI's/Project Director's School or Division receives 5% of indirect costs;
- Office of Sponsored Research Administrative Services receives 20% of indirect costs; and
- University's General Reserve receives 40% of indirect costs.





**WESTERN CONNECTICUT STATE UNIVERSITY**  
**OFFICE OF SPONSORED RESEARCH ADMINISTRATIVE SERVICES**  
**INTENT TO APPLY FOR EXTERNAL GRANT FUNDING**

**Principal Investigator/Project Director:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Department:** \_\_\_\_\_ **Campus Phone:** \_\_\_\_\_ **Cell Phone:** \_\_\_\_\_ **E-mail:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

**Type of Project:** \_\_\_\_\_ **Project Start Date:** \_\_\_\_\_ **Project End Date** \_\_\_\_\_

**This is a:** ☐ New Grant ☐ Continuation ☐ Pre-proposal ☐ Subcontract/subaward with \_\_\_\_\_

**Funding Sponsor:** \_\_\_\_\_ **Requires 501(c)(3) Letter** ☐ Yes ☐ No

**Submission Deadline:** Date \_\_\_\_\_ Time \_\_\_\_\_ **Via:** Online \_\_\_\_\_ Email \_\_\_\_\_ Mail \_\_\_\_\_ Delivery Service \_\_\_\_\_

**Estimated Budget:** \_\_\_\_\_ **Indirect costs allowed:** ☐ No ☐ Yes **Indirect Cost Rate Allowed** \_\_\_\_\_ %

**Matching funds required?** \_\_\_\_\_ **Ratio:** \_\_\_\_\_ **Type:** Cash: \_\_\_\_\_ Amount \$ \_\_\_\_\_ In kind: \_\_\_\_\_ Value: \$ \_\_\_\_\_

Please indicate if any of the following are required for the project. Items and unbudgeted costs that are not accounted for during the proposal stage may lead WCSU to decline to accept an award that might adversely impact the institution's finances or operations.

Reassigned Time	<input type="checkbox"/>	Computing Equipment	<input type="checkbox"/>	Support Services	<input type="checkbox"/>
Office Space	<input type="checkbox"/>	Software Licenses	<input type="checkbox"/>	Maintenance/Support Contracts	<input type="checkbox"/>
Classroom Space	<input type="checkbox"/>	A/V Equipment	<input type="checkbox"/>	Insurance Coverage	<input type="checkbox"/>
Other Campus Facilities	<input type="checkbox"/>	Rental of Equipment	<input type="checkbox"/>	Possible Patents/Copyrights	<input type="checkbox"/>
Facility Renovation/Alteration	<input type="checkbox"/>	Phone Service	<input type="checkbox"/>	Use of Biohazardous Material	<input type="checkbox"/>
Rental of Space	<input type="checkbox"/>	Publication	<input type="checkbox"/>	Use of Recombinant DNA Material	<input type="checkbox"/>
Use of University Services	<input type="checkbox"/>	Travel Funds	<input type="checkbox"/>	Other	<input type="checkbox"/>
Explanation of other costs, requests or required approvals:					

**IRB approval required?** ☐ Yes ☐ No **IACUC approval required?** ☐ Yes ☐ No (If required, approval must be obtained from the appropriate committee prior to beginning the research.)

**Does project involve hiring personnel?** ☐ No ☐ Yes (If yes, Associate VP of Human Resources must also sign form)

**Additional WCSU faculty/staff involved in project** (Chair and Dean/Director must indicate approval by initialing each entry):

Name	Department	Chair's Approval	School/Division	Dean/Director's Approval

List any collaborating or participating organizations or groups:

Name	Nature/Degree of Involvement

Please provide a brief abstract of the proposed project or research investigation below. For *institutional* grant applications only, please describe how the project fits the University's mission and/or strategic plan and how the University will benefit from the project.

APPROVED	SIGNATURE	DATE
Department Chair/Director		
Dean		
VP of Finance & Administration		
Provost & VP of Academic Affairs		
Associate VP of Human Resources		
Other (as appropriate)		

Rev. January 2013



**WESTERN CONNECTICUT STATE UNIVERSITY**  
**OFFICE OF SPONSORED RESEARCH ADMINISTRATIVE SERVICES**  
**Internal Administrative Approval Form for External Grant Proposals**

Date: \_\_\_\_\_

Project Title: \_\_\_\_\_

PI/Project Director Name \_\_\_\_\_ Title \_\_\_\_\_

Department/School \_\_\_\_\_ Phone \_\_\_\_\_ Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

Co-PI \_\_\_\_\_ Phone \_\_\_\_\_ Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

Funding Agency \_\_\_\_\_ 501 (c)(3) Required? \_\_\_\_\_

Submission Deadline: \_\_\_\_\_ Submission Method: \_\_\_\_\_ Application Type: \_\_\_\_\_ Activity Type: \_\_\_\_\_

Subcontract/Subaward ☐ No ☐ Yes If yes, from where: \_\_\_\_\_ Existing Award ☐ Yes ☐ No

Collaborating Institution (if more than one, list on accompanying sheet) \_\_\_\_\_ Contact Person \_\_\_\_\_ Phone \_\_\_\_\_

**BUDGET**

Funds Requested: \_\_\_\_\_ Indirect Cost Rate \_\_\_\_\_ % Indicate if there is a cap on indirect costs: \_\_\_\_\_

Project Period \_\_\_\_\_ From: \_\_\_\_\_ To: \_\_\_\_\_ # of Months \_\_\_\_\_

Total Direct Costs: \_\_\_\_\_

Total Indirect Costs: \_\_\_\_\_

Total Costs: \_\_\_\_\_

**COST SHARING**

Are cost sharing or matching funds required? ☐ No ☐ Yes Required % \_\_\_\_\_

Is cost sharing expected by sponsor but not required? ☐ No ☐ Yes Expected % \_\_\_\_\_

WCSU Cost Sharing \_\_\_\_\_ Direct \_\_\_\_\_ Indirect \_\_\_\_\_ Total \_\_\_\_\_

**WCSU Personnel Effort to be cost shared (Note: effort reporting required)**

Name	Title/Position	12/10/ 9 mo.	% of Effort	Amount \$	Fringe \$	Org. #	Account #	Financial Manager's Signature

**WCSU Other Than Personnel Costs (OTPS) to be cost shared (Note: documentation of each paid expense will be required)**

Budget Category	Description	Amount \$	Org #	Account #	Financial Manager's Signature

**Costs Derived from Other Sources** (Documentation that funds were received and used as specified in the grant application will be required)

Budget Category	3 <sup>rd</sup> Party Inkind or Cash	Source of Funds	In-Hand or To Be Acquired	Amount \$

**Participating Faculty, Staff and/or Students**

Name	Dept.	Participant's Signature	Chair's/Director's Approval

**COMPLIANCE**

**Project Approval** (Insert Date or "Pending")

**Protocol/Approval** (Insert # for Project)

**IRB (Humans)** ☐ Yes ☐ No

**IACUC (Animals)** ☐ Yes ☐ No

**WCSU COMMITMENTS UNDER GRANT**

**Specify facilities that will be used**

Building	Room	Approved by:	Date

**Will space need to be renovated?** ☐ No ☐ Yes **Cost \$** \_\_\_\_\_ **Source of Funds** \_\_\_\_\_  
**Approved:** \_\_\_\_\_ **Date** \_\_\_\_\_

**Is any construction required?** ☐ No ☐ Yes **Cost \$** \_\_\_\_\_ **Source of Funds** \_\_\_\_\_  
**Approved:** \_\_\_\_\_ **Date** \_\_\_\_\_

**Does the project involve reassigned time for faculty?** ☐ No ☐ Yes **Approved:** \_\_\_\_\_ **Date** \_\_\_\_\_

<b>Phone Service</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	<b>Cost \$</b>	<b>A/V Equipment</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	<b>Cost \$</b>
<b>Computing Equipment</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	<b>Cost \$</b>	<b>Travel Funds</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	<b>Cost \$</b>
<b>University Services</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	<b>Cost \$</b>	<b>Other</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes	<b>Cost \$</b>
<b>List University Services or Other:</b>					

**APPROVALS:**

**Department Chair:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Dean:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Sponsored Research Administrative Services:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**HR Director:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Vice President for Finance and Administration:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Provost & Vice Pres. for Academic Affairs:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Other signature (as required):** \_\_\_\_\_ **Date:** \_\_\_\_\_

(If there are any comments or specific conditions on the proposal, please provide them below)

**Comments or Specific Conditions on the Proposal**

**PI/PROJECT DIRECTOR'S COMPLIANCE CERTIFICATION**

In accepting external funds, WCSU assures compliance with all Federal Standards and policies in OMB Circulars and other regulatory directives regarding topics such as: Misconduct in Science; Drug-Free Workplace; Protection of Human Subjects in Research; Proper Care and Use of Animals in Research; Prohibition Against Lobbying Activities; Debarment and Suspension; and other issues mandated in the application materials.

By signing, I certify that I understand the above information and will comply with these policies in performing any duties that might be assigned as a result of receiving a grant or contract in response to the application now being made. I also assure that I am not presently debarred nor suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any federal department of agency, and I am not delinquent in federal debt. I also certify that neither I nor any member of my immediate family has a significant financial interest that would be affected by the instructional, research, or service activities proposed to be funded by the external agency; if any financial conflict of interest does exist, I understand that I or any Co-PIs are required to disclose such conflict to WCSU prior to submission of the application to the external funding agency.

Signed: \_\_\_\_\_  
PI/ Project Director

\_\_\_\_\_  
Date

## Guidelines and Policies for Computer Use

<http://www.wcsu.edu/technology/computerusepolicy.asp>

Information Technology & Innovation offers computing services on various computer systems at no charge to all members of the University community (i.e., faculty, students, and staff). The following delineates the current policies on software ownership, software copying, and gaining access to the computer facilities as well as a set of guidelines and responsibilities for the users of these resources.

The general principles underlying these policies and guidelines are that the computing facilities are a resource made available to the WCSU community for educational and research purposes. Users must assume responsibility for trying to minimize costs and be responsible in their use of these facilities.

