

**POLICY ON CONSULTING FOR FACULTY  
AND MEMBERS OF THE FACULTY BARGAINING UNIT  
PROCEDURES**

**September 25, 2007**

**PROCESS**

**1. PERMISSION**

Prior to engaging in consulting activities, including any part-time or full-time outside employment, based on the member's professional expertise or prominence in the field, regardless of when such activity is set to occur, a member must complete and submit the "Request for Approval of Consulting Activities" form as approved by the Provost and the Executive Vice President for Health Affairs at UCHC. Such request must be submitted sufficiently in advance of the start of the consulting activity to allow for its appropriate review. Further, new forms must be completed and approved prior to making substantial changes to a previously approved activity.

**2. INFORMATION**

Information to be provided on this form must include the following: The name and address of the payer; a description of the consulting activity with enough detail so that the approver may determine whether such activities conflict with one's state responsibilities; description of interaction or responsibilities in one's official capacity, if any, with respect to the payer; estimated amount of remuneration; number of days expected to complete the consulting activity; disclosure of material use of state resources. Income must be estimated based on the following categories: under \$1,000, \$1,001-\$5,000, \$5,001-\$10,000, over \$10,000. Additional information regarding remuneration must be provided, if requested.

**3. SIGNATORIES**

The forms must be signed by the member's Department Head and the Dean. For members employed in Storrs and the Regional campuses, the form must also be reviewed and signed by the Provost or the Provost's designee. For members at the University

Health Center, the form must be reviewed and signed by the Executive Vice President for Health Affairs or the Executive Vice President's designee. For members employed by the Division of Athletics, the Athletic Director must sign in place of a Dean and forward the form to the Provost's designee for review. Subsequent to review and pursuant to NCAA regulations, the President will sign as the Provost's designee.

#### 4. ONE-DAY-A-WEