



Connecticut State Colleges and Universities  
Norwalk Community College

**Reporting of Faculty Consulting and Research with  
Public or Private Entities Compliance Form**

**Procedure:**

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

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

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

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

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

**Name of Public/Private Entity:** \_\_\_\_\_

**Dates of Engagement:** \_\_\_\_\_ to \_\_\_\_\_

**Description of Consulting or Research Activity and State Resources Being Utilized (attach additional pages if necessary):**

\_\_\_\_\_  
\_\_\_\_\_

**Faculty Member’s Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Approvals:**

_____	_____	_____
<b>Dean of Academics’s Signature</b>	<b>Date</b>	<b>Recommend (Yes or No)</b>

Revised: 04/15/16; 11/07/16; Last revised 11/09/16



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**Appeal Process for Negative Decision on the  
Compliance Form for Reporting of Consulting or Research  
with Outside Public or Private Entity**

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1. A faculty member may appeal, in writing, to the BOR Vice President for Human Resources within ten (10) calendar days upon receiving written notice that the outside work was not in compliance.
2. The faculty member shall receive a written response from the BOR Vice President for Human Resources within ten (10) calendar days stating the reasons for the decision.
3. Should the faculty member disagree with the decision of the BOR Vice President for Human Resources, the matter will be submitted to the Office of State Ethics within ten (10) calendar days from the day the faculty member receives the response. The BOR Vice President for Human Resources may elect to submit the matter directly to the Office of State Ethics for its opinion. This election by the BOR Vice President for Human Resources would satisfy the obligation to respond as stated in paragraph #2.
4. The determination by the Office of State Ethics shall be final and not subject to the grievance procedure.