The guidelines are not intended to be an exhaustive list of rules. Rather, these guidelines establish the spirit in which the facilities should be used.

### WCSU Computer Policy

#### I. General Policies

##### A. Software Ownership

(This section represents policy adopted in February, 1985 along with January, 1987 revisions by the board of Governors for Higher Education.)

1. Software Conversion. It shall be the policy of the state system of higher education that the end product of any work done by a student from any of the state's public colleges or universities to convert, modify or update state-owned software shall be owned by the state.
2. Software Creation (state-owned). If a student from any college or university, receives monetary remuneration from the state for creating software, including source code and/or documentation, it shall belong to the state.
3. Software Creation (student-owned and state-licensed). Software belongs to the student but shall be licensed gratis to the state for use/or modification under the following conditions:
  - a. The state, at the inception of the project, informs the student in writing of the state's intention to use the software; and/or
  - b. The student uses state computer resources to create software.

The State shall not have any other rights to such software.

4. Software Creation (student-owned). Any software developed by a student, unless it is covered under policy statements 1, 2, or 3 above, or is produced under the provisions of a grant or an agreement with an outside funding agent, is owned by the student.
5. Software Copying. Each constituent unit in the state system of higher education shall have policies in place regarding the use and copying of software and/or documentation to protect against lawsuits by vendors.

##### B. Software Copying.

1. All software and manuals are copyright protected by the software vendor. Any user attempting to copy the software shall be subject to prosecution by the software vendor.
2. Any person who has been authorized to use the computing resources shall be expected to regard all copyrighted or proprietary information which may thereby become available to him/her as confidential, unless he/she obtains from the appropriate person written permission to copy, modify, or otherwise use any part of it. 3. Users shall not copy system files nor shall they attempt to access or modify such files or software components or computer management programs and data, except for specifically approved purposes.

#### II. General Guidelines

- A. The computer facilities are available for academic university work only. No commercial work is allowed.
- B. A user's programs and data should be treated as his/her private property. Users must not attempt to access or make use of any other user's programs or data without the permission of the user concerned.
- C. The granting of access to Western's computer systems presupposes that the user is knowledgeable in the use of the existing computer facilities. Users should realize that the Computer Center Staff is limited in the amount of time they can spend assisting them with extensive problems.
- D. Printer output represents very real, measurable costs to the Computer Center. Users should be careful to avoid wasting these resources.
- E. Responsibility for a computer account belongs to the person to whom the account was issued (the account owner). No account owner shall furnish any other person(s) with the password to their account. Unless otherwise authorized by the Executive Officer for Information Technology, only the person to whom an account was issued should be using the account.
- F. Any computer user who knowingly or continually violates the policies governing the use of accounts, equipment and resources will have his/her account withdrawn and such misuse may result in disciplinary and/or legal action.

#### III. Account Policies & Guidelines.

**A. Policies.**

1. For classification purposes, there shall be two types of accounts available to members of the WCSU community.

- a. Student Accounts.

Students must request accounts from the Computer Center. Requests must be made in person.

- b. A Faculty Account.

Faculty members must request accounts from the Computer Center. Requests must be submitted, in writing, to the Director of Information Technology or Technology Service Manager. Applications must be filed a week in advance. A written response will be forwarded to the applicant.

**B. Guidelines.**

1. Users have the right to expect that their work will remain secure and private. The Computer Center cannot readily determine if the use of an account by another individual is appropriate, so users should only use their own accounts. Account owners can assist in assuring privacy of their work by using a password that is not obviously a nickname or initials.
2. The Computer Center reserves the right to access users' data and programs for appropriate management purposes (e.g., making back up copies and to ensure system integrity).

**IV. Microcomputer Policies & Guidelines**

(see also General Policies and Guidelines)

**A. Policies**

1. Any person that has been issued a valid WCSU identification card is authorized to use the WCSU computer facilities.



## CSU Computer Policy

## Connecticut State University System

## Policy Statement on Student Use of University Computer Systems and Networks

1. University computer systems and networks are provided for student use as a part of the University academic program. Students are encouraged to become proficient in the use of computers as a means of enhancing their educational experience. However, widespread student use also necessitates certain rules of computer conduct. Computer misconduct can result in restrictions on or revocation of computer access privileges.
2. University computer systems and networks constitute an expensive and valuable resource. The capacity of this resource to fulfill all the legitimate academic and administrative needs of students, faculty, and staff is limited.
3. Student users have a responsibility to use University computer resources in an efficient, ethical, and lawful manner.
4. The University has a right and a duty to protect its valuable computer resources and to restrict student access to uses that are strictly related to the students' university related programs as well as reasonably limited in time. The University reserves the right to define what are unauthorized student uses.
5. The Chief Computer Administrator or designee(s) at each University in the CSU System and at the System Office may monitor student user accounts, files and/or log-in sessions for appropriate management purposes. Such purposes include but are not limited to performing archival and recovery procedures, evaluating system performance, and ensuring system integrity and security.
6. Upon identifying a violation of the policy which constitutes an immediate, clear danger to the University computer systems or networks the Chief Computer Administrator or designee(s) at each University and in the System Office may immediately limit or suspend a student's access to University computer resources with immediate notification of charges and actions to the appropriate Chief Student Affairs Administrator or designee(s). This emergency suspension of computer use will then follow the student judicial procedures for "Interim Suspension" as provided in the CSU Student Rights and Responsibilities and Judicial Procedures document.
7. Violations of University computer policy which do not constitute an immediate, clear danger to the University computer systems or networks will be referred to the regular student disciplinary process.
8. Student computer offenses, which are included as number 25 in the Appendix of Punishable Offenses in the CSU Student Rights and Responsibilities and Judicial Procedures document are as follows:
  - a. Unauthorized use of University computers and/or peripheral systems and networks;
  - b. Unauthorized access to University computer programs or files;
  - c. Unauthorized alteration or duplication of University computer programs or files;
  - d. Any deliberate action to disrupt the operation of University computer systems which serve other members of the University community, including all networks to which University computers are connected;
  - e. Use of University computer systems and networks for committing crimes, violating civil laws, or violating University rules
9. UNAUTHORIZED USES for students include but are not limited to the following:
  - a. Computer games which are not assigned course work;
  - b. Development or transmitting of chain letters;
  - c. Entering or transmitting of commercial advertisements or solicitations;
  - d. Entering or transmitting of political campaign material relating to elections to be held outside the University;
  - e. Entering or transmitting of obscene material;
  - f. Sexual harassment or other forms of harassment aimed at others or otherwise threatening others;
  - g. Sharing one's own computer account with others or using another person's accounts;
  - h. Violation of copyright laws or using or copying software in ways that violate the terms of the license;
  - i. Entering or transmitting computer viruses or any form of intentionally destructive programs;
  - j. Intentional disruption of network services;
  - k. Connecting any device to the network without permission;
  - l. Copying, modifying, replacing, or deleting any other user's account or any software used for system management;
  - m. Harming University computer equipment;
  - n. Uses which violate rules developed at each University which are necessitated by facilities limitations or other circumstances unique to each University.

**CSU ELECTRONIC MONITORING POLICY**

[http://www.wcsu.edu/hr/policies-procedures/Electronic\\_Monitoring\\_Notice\\_0300.pdf](http://www.wcsu.edu/hr/policies-procedures/Electronic_Monitoring_Notice_0300.pdf)

The Connecticut State University System deems it necessary and advisable and in the best interest of the university communities of Eastern, Central, Southern and Western Connecticut State Universities and the System Office, to again raise awareness and re-emphasize legal considerations concerning information technology devices in use throughout the system.

There are several information technology devices in use in the CSU System. These devices are the property of the State of Connecticut and use thereof by the user is restricted to the performance of official State business or activities approved through the collective bargaining process. Information related to usage and utilization of these devices and the overall CSU technological environment is constantly being collected.

The Connecticut State University System information technology infrastructure includes a telephone system, a communications network, Internet access, computer servers and computer workstations. Information related to the usage of this infrastructure is collected and logged. All users of these devices are hereby advised and notified that these devices produce data and reports related to information stored, sent and retrieved for the purposes of recording usage and utilization. While system personnel do not review the contents of this material except when necessary in the course of the discharge of official duties and as permitted by law, each user should know and is hereby notified that all such information is subject to subpoena, discovery, the Connecticut Freedom of Information Act and such other disclosure processes as may be



authorized by law.

This notice is issued pursuant to the provisions of Public Act 98-142.

### Request for A Faculty Computer Account

All University accounts (Windows, Banner, etc.) and access to university managed computer systems and administrative applications may be obtained by contacting Information Technology & Innovation at 203-837-8467 or by sending an e-mail [RequestIT@wcsu.edu](mailto:RequestIT@wcsu.edu).

### **Software and Hardware Request Form**

Requests for software and hardware are typically funded through the academic department, grant funds, and/or by request through the appropriate school technology committee to the Information Technology Committee (ITC).

Hardware and software purchases from departmental or grant funds must be reviewed by the Chief Information Officer and/or his/her designee. Information Technology & Innovation should be consulted for hardware and software purchases as well as special pricing that may be available to the university.

For information on how hardware and software requests to the ITC are processed, please consult the technology committee for the appropriate school. For the types of funding available, please consult the Information Technology Committee Bylaws found in this document.

## Library Information and Procedures

**Ruth A. Haas Library (Midtown) And Robert S. Young Library (Westside)****I. Faculty Use of the Library**

- A. A current Western Connecticut State University I.D. must be presented to check out circulating library materials.
- B. All circulating books may be borrowed for an entire semester. These items may be renewed by telephone, online, or at the circulation desk. Long-term use of circulating materials should be discussed with the Access Services Librarian at the Haas Library (203-837-9102), with the Circulation Desk Supervisor on duty at the Haas Library, or with the Business Librarian at the Young Library (203-837-9138).
- C. Videos, CDs and DVDs circulate for two weeks, with no renewals. Longer-term use of circulating media should be discussed with the Access Services Librarian at the Haas Library (203-837-9102), with the Circulation Desk Supervisor on duty, or with the Business Librarian at the Young Library (203-837-9138). There are no overdue fines charged for any WCSU Library circulating material. However, all items borrowed from the other CSU Libraries are subject to the home library's loan periods and overdue fines. In the event an item is lost, the home library will assess and collect replacement costs, and processing fees.
- D. Arrangements for faculty use of non-circulating material (such as periodicals, reference books, government documents, archives, special collections, etc.) should be discussed with the librarian responsible for those materials.
- E. Intra-Library Loan Requests facilitate borrowing library materials from the other CSU libraries. These are requested by using the "Request Book" feature in CONSULS. Faculty use their Windows account authentication to complete the request. Books are held at the circulation desk for pick up for seven days.
- F. Faculty may make arrangements in advance for access to the libraries during non-scheduled periods by calling the Access Services Librarian (203-837-9102) at the Haas Library or the Business Librarian (203-837-9138) at the Young Library.
- G. A "Faculty Resource Center" in the Robert S. Young Library (WS 435a) has a collection of curriculum building materials and classroom-use videos. Material in this Center is available for loan to WCSU faculty.

**II. Reserved Materials For Course Use**

A. Materials to be put on reserve must be listed on "Reserve Request" forms that are available on the Library's homepage and also at the Circulation desks at both libraries. The electronic reserves (ERes) service allows faculty to place resources on the Library's ERes website, including a class syllabus and assignments, PowerPoint presentations, Excel spreadsheets, journal articles, audio and video files, graphic files, and links to other web pages. Additional information on ERes is available from the Access Services Librarian.

Please indicate the category of in-house reserve materials:

1. Closed Reserve (to be used in the library)
2. Overnight Reserve (to be used in the library or to be signed out one hour before the library closes and returned within one hour after the library opens the following day)
3. 3-Day Reserve (to be checked out for a 3-day period)
4. 7-Day Reserve (to be checked out for a 7-day period)

B. Faculty should place all materials on reserve, both in-house and ERes, at least two weeks before the items are needed to allow staff the time needed to process the materials. Whenever possible, reserve requests should be submitted well in advance of the beginning of the semester.

C. Materials will remain on reserve for one semester only, unless other arrangements are made.

D. Arrangements to place periodicals, reference titles and government documents on reserve should be discussed with the librarian responsible for those materials. Faculty may copy journal articles and place them on reserve, or link to full-text articles available electronically through ERes. Due to copyright restrictions, however, only one photocopy of a journal article or book chapter will be placed on reserve without permission of the copyright owner. (See "Western Connecticut State University Policy on the use of Copyrighted Material".)

E. Personal copies of an item may be placed on reserve at the owner's risk, and must be retrieved at the end of each semester.

F. The libraries are not responsible for faculty-owned items placed in the Reserve Collection. All materials placed on reserve should be brought to the Circulation/Reserve area two weeks prior to the beginning of the semester. Electronic reserves (ERes) are also available for print, audio, and video materials. The Access Services Librarian (203-837-9102) at Haas Library and the Library Technician (203-837-9136) at Young Library can set up ERes accounts.

G. Faculty are asked to inform their students of procedures to obtain reserve items. Students must be currently enrolled to use reserve items and must present their WCSU I.D. card at the Haas or RSYL Circulation desk to check out the items. Both Library owned materials and Faculty owned materials are listed on CONSULS (the Connecticut State University Library System) by instructor and course.

**III. Liaison Program**

The faculty of each department are assigned a librarian who acts as their liaison to facilitate the ordering of resources, provide library services; and generally to establish an ongoing partnership with teaching faculty and enhance faculty-library communication. A current list of liaisons is available on the library's website.

**IV. Requesting Materials To Be Added To The Library's Collection**

Requests for printed books, e-books, and other library materials should be submitted to the library liaison assigned to each academic department. In order to facilitate processing, faculty should check the library's holdings on CONSULS, the shared library catalog. To expedite ordering, as much information as possible should be given e.g., the author's full name, complete title, publisher, date of publication and price (if known.) Requests may be sent by campus mail or e-mail. If using the library's book request form, the faculty member's signature under the heading "Recommended by" will help resolve questions that arise about the requested material. In addition, if requests are assigned a priority, they will be ordered in that order since available funds do not always cover all requests.

#### **V. Interlibrary Loan (ILL) And The ILLiad System**

Items found in the CONSULS online catalog, but located at another CSU library or the state library, may be requested directly online from the owning library. If a needed item is not found with the CSU library system, our auxiliary service (\*ILLiad) should be used.

ILLiad is the library's online interlibrary loan service. First time users may register for ILLiad from the library web page. Once established, an ILLiad account is used to place orders for all articles, and books that are not available in the CSU system. A link to ILLiad is available from within most of the library's online databases by clicking on "Request interlibrary loan" under availability options.

The average time it takes to receive a book requested through ILLiad is 7-10 days. Articles requested and received over the internet will usually arrive in just a few days and can be delivered electronically to the requester's ILLiad account. A notification of arrival is sent by email to the requester which contains a link to his/her ILLiad account and the article itself.

Most requests can be filled free of charge. For material that is more difficult to find, commercial document delivery sources may have to be consulted. Commercial document delivery requests require additional time to fill and may incur expenses.

Other information about ILL is available from the Library's homepage or at the Reference and Circulation desks at both the Haas and Young Libraries.

#### **VI. DIGITAL REPOSITORY**

The library hosts a digital repository, WestCollections, which showcases the intellectual output of the university community at <http://repository.wcsu.edu>. Faculty may submit scholarly work such as journal articles, working papers, book reviews, books and/or book chapters, conference or other professional/academic presentations, technical papers, educational materials, images, and video/audio files. Students may submit dissertations and theses, capstone projects, and other faculty approved research. Further information may be obtained about WestCollections from the Public Services Librarian (203-837-9141).

#### **Vii. Reference & Electronic Database Search Services**

The reference collections in both the Haas and Young Libraries consist of items selected to support the University's curriculum and to answer specific informational questions. Some reference materials are available in print format and are housed and used in the libraries reference collections; other reference materials may be accessed online from the Library's catalog. Reference librarians assist users in finding information and they provide instruction in the use of library resources. Access to over one hundred electronic databases and the Internet is also available from the Library's homepage. Wireless access is available throughout the libraries.

#### **VIII. Library Instruction**

The library faculty welcomes requests for class instruction designed to help students understand how to research specific topics through the use of Library resources and materials. Presentations utilize a variety of print and electronic sources of information. Each class is tailored to the specific needs of the faculty member's assignment. Sessions are conducted by the department's library liaison and may be held in the faculty member's classroom or in one of the libraries' classrooms. Hands-on practice in a computer-equipped laboratory setting is available upon request. Scheduling is on a first-come-first-served basis. The Library faculty asks that classroom faculty request library instruction at least two weeks in advance of the proposed date of instruction.

#### **IX. Collections**

Online databases, indexes and reference sources are available via any networked computer on campus or the internet. You gain access to restricted databases by entering your windows account information.

Collections serving Management, Marketing, Management Information Systems, Finance and Accounting are held in the Robert S. Young Business Library on the Westside campus. All other collections are housed in the Ruth Haas Library on the Midtown campus.

#### **X. Curriculum Room**

The Curriculum Collection makes available for review and analysis a current collection of high quality preK-12 instructional materials. This collection supports the education curriculum of WCSU, and serves education students & faculty, pre-and in-service teachers and the greater university community. Access and effective use are promoted through information dissemination, collection management, user education, and outreach activities.

Circulating print volumes can be checked out for a period of 28 days. DVDs, VHS videos, and CDs circulate for 14 days; teaching kits can be checked out for 7 days. Reference materials such as encyclopedias are for use in the Library. Certain items, such as assessment tools and selected kits, have been placed on reserve in the Circulation Department. All circulating kits containing multiple loose parts are stored behind the Circulation Desk of Haas Library.

#### **XI. Seminar Rooms/Classrooms--Haas Library**

There are three seminar rooms, one classroom and one computer-equipped teaching lab that can be reserved by faculty at the Ruth A. Haas Library. The classroom and teaching lab may be reserved on a first-come-first-served basis after mid-semester by calling the Haas Reference desk at 203-837-9110. The second floor seminar rooms and the 5th floor meeting room may be reserved by calling the Access Services

Librarian at 203-837-9102.

## **XII. University Libraries**

The Ruth A. Haas Library (1969/2000) is a 93,000 sq. ft., six-level structure facing the academic quadrangle on the Midtown campus. The Library contains approximately 200,000 volumes, approximately 700 current print periodical subscriptions, an extensive reference collection, bibliographic, full-text and image databases, music scores and recordings, video, DVD, CD, audio tape, and LP collections, and University archives and special collections. Designated a Federal Depository Library, the facility maintains a government documents collection that supports the University's offerings.

Rooms for individual and group study, public lectures, conferences, seminars, library instruction, and media presentations are available.

The Archives and Special Collections Library is located in the basement of the Ruth A. Haas Library. The Archives contains official records, publications, and miscellanea related to the history of the University and also has significant holdings related to local history. Please see <http://archives.library.wcsu.edu> for collection lists, searching, and more information regarding content and access to these materials. The Special Collections Library includes WCSU's rare books, faculty published monographs, WCSU Master's theses and dissertations, and a large collection of Connecticut history titles ranging from the 17th century to the present. Special Collections Library holdings are searchable in CONSULS.

The Robert S. Young Library is located on the 4th floor of the Westside Classroom Building, home of the Ansell School of Business. The Library contains 8,000 business books and reference materials, 75 journal subscriptions in hard copy and/or microform with hundreds more online, and access to a large number of electronic business, general, and law-related databases.

## Review of Proposals and Approval of Programs in Connecticut Public Higher Education Connecticut Board of Regents for Higher Education

### Context

The Connecticut General Assembly's PA #11-48, as amended by PA #11-61, reorganized the governance structure of public higher education in the state, and transferred the responsibility for academic program approval to the Board of Regents for Higher Education (BOR) 1. This document outlines the process and conditions to be adopted in conducting academic program approvals under the BOR beginning in 2012. The intent in adopting the new process is to maintain consistency with state regulations while at the same time embracing the operating principles spelled out in the section immediately below.

### Operating principles

Nimbleness - streamlining and focusing approval process to ensure highest significance for every step

Responsiveness - paying closest attention to state needs and the needs of students

Effectiveness - advancing the distinctiveness and most productive use of resources of each institution, while at the same time exploring opportunities for collaboration and academic innovation

BOR review of the effectiveness and efficiency of the program approval process itself will be thorough and ongoing. A full evaluation will be conducted at the end of the first year, and modifications introduced accordingly. Institutions will begin using the proposed forms on January 1, 2012, with official action on the process by the BOR Academic and Student Affairs Committee in early January, and by the full BOR on January 19, 2012.

### Programs Requiring BOR Action

Programs formerly requiring Board of Governors for Higher Education (BOGHE) approval need to be reviewed and approved by the BOR under one of the following categories:

- New programs are: a) A new degree program; b) a new major; or c) a new stand-alone certificate program that is Title IV eligible. No prior approval has existed for the program by either the BOR or the former BOGHE. Institutions shall seek approval of new programs either as Licensure or simultaneous Licensure and Accreditation: a) Licensure, normally granted for a period of three years, authorizing the enrollment of students and their advancement toward the completion of degree requirements; or b) Simultaneous Licensure and Accreditation, simultaneously authorizing the enrollment and award of credentials to students. The accreditation action is considered renewed with each regional accreditation of the institution. Simultaneous licensure and accreditation is generally sought for new degree and certificate programs that are closely related to a set of already existing programs and aligned with institutional strengths. A full description of the approval process of new programs is provided beginning on page 4 of this paper.
  - [2012 Committees Calendar](#)
  - [Concept Paper for New Academic Program](#)
  - [Application for New Program Approval](#)
  - [Application for New Program Approval Pro Forma 1 Budget - Resources and Expenditure Projections](#)
- Accreditation of a Licensed Program: Program accreditation authorizes the institution to award credentials in the program. Accreditation is considered renewed with each renewal of the regional accreditation of the institution offering the program. Program accreditation should be pursued in a timely fashion toward the expected date of first graduation. The process for Accreditation approval requires a report on any changes to the program since its licensure action, details on program enrollments, any financial considerations, and the addressing of any issues brought up at the time of the BOR/BOGHE licensed the program.
  - [Application for Accreditation of a Licensed Program](#)
  - [Accreditation of a Licensed Program - Resources and Cost Estimates](#)
- Program Modification: A program modification is the substantive change to a previously BOR/BOGHE-approved program. The following instances are processed as Program Modifications:
  - a. Creation of a new undergraduate certificate program of more than 30 semester credit hours of courses belonging to a previously approved baccalaureate major(s) at a four year institution, or an associate degree program(s) at a two year institution; a new baccalaureate minor of more than 18 semester credit hours; a new undergraduate option or certificate containing more than 15 semester credit hours of courses not falling within a previously approved program(s), or a new graduate option or certificate program including more than 12 semester credit hours of courses not falling within a previously approved program(s). Modifications below these thresholds may also require approval if required by existing state regulations for the licensed professions or work area of the program;
  - b. Significant modifications in courses or course substitutions of more than 15 credits in a previously approved undergraduate degree program or more than 12 credits within a previously approved graduate degree program;
  - c. The authorization for an approved program to be offered at an off-campus location or using an alternate modality (e.g., on ground to online); and
  - d. A change in the title of a degree or title of program.
  - [Application for Modification of Accredited Program](#)
  - [Accreditation of a Licensed Program - Resources and Cost Estimates](#)
- Application formats for the approval of program modifications will contain sections for background, rationale and nature of the modification, enrollment/degree awards estimates, and resource summary. Depending on the nature of the modification and the constituent unit to which the institution belongs, other additional details such as full course descriptions, course sequences, etc. may be required 2.
- Program Discontinuation: The discontinuation of an existing BOR/BOGHE-approved degree or certificate program must be authorized through BOR action. Program discontinuation consists of a phase out period during which any students in the program graduate and a termination step in which the program is taken off the official list of existing programs maintained by OFAAHE. Program discontinuation should: a) occur in the context of a related academic improvement, e.g., the merging of programs with declining enrollment/completions into a new program that effectively addresses relevant state needs and students' interests; b) emerge as a result of the periodic Academic Program Review for all programs at each institution, under the guidance of existing BOR policy; c) other institutional considerations such as redirecting capacity, adoption of new mission, etc. Program discontinuation should not impact state priorities for workforce preparation.
  - [Application for Discontinuation of Existing Program](#)

### Informational Items for the Academic and Student Affairs Committee of the BOR

The following instances require that a communication be submitted for inclusion in the BOR-ASA agenda as an information item and do not require a BOR resolution: a) new minors, concentrations/options, specializations or certificate programs not classified in the categories outlined above; b) any program that under previous legislation and process would not have required BOGHE approval; and c) programs that do not qualify students to become eligible for federal financial aid. These instances will also be included as information items to the BOR-AC.



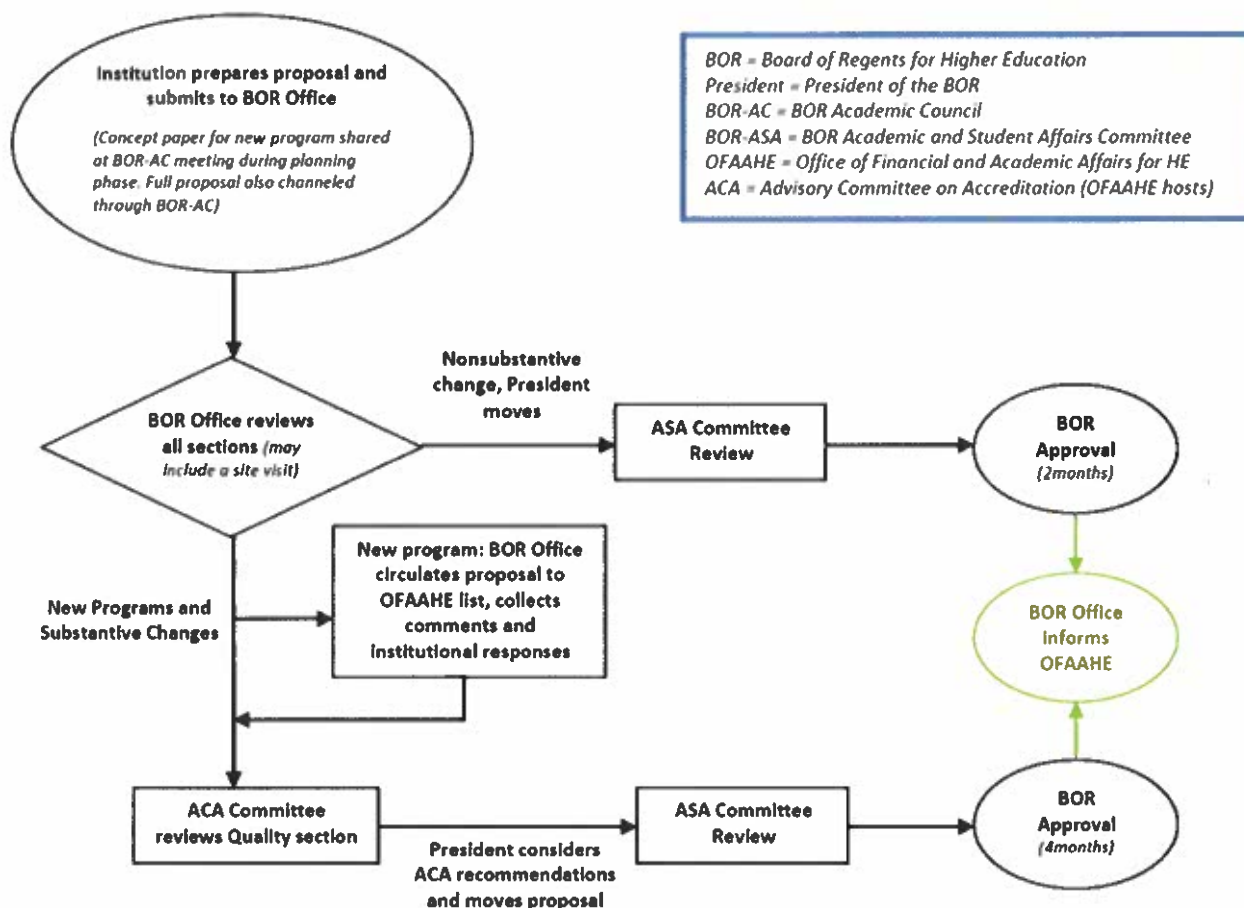
## PROCESS FOR THE APPROVAL OF ACADEMIC PROGRAMS

### Summary of Process

Early in the proposal development phase at the local level, the institution submits a one-to-two-page New Program Concept Paper to the BOR Office which is shared with the BOR Academic Council (BOR-AC) 3 at its nearest possible meeting for early input, suggestions, and consideration of potential collaborations as appropriate.

Institution creates a Full Proposal in a standard format and submits for review to the BOR Office. Site Visit/Team Visit is only required in special cases (e.g. new degree level, unique direction for the institution, new area of competence).

Based on a Planning and Quality Review, the proposal either a) moves to the BOR Academic and Student Affairs Committee (BOR-ASA) for review and recommendation for approval by the full Board; or b) moves to the Advisory Committee on Accreditation (ACA) to undergo a Quality Review as an intermediate step. In the latter case, the BOR President considers the ACA advisory recommendations before moving the proposal to BOR-ASA and subsequently the full Board.



### Process Details

- **Sharing of New Program Concept Paper in Anticipation of Full Proposal** Intent to establish new program is shared at a BOR-AC meeting using a one-to-two-page concept paper sent to the BOR Office 4. BOR-AC provides input as appropriate and in consideration of program justification and benefits, potential for transfer agreements, avoidance of unnecessary duplication, and creation of potential collaborations. Institution takes the comments from BOR-AC under consideration and BOR Office facilitates any further communication as needed. The New Program Concept Paper should be submitted at a time established by the institution in consideration of estimated time of completion of the full proposal, posted dates of BOR-AC, BOR-ASA, ACA, and BOR meetings, desired initiation date for the program, and any necessary lead time required by federal or state laws and regulations.
  - Notes: 1) Along with the New Program Concept Paper, the principal academic officer at the institution may require any additional information, as deemed necessary, for internal use at that institution and in conformance with local governance procedures; 2) In the few cases in which it may not be clear whether the program should fall in the New Program or Program Modification category, early consultation with the BOR Office is highly encouraged. Timeframe - Ongoing, and at each BOR-AC meeting
- **Submission of Full Proposal and BOR Office Review** Provost/AVP/Academic Dean at institution submits a full proposal for Licensure/ Licensure and Accreditation to BOR Office using a standard electronic format; -other than the concept paper, this is the only document required for the entire process; no paper copies are ever required. Substantive modifications of existing programs are also submitted in a standard format. BOR Office responds to applicant institution within two weeks of initial submission and may require that further information or clarifications be added to the proposal document. Proposal is e-mailed to BOR-AC members, placed on the agenda for the next meeting of this group, and posted on the BOR Web site. Members of the BOR-AC are invited to submit any final comments in anticipation to the meeting in which the full proposal is being discussed. Occasionally, a conference call with pertinent principal academic officers and others may be conducted. Full proposal application for a new program contains three sections: Section 1. General Information; Section 2. Program Planning Assessment; and Section 3. Quality Review. The BOR Office conducts a Planning Assessment Review in consideration of: a) how the program addresses Connecticut workforce needs and/or the social and economic wellbeing of the state, including employment prospects for program graduates/completers; b) potential for transfer agreements or transfer programs; c) all pro forma budgetary and cost considerations and projections. The BOR Office also conducts an internal Quality Review using the criteria in existing state regulation, conducts site visit if needed, and makes recommendation to the BOR President. President moves relevant sections of a new program/substantive change proposal to external Quality Review by ACA (see below). Note: In cases in which a site visit takes place, such as new degree level (e.g., a masters degree level is offered for the first time), unique direction for the institution (e.g., a new school or department is created), new area of competence or type of program (e.g., the first Professional Science Master to be offered), such visit will be conducted in a fashion that contributes to the preparation for the particular professional/national accreditation, or consistent with BOR-approved Academic Program Review policy 5. Program applications required to undergo a team site visit will also undergo external Quality Review by ACA.



Programs requiring simultaneous approval by a designated state agency other than the BOR (such as educator preparation programs approved by the State Department of Education) will undergo an onsite visit in conformity with the process and requirements of such agency. Timeframe - From two weeks to no more than six weeks (in cases requiring a site visit)

- External Quality Review New program proposals and most substantive modifications (e.g., the change in more than 15 required credits in an undergraduate program or 12 credits requirement in a graduate program) will significantly benefit from an external Quality Review by ACA. For new programs, the BOR Office circulates the proposal for comment to all Chief Executives and Chief Academic Officers at public and private institutions of higher education in the state, as maintained by OFAAHE. A two-week period is provided for submitting comments. BOR Office collects and reviews comments and responses to include in materials for BOR President and submission to ACA Quality Review. Depending on the extent of the modification some substantive modifications will also require this canvassing process. Concurrent with proposal circulation, the BOR Office requests that the item be added to the ACA agenda at the nearest possible date. The BOR Office provides all documentation in final form for timely inclusion in ACA packet for meeting. At the ACA meetings, BOR staff briefly outlines program and introduces institution's representatives, opening the item for discussion. The advisory recommendation from ACA is presented to the BOR President for consideration and decision to move forward in the process. Timeframe - No more than five weeks, depending on timing of ACA meeting
- Approval Proposal is added to the nearest BOR-ASA meeting for discussion and recommendation for full Board approval. The BOR President places the item in the agenda of the nearest full Board meeting. Timeframe - Between one and two months, depending on timing of BOR-ASA and BOR meetings

#### **Important Requirement for Any New Program**

Any new program that entitles an enrollee to apply for federal student financial aid under Title IV must receive approval by the BOR. The institution is responsible for determining that a program is eligible. Once approved, the institution is also responsible for compliance with all Title IV requirements and procedures declaring the approved program as eligible 6.

#### **Overall Timeframe**

No longer than two months for nonsubstantive changes. No longer than four months for cases in which a site visit and external ACA quality review are conducted.

#### **Document Flow**

The totality of the process is conducted electronically, except for the printing of materials for the BOR.

#### **Formats for Program Approval**

Drafts of formats to be used in the approval process are being circulated to all public higher education institutions for comment. Final draft of the process and necessary forms will be available, and become provisionally effective pending BOR-ASA approval on January 10 and BOR approval on January 19, 2012.

#### **Nature of this Document**

This document constitutes Board of Regents policy for academic program approval for all public higher education institutions in the state of Connecticut.

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1 Sec. 253. (NEW) (Effective July 1, 2011) Notwithstanding sections 10a-34 to 10a-35, inclusive, of the general statutes, as amended by this act, the Board of Regents for Higher Education shall have the authority, in accordance with the provisions of said sections 10a-34 to 10a-35, inclusive, as amended by this act, over academic degrees awarded by public institutions of higher education, including the (1) operation of public institutions of higher education and the programs offered by such public institutions of higher education, (2) licensure and accreditation of public institutions of higher education and programs offered by such public institutions of higher education, (3) evaluation and approval of applications to confer academic degrees made by public institutions of higher education, and (4) assessment of any violation by a public institution of higher education of the authority of said board as described in subdivisions (1) to (3), inclusive, of this section and the imposition of a penalty for such violation.

2 Constituent Units of Higher Education are: the Connecticut Community College System, the Connecticut State University System, Charter Oak State College, and the University of Connecticut. Administrative processes within these units may require additional information and review beyond what is outlined or required in this document and related process forms. For example, any certificate program created at a CC System institution, even if below threshold for BOR approval, requires an administrative review and entry of such program and its courses in the of system-level operated programmatic database.

3 The BOR-AC is composed of the Principal Academic Officers from all institutions under the BOR: the College Deans at CC System, the Provosts/AVPs at the CSUS and COSC, and a representative designated by the Provost of the University of Connecticut. Meetings are planned and facilitated by BOR Academic and Student Affairs Staff.

4 At the CC System, the New Program Concept Paper replaces the Preliminary Program Announcement

5 In development at the time of issuing this document

6 <http://www.ctigcert.ed.gov/>

## SECTION 1: GENERAL INFORMATION <sup>1 2</sup>

<b>Institution:</b> <del>Most Recent NEASC Institutional Accreditation Action and Date:</del>	<del>Date of Submission to BOR Office:</del>
<b>Program Characteristics</b> Name of Program: Degree: Title of Award (e.g. Master of Arts) Certificate: (specify type and level) Anticipated Program Initiation Date: Anticipated Date of First Graduation: Modality of Program:    On ground    Online    Combined If "Combined", % of fully online courses? Total # Cr the Institution Requires to Award the Credential (i.e. include program credits, GenEd, other):	<b>Program Credit Distribution</b> # Cr in Program Core Courses: # Cr of Electives in the Field: # Cr of Free Electives: # Cr Special Requirements (include internship, etc.): <u>Total # Cr in the Program (sum of all #Cr above):</u> From "Total # Cr in the Program" above, enter #Cr that are part of/belong in an already approved program(s) at the institution:
Type of Approval Action Being Sought:    Licensure OR    Licensure and Accreditation Suggested CIP Code No. (optional): _____ Title of CIP Code _____ CIP Year: 2000 _____ or 2010 _____	
If establishment of the new program is concurrent with discontinuation of related program(s), please list for each program: Program Discontinued:    CIP: _____ DHE# (if available): _____ Accreditation Date: _____ Phase Out Period    Date of Program Termination	
Institution's Unit (e.g. School of Business) and Location (e.g. main campus) Offering the Program:	
Program Accreditation: <ul style="list-style-type: none"> <li>• If seeking specialized/professional/other accreditation, name of agency and intended year of review:</li> <li>• If program prepares graduates eligibility to state/professional license, please identify:</li> </ul> (As applicable, the documentation in this request should address the standards of the identified accrediting body or licensing agency)	
<b>Institutional Contact for this Proposal:</b>	Title: _____ Tel.: _____ e-mail: _____

## BOR-AC REVIEW and Follow Up (For BOR Office Use Only - please leave blank)

BOR Concept Paper Sequence Number (to be assigned):  
 Summary of BOR-AC Comments and Recommendations:  
 Log of Follow Up Steps:  
 Expected Date of Full Proposal:

<sup>1</sup> This Concept Paper can be considered the first draft of your new program proposal. Providing accurate and concrete information will facilitate further steps. Please neglect cells that have been shaded with a pattern or text that has been crossed out. These items can be completed in the full proposal document.

<sup>2</sup> Further details and information may be required at the institution level (e.g., Academic Dean, Provost) or system level (e.g., officer in charge of a centralized programmatic database). As appropriate, this additional information should be included in this Concept Paper.

## SECTION 2: PROGRAM PLANNING ASSESSMENT *(To be used in BOR Review Only)*

### **Alignment of Program with Institutional Mission, Role and Scope**

*(Please provide objective and concise statements)*

#### **Addressing Identified Needs**

- How does the program address CT workforce needs and/or the wellbeing of CT society/communities? *(Succinctly present as much factual evidence and evaluation of stated needs as possible)*
- How does the program make use of the strengths of the institution (e.g. curriculum, faculty, resources) and of its distinctive character and/or location?
- Please describe any transfer agreements with other institutions under the BOR that will become instituted as a result of the approval of this program *(Please highlight details in the Quality Assessment portion of this application, as appropriate)*
- Please indicate what similar programs exist in other institutions within your constituent unit <sup>3</sup>, and how unnecessary duplication is being avoided
- Please provide a description/analysis of employment prospects for graduates of this proposed program

#### **Cost Effectiveness and Availability of Adequate Resources**

*(Please provide a short narrative that generally considers projections of program enrollment and graduation, revenues and expenses, existing and needed resources, including faculty and administrative cost, and any major cost implications)*

<sup>3</sup> Constituent units are: the Connecticut Community College System, the Connecticut State University System, Charter Oak State College, and the University of Connecticut

### SECTION 3: PROGRAM QUALITY ASSESSMENT

#### Overall Learning Goal/Principal Learning Outcome for the Program:

**Learning Outcomes -- L.O.** (Please list up to seven of the most important student learning outcomes for the program and concisely describe assessment methodologies to be used in measuring the outcomes. If the program will seek external accreditation or qualifies graduates to opt for a professional/occupational license, please frame outcomes in attention to such requirements. With as much detail as possible, please map these learning outcomes to courses listed under the "Curriculum" section of this application.)

- 1.
- 2.
- 3.
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**Program Administration** (Describe qualifications and assigned FTE load of administrator/faculty member responsible for the day-to-day operations of the proposed academic program. Identify individual for this role by name or provide time frame for prospective hiring.)

**Faculty** (Please complete the faculty template provided below to include current full-time members of the faculty who will be teaching in this program and, as applicable, any anticipated new positions/hires during the first three years of the program and their qualifications.)

How many new full-time faculty members, if any, will need to be hired for this program?

What percentage of the credits in the program will they teach?

What percent of credits in the program will be taught by adjunct faculty?

Describe the minimal qualifications of adjunct faculty, if any, who will teach in the program.

**Special Resources** (Provide a brief description of resources that would be needed specifically for this program and how they will be used e.g. laboratory equipment, specialized library collections, etc. Please include these resources in the Resources and Cost Analysis Projection sheet for BOR review.)



## Curriculum

(Please provide details as available and keep in mind the summary of Program Credit Distribution completed in Section 1. Modify this format as needed)  
(Please list courses for the proposed program, including the core/major area of specialization, prerequisites, electives, required general education courses (undergraduate programs), etc. Using numerals, map the Learning Outcomes listed in the previous section to relevant program courses in this table. Mark any new courses with an asterisk \* and attach course descriptions. Mark any courses that are delivered fully online with a double asterisk \*\*. Please modify this format as needed)

Course Number and Name	LO # <sup>4</sup>	Pre-Requisite	Cr Hrs	Course Number and Name	LO # <sup>4</sup>	Cr Hrs
Program Core Courses				Other Related/Special Requirements		
Core Course Prerequisites				Elective Courses in the Field		
Total Other Credits Required to Issue Credential (e.g. GenEd/Liberal Arts Core/Liberal Ed Program)						

**Program Outline** (Please provide a summary of program requirements including total number of credits for the degree, special admission requirements, capstone or special project requirements, etc. Indicate any requirements and arrangements for clinical affiliations, internships, and practical or work experience.)

<sup>4</sup> From the Learning Outcomes enumerated list provided at the beginning of Section 3 of this application

**Full-Time Faculty Teaching in this Program** (Note: If you anticipate hiring new faculty members for this program you may list "to be hired" under name and title. Provide required credentials, experience, and other responsibilities for each new position anticipated over the first three years of implementation of the program)

Faculty Name and Title	Institution of Highest Degree	Area of Specialization/Pertinent Experience	Other Administrative or Teaching Responsibilities

## SECTION 1: GENERAL INFORMATION

<b>Institution:</b>		Date of Submission to BOR Office:	
Most Recent NEASC Institutional Accreditation Action and Date:			
<b>Program Characteristics</b>		<b>Program Credit Distribution</b>	
Name of Program:		# Cr in Program Core Courses:	
Degree: Title of Award (e.g. Master of Arts)		# Cr of Electives in the Field:	
Certificate: (specify type and level)		# Cr of Free Electives:	
Anticipated Program Initiation Date:		# Cr Special Requirements (include internship, etc.):	
Anticipated Date of First Graduation:		Total # Cr in the Program (sum of all #Cr above):	
Modality of Program:    On ground    Online    Combined		From "Total # Cr in the Program" above, enter #Cr that are	
If "Combined", % of fully online courses?		part of/belong in an already approved program(s) at the	
Total # Cr the Institution Requires to Award the Credential (i.e. include program credits, GenEd, other):		institution:	
Type of Approval Action Being Sought:		Licensure OR    Licensure and Accreditation	
Suggested CIP Code No. (optional)		Title of CIP Code    CIP Year: 2000    or    2010	
If establishment of the new program is concurrent with discontinuation of related program(s), please list for each program:			
Program Discontinued:		CIP:    DHE# (if available):    Accreditation Date:	
Phase Out Period		Date of Program Termination	
Institution's Unit (e.g. School of Business) and Location (e.g. main campus) Offering the Program:			
Other Program Accreditation:			
<ul style="list-style-type: none"> <li>• If seeking specialized/professional/other accreditation, name of agency and intended year of review:</li> <li>• If program prepares graduates eligibility to state/professional license, please identify:</li> </ul>			
(As applicable, the documentation in this request should address the standards of the identified accrediting body or licensing agency)			
<b>Institutional Contact for this Proposal:</b>		Title:	Tel.:    e-mail:

## BOR REVIEW STATUS (For Office Use Only - please leave blank)

BOR Sequence Number (to be assigned):	
Approved 2010 CIP Code No. <sup>1</sup>	Title of CIP Code
Log of BOR Steps Towards Program Approval:	
Nature and Resolution number for BOR Approval:	Date of Approval:
Conditions for Approval (if any)	

<sup>1</sup> Final CIP assignment will be done by BOR staff in consideration of suggested number (if provided) and in consultation with administrative offices at the institution and system proposing the program. For the final assignment, the 2010 CIP definitions will be used.



## SECTION 2: PROGRAM PLANNING ASSESSMENT *(To be Used for BOR Review Only)*

### **Alignment of Program with Institutional Mission, Role and Scope**

*(Please provide objective and concise statements)*

#### **Addressing Identified Needs**

- How does the program address CT workforce needs and/or the wellbeing of CT society/communities? *(Succinctly present as much factual evidence and evaluation of stated needs as possible)*
- How does the program make use of the strengths of the institution (e.g. curriculum, faculty, resources) and of its distinctive character and/or location?
- Please describe any transfer agreements with other institutions under the BOR that will become instituted as a result of the approval of this program *(Please highlight details in the Quality Assessment portion of this application, as appropriate)*
- Please indicate what similar programs exist in other institutions within your constituent unit <sup>2</sup>, and how unnecessary duplication is being avoided
- Please provide a description/analysis of employment prospects for graduates of this proposed program

#### **Cost Effectiveness and Availability of Adequate Resources**

*(Please provide a one-paragraph narrative on the attached MSEXcel Pro-Forma Budget)*

<sup>2</sup> Constituent units are: the Connecticut Community College System, the Connecticut State University System, Charter Oak State College, and the University of Connecticut

### SECTION 3: PROGRAM QUALITY ASSESSMENT

**Learning Outcomes - L.O.** (Please list up to seven of the most important student learning outcomes for the program and concisely describe assessment methodologies to be used in measuring the outcomes. If the program will seek external accreditation or qualifies graduates to opt for a professional/occupational license, please frame outcomes in attention to such requirements. With as much detail as possible, please map these learning outcomes to courses listed under the "Curriculum" section of this application)

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**Program Administration** (Describe qualifications and assigned FTE load of administrator/faculty member responsible for the day-to-day operations of the proposed academic program. Identify individual for this role by name or provide time frame for prospective hiring)

**Faculty** (Please complete the faculty template provided below to include current full-time members of the faculty who will be teaching in this program and, as applicable, any anticipated new positions/hires during the first three years of the program and their qualifications)

How many new full-time faculty members, if any, will need to be hired for this program?

What percentage of the credits in the program will they teach?

What percent of credits in the program will be taught by adjunct faculty?

Describe the minimal qualifications of adjunct faculty, if any, who will teach in the program

**Special Resources** (Provide a brief description of resources that would be needed specifically for this program and how they will be used, e.g. laboratory equipment, specialized library collections, etc. Please include these resources in the Resources and Cost Analysis Projection sheet for BOR review)

(Please list courses for the proposed program, including the core/major area of specialization, prerequisites, electives, required general education courses (undergraduate programs), etc. Using numerals, map the Learning Outcomes listed in the previous section to relevant program courses in this table. Mark any new courses with an asterisk \* and attach course descriptions. Mark any courses that are delivered fully online with a double asterisk \*\*. Please modify this format as needed)

[illegible]

WCSU Faculty Handbook 2017-18

**Full-Time Faculty Teaching in this Program** (Note: If you anticipate hiring new faculty members for this program you may list "to be hired" under name and title. Provide required credentials, experience, and other responsibilities for each new position anticipated over the first three years of implementation of the program)

Faculty Name and Title	Institution of Highest Degree	Area of Specialization/Pertinent Experience	Other Administrative or Teaching Responsibilities

Institution \_\_\_\_\_

Date \_\_\_\_\_

Proposed Program \_\_\_\_\_

PROJECTED Enrollment	First Term Year 1		First Term Year 2		First Term Year 3	
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time
Internal Transfers (from other programs)						
New Students (first time matriculating)						
Continuing (students progressing to credential)						
Headcount Enrollment	0	0	0	0	0	0
Total Estimated FTE per Year						

PROJECTED Program Revenue	Year 1		Year 2		Year 3	
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time
Tuition (Do not include internal transfers)						
Program-Specific Fees						
Other Rev. (Annotate in text box below)						
Total Annual Program Revenue	\$0		\$0		\$0	

PROJECTED Expenditures*	Year 1		Year 2		Year 3	
	Number (as applicable)	Expenditure	Number	Expenditure	Number	Expenditure
Administration (Chair or Coordinator)						
Faculty (Full-time, total for program)						
Faculty (Part-time -total for program)						
Support Staff						
Library Resources Program						
Equipment (List as needed)						
Other (e.g. student services)						
Estimated Indirect Cost (e.g. student services, operations, maintenance)						
Total ESTIMATED Expenditures		\$0		\$0		\$0

\* Note: Capital outlay costs, institutional spending for research and service, etc. can be excluded.

Existing regulations require that: "... an application for a new program shall include a complete and realistic plan for implementing and financing the proposed program during the first cycle of operation, based on projected enrollment levels; the nature and extent of instructional services required; the availability of existing resources to support the program; additional resource requirements; and projected sources of funding. If resources to operate a program are to be provided totally or in part through reallocation of existing resources, the institution shall identify the resources to be employed and explain how existing programs will be affected. Reallocation of resources to meet new and changing needs is encouraged, provided such reallocation does not reduce the quality of continuing programs below acceptable levels."

Please provide any necessary annotations:

### SECTION 1: GENERAL INFORMATION

<b>Institution:</b>	<b>Date of Submission to BOR Office:</b>		
<b>Most Recent NEASC Institutional Accreditation Action and Date:</b>			
<b>Program Characteristics</b>		<b>Program Credit Distribution</b>	
Name of Program:		# Cr in Program Core Courses:	
Degree: Title of Award (e.g. Master of Arts)		# Cr of Electives in the Field:	
Certificate: (specify type and level)		# Cr of Free Electives:	
Date of Program Initiation:		# Cr Special Requirements (include internship, etc.):	
Anticipated Date of First Graduation:		<u>Total # Cr in the Program</u> (sum of all #Cr above):	
Modality of Program:    On ground    Online    Combined		From "Total # Cr in the Program" above, enter #Cr that are	
If "Combined", % of fully online courses?		part of/belong in an already approved program(s) at the	
Total # Cr the Institution Requires to Award the Credential (i.e. include program credits, GenEd, other):		institution:	
CIP Code No.	Title of CIP Code	CIP Year: 2000	or 2010
Institution's Unit (e.g. School of Business) and Location (e.g. main campus) Offering the Program:			
Program Accreditation:			
<ul style="list-style-type: none"> <li>• If seeking specialized/professional/other accreditation, name of agency and intended year of review:</li> <li>• If program prepares graduates eligibility to state/professional license, please identify:</li> </ul>			
<i>(As applicable, the documentation in this request should address the standards of the identified accrediting body or licensing agency)</i>			
<b>Institutional Contact for this Proposal:</b>		<b>Title:</b>	<b>Tel.:                      e-mail:</b>

### BOR REVIEW STATUS (For Office Use Only - please leave blank)

<b>BOR Sequence Number (to be assigned):</b>	
<b>Log of BOR Steps Towards Program Approval:</b>	
<b>Nature and Resolution number for BOR Approval:</b>	<b>Date of Approval:</b>
<b>Conditions for Approval (if any)</b>	



## SECTION 2: UPDATE OF PROGRAM CHANGES AND ENROLLMENTS

**Program Outline** (Please provide a narrative summary of program requirements as licensed, including total number of credits for the degree, special admission requirements, capstone or special project requirements, etc. Indicate any requirements and arrangements for clinical affiliations, internships, and practical or work experience.) : "The Finance Major entails 18 credits of Related Course requirements from a range of disciplines (6 credits of which apply to the Liberal Arts Core (LAC), or institution's GenEd program), 24 credits of courses in Business (3 credits of which apply to the LAC/GenEd), 18 credits of coursework in Finance (including a 6-credit internship), and 9 elective credits from a list that includes courses in Economics, Finance, and Business. Students must take a minimum of 24 credits of coursework for the major at the institution and must maintain a GPA of 2.5."

**Curricular and Other Program Changes** (Please described any changes in curriculum, admission and/or completion requirements, program administration, faculty, and resources, or any other significant changes since the time of its licensure approval). If needed, to provide details on curricular changes, please complete the table on the next page)

**Compliance with Special Requirements Given at the time of Program Licensure** (As applicable, please summarize how the program responded to requirements issued by the BOR, or BOGHE, at the time it was licensed. Include any attachments as necessary.)

**Other Narrative Background to be Considered Since Licensure Approval** (As needed, consider other changes such as program need and demand, transfer agreements developed, etc.)

**Enrollment and Credentialing Information** (From Resources and Cost Estimates MExcel spreadsheet, please copy and paste these information below)

ACTUAL Enrollment	First Term Year 1		First Term Year 2		First Term Year 3	
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time
Internal Transfers						
New Students						
Returning Students						
ACTUAL Headcount Enrollment	0	0	0	0	0	0
ACTUAL FTE per Year						
PROJECTED FTE (at Licensing)						
ACTUAL-PROJECTED	0		0		0	
Size of First Credentialed Group			Date of Award of First Credential			



Details of Curriculum Changes for a Licensed Program <i>(to be use as needed)</i>						
Course Number and Name <sup>1</sup>	L.O. # <sup>2</sup>	Pre- Requisite	Cr Hrs	Course Number and Name	L.O. #	Cr Hrs
<b>Program Core Courses</b>				<b>Other Related/Special Requirements</b>		
<b>Core Course Prerequisites</b>				<b>Elective Courses in the Field</b>		
<b>Total Other Credits Required to Issue Credential</b> <i>(e.g. GenEd/Liberal Arts Core/Liberal Ed Program)</i>						
<b>Other Narrative Background Since Licensure Approval</b> <i>(As needed, consider other changes such as program need and demand, transfer agreements developed, etc.)</i>						
<b>Learning Outcomes - L.O.</b> <i>(Please list up to seven of the most important student learning outcomes for the program, and any changes introduced)</i>						
1.						
2.						
3.						
4.						
5.						
6.						
7.						

<sup>1</sup> Modify format as needed. Please use ~~Strikeout~~ text to indicate elimination and **Bold** text to mark the substitution.

<sup>2</sup> Learning Outcome

### SECTION 3: ENROLLMENT, CREDENTIALLING AND FINANCIAL CONSIDERATIONS

#### **Program Resources and Cost Estimates**

*(Please complete the enclosed Resources and Cost Estimates spreadsheet and provide a one-paragraph narrative below regarding the financial sustainability of the program)*

Institution \_\_\_\_\_

Date \_\_\_\_\_

Licensed Program \_\_\_\_\_

ACTUAL Enrollment	First Term Year 1		First Term Year 2		First Term Year 3	
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time
Internal Transfers						
New Students						
Returning Students						
ACTUAL Headcount Enrollment	0	0	0	0	0	0
ACTUAL FTE per Year						
PROJECTED FTE (at Licensing)						
ACTUAL-PROJECTED	0		0		0	
Size of First Credentialed Group			Date of Award of First Credential			

Estimated Program Revenue	Year 1		Year 2		Year 3	
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time
Tuition (Do not include internal transfers)						
Program Specific Fees						
below)						
ACTUAL Program Revenue	\$0		\$0		\$0	
PROJECTED Rev. (at Licensing)						
Dif. ACTUAL-PROJECTED	\$0		\$0		\$0	

Estimated Expenditures*	Year 1		Year 2		Year 3	
	Number (as applicable)	Expenditure	Number	Expenditure	Number	Expenditure
Administration (Chair or Coordinator)						
Faculty (full-time, total for program)						
Faculty (Total for program)						
Support Staff						
Library Resources Program						
Equipment (List if needed)						
Other (e.g. student services)						
Estimated Indirect Cost (e.g. student services, operations, maintenance)						
Total Annual Expenditures		\$0		\$0		\$0

\* Note: Capital outlay costs, institutional spending for research and service, etc. can be excluded.

Please provide any necessary annotations:

## SECTION 1: GENERAL INFORMATION

<b>Institution:</b>		<b>Date of Submission to BOR Office:</b>	
Most Recent NEASC Institutional Accreditation Action and Date:			
<b>Original Program Characteristics</b>		<b>Original Program Credit Distribution</b>	
CIP Code No. 2000 or 2010	Title of CIP Code	CIP Year:	# Cr in Program Core Courses:
Name of Program:			# Cr of Electives in the Field:
Degree: Title of Award (e.g. Master of Arts)			# Cr of Free Electives:
Certificate: (specify type and level)			# Cr Special Requirements (include internship, etc.):
Date Program was Initiated:			<u>Total # Cr in the Program</u> (sum of all #Cr above):
Modality of Program: On ground Online Combined			From "Total # Cr in the Program" above, enter #Cr that are part of/belong in an already approved program(s) at the institution:
If "Combined", % of fully online courses?			
Total # Cr the Institution Requires to Award the Credential (i.e. include program credits, GenEd, other):			
Type of Program Modification Approval Being Sought (mark all that apply):			
<input type="checkbox"/> Licensure and Accreditation (specify whether New Certificate, Minor, Option, Concentration, or Other) <input type="checkbox"/> Significant Modification of Courses/Course Substitutions <input type="checkbox"/> Offering of Program at Off-Campus Location (specify new location) <input type="checkbox"/> Offering of Program Using an Alternate Modality (e.g. from on ground to online) <input type="checkbox"/> Change of Degree Title or Program Title			
<b>Modified Program Characteristics</b>		<b>Modified Program Credit Distribution</b>	
Name of Program:		# Cr in Program Core Courses:	
Degree: Title of Award (e.g. Master of Arts)		# Cr of Electives in the Field:	
Certificate <sup>1</sup> : (specify type and level)		# Cr of Free Electives:	
Program Initiation Date:		# Cr Special Requirements (include internship, etc.):	
Modality of Program: On ground Online Combined		<u>Total # Cr in the Program</u> (sum of all #Cr above):	
If "Combined", % of fully online courses?		From "Total # Cr in the Program" above, enter #Cr that are part of/belong in an already approved program(s) at the institution:	
Total # Cr the Institution Requires to Award the Credential (i.e. include program credits, GenEd, other):			
Other:			
If program modification is concurrent with discontinuation of related program(s), please list for such program(s):			
Program Discontinued:	CIP:	DHE# (if available):	Accreditation Date:
Phase Out Period	Date of Program Termination		
Institution's Unit (e.g. School of Business) and Location (e.g. main campus) Offering the Program:			
Other Program Accreditation:			
<ul style="list-style-type: none"> <li>• If seeking specialized/professional/other accreditation, name of agency and intended year of review:</li> <li>• If program prepares graduates eligibility to state/professional license, please identify:</li> </ul>			
(As applicable, the documentation in this request should address the standards of the identified accrediting body or licensing agency)			
<b>Institutional Contact for this Proposal:</b>		<b>Title:</b>	<b>Tel.: e-mail:</b>

## BOR REVIEW STATUS (For Office Use Only - please leave blank)

BOR Sequence Number (to be assigned):

<sup>1</sup> If creating a Certificate program from existing courses belonging to a previously approved baccalaureate/associate degree program, enter information such that program in the "Original Program" section.

Approved 2010 CIP Code No. <sup>2</sup> (if applicable)	Title of CIP Code
Log of BOR Steps Towards Program Approval:	
Nature and Resolution number for BOR Approval:	Date of Approval:
Conditions for Approval (if any)	

<sup>2</sup> Final CIP assignment will be done by BOR staff in consideration of suggested number (if provided) and in consultation with administrative offices at the institution and system proposing the program. For the final assignment, the 2010 CIP definitions will be used.

## SECTION 2: BACKGROUND, RATIONALE AND NATURE OF MODIFICATION

*(Please Complete Sections as Applicable)*

**Background and Rationale** *(Please provide the context for and need for the proposed modification, and the relationship to the originally approved program)*

As applicable, please describe:

- How does the program address CT workforce needs and/or the wellbeing of CT society/communities? *(Succinctly present as much factual evidence and evaluation of stated needs as possible)*
- How does the program make use of the strengths of the institution (e.g. curriculum, faculty, resources) and of its distinctive character and/or location?
- Please describe any transfer agreements with other institutions under the BOR that will become instituted as a result of the approval of this program *(Please highlight details in the Quality Assessment portion of this application, as appropriate)*
- Please indicate what similar programs exist in other institutions within your constituent unit <sup>3</sup>, and how unnecessary duplication is being avoided
- Please provide a description/analysis of employment prospects for graduates of this proposed program

**Description of Modification** *(Please provide a summary of the modifications to curriculum, admissions or graduation requirements, mode of delivery etc., and concisely describe how the institution will support these changes.)*

**Description of Resources Needed** *(As appropriate please summarize faculty and administrative resources, library holdings, specialized equipment, etc. Details to be provided in the next section, as appropriate)*

**Other Considerations**

### Previous Three Years Enrollment and Completion for the Program being Modified

ACTUAL Enrollment	First Term, Year ____		First Term, Year ____		First Term, Year ____	
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time
Internal Transfers						
New Students						
Returning Students						
ACTUAL Headcount Enrollment						
ACTUAL FTE per Year						
Size of Credentialed Group for Given Year						

<sup>3</sup> Constituent units are: the Connecticut Community College System, the Connecticut State University System, Charter Oak State College, and the University of Connecticut



Curriculum Details for a Program Modification <i>(to be use as appropriate for specific modification request)</i> <sup>4</sup>						
Course Number and Name <sup>5</sup>	L.O. #	Pre-Requisite	Cr Hrs	Course Number and Name	L.O. #	Cr Hrs
<b>Program Core Courses</b>				<b>Other Related/Special Requirements</b>		
<b>Core Course Prerequisites</b>				<b>Elective Courses in the Field</b>		
<b>Total Other Credits Required to Issue Modified Credential</b>						
<b>Learning Outcomes - L.O.</b> <i>(Please list up to seven of the most important student learning outcomes for the program, and any changes introduced)</i> 1. 2. 3. 4. 5. 6. 7.						

<sup>4</sup> Details of course changes for Community College institutions should be provided with enough detail to introduce necessary changes in the centralized programmatic database for that system.

<sup>5</sup> Make any detail annotations for individual courses as needed to understand the curricular modifications taking place



### **SECTION 3: RESOURCE AND FINANCIAL CONSIDERATIONS**

#### **Two-Year Cost Effectiveness and Availability of Adequate Resources**

*(Please provide attach a Pro-Forma Budget for the modification of program in the format provided)*

Institution \_\_\_\_\_

Date \_\_\_\_\_

Licensed Program \_\_\_\_\_

ACTUAL Enrollment	First Term Year 1		First Term Year 2		First Term Year 3	
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time
Internal Transfers						
New Students						
Returning Students						
ACTUAL Headcount Enrollment	0	0	0	0	0	0
ACTUAL FTE per Year						
PROJECTED FTE (at Licensing)						
ACTUAL-PROJECTED	0		0		0	
Size of First Credentialed Group			Date of Award of First Credential			

Estimated Program Revenue	Year 1		Year 2		Year 3	
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time
Tuition (Do not include internal transfers)						
Program Specific Fees						
below)						
ACTUAL Program Revenue	\$0		\$0		\$0	
PROJECTED Rev. (at Licensing)						
Dif. ACTUAL-PROJECTED	\$0		\$0		\$0	

Estimated Expenditures*	Year 1		Year 2		Year 3	
	Number (as applicable)	Expenditure	Number	Expenditure	Number	Expenditure
Administration (Chair or Coordinator)						
Faculty (full-time, total for program)						
Faculty (Total for program)						
Support Staff						
Library Resources Program						
Equipment (List if needed)						
Other (e.g. student services)						
Estimated Indirect Cost (e.g. student services, operations, maintenance)						
Total Annual Expenditures		\$0		\$0		\$0

\* Note: Capital outlay costs, institutional spending for research and service, etc. can be excluded.

Please provide any necessary annotations:

**SECTION 1: GENERAL INFORMATION**

<b>Institution:</b>		Date of Submission to BOR Office:	
Discontinued Program:	CIP:	DHE# (if available):	Accreditation Date:
Phase Out /Teach Out Period		Expected Date of Program Termination	
<b>Program Characteristics</b>			
Name of Program:			
Degree: Title of Award (e.g. Master of Arts)			
Certificate: (specify type and level)			
Modality of Program:    On ground    Online    Combined			
Institution's Unit (e.g. School of Business) and Location (e.g. main campus) Offering the Program:			
<b>Institutional Contact for this Proposal:</b>		Title:	Tel.:      e-mail:

**BOR REVIEW STATUS** *(For Office Use Only - please leave blank)*

BOR Sequence Number (to be assigned):	
Log of BOR Steps Towards Discontinuation Approval:	
Resolution number for BOR Approval:	Date of Approval:
Conditions for Discontinuation Approval (if any)	

## SECTION 2: RATIONALE AND JUSTIFICATION FOR PROGRAM DISCONTINUATION

### **Narrative**

*Please consider whether discontinuation a) occurs in the context of a related academic improvement, e.g., the merging of programs with declining enrollment/completions into a new program that effectively addresses relevant state needs and students' interests; b) emerge as a result of the periodic Academic Program Review for all programs at each institution, under the guidance of existing BOR policy; c) other institutional considerations such as redirecting capacity, adoption of new mission, etc. Provide any quantitative information in support of the discontinuation, including any relevant financial information. Program discontinuation should not impact state priorities for workforce preparation.*

### **Phase Out/Teach Out Strategy**

*Please describe how the institution will ensure that students currently enrolled will be provided opportunities to complete the program. Provide quantitative information as needed (e.g. enrollments, any special resources needed, etc.)*

### SECTION 1: BELOW-THRESHOLD GENERAL PROGRAM INFORMATION<sup>1</sup>

<b>Institution:</b>		<b>Date of Submission to BOR Office:</b>	
<b>Most Recent NEASC Institutional Accreditation Action and Date:</b>			
<b>Characteristics of Below-Threshold Offering</b>		<b>Credit Distribution of the Offering</b>	
Name of Offering:		# Cr in Core Courses:	
Type of Offering (e.g. Grad Certificate, Minor, Option)		# Cr of Electives:	
Anticipated Initiation Date:		# Cr of Other:	
Anticipated Date of First Completion (if applicable):		# Cr Special Requirements (e.g. internship):	
Modality of Program: On ground    Online    Combined		Total # Cr the Institution Requires to Award the Credential	
If "Combined", % of fully online courses?			
Suggested CIP Code No. (if applicable)	Title of CIP Code	CIP Year: 2000    or    2010	
Institution's Unit (e.g. School of Business) and Location (e.g. main campus) Offering the Program:			
<b>Description of Offering, Context and Justification</b> (Please provide a concise description of the proposed offering and learning objectives, including a list of courses if necessary for clarity. In one paragraph, please address need and anticipated benefits of the offering)			
<b>Cost Effectiveness and Availability of Adequate Resources</b> (As applicable, please provide a one paragraph narrative addressing resources, financial aspects of the program and how it will be sustained)			
<b>Institutional Contact for this Proposal:</b>		<b>Title:</b>	<b>Tel.:                      e-mail:</b>

### BOR REVIEW STATUS (For Office Use Only - please leave blank)

<b>BOR Sequence Number (to be assigned):</b>	
Approved 2010 CIP Code No. (if applicable) <sup>2</sup>	Title of CIP Code
<b>Log of BOR Steps:</b>	
<b>Date for Inclusion in BOR-ASA Meeting Package:</b>	
<b>Comments</b>	

<sup>1</sup> This information report pertains to academic programs not reaching the threshold requiring Board of Regents action. Information is shared with the BOR-Academic Council and included in the BOR-Academic and Student Affairs Committee meetings. Most CSUS and COSC cases will only require the completion of Section 1. **All Community College programs require the completion of detailed course information in Section 2.**

<sup>2</sup> If needed, CIP assignment will be done by BOR staff in consideration of suggested number and in consultation with academic offices at the institution and system proposing the program. For the final assignment, the 2010 CIP definitions will be used.

## SECTION 2: DETAILS OF NEW OFFERING (Community Colleges)

## Curriculum

*(Please provide details of the courses for the proposed offering. Mark any new courses with an asterisk \* and attach descriptions. Mark any courses that are delivered fully online with a double asterisk \*\*. Please modify this format as needed for each case)*

[illegible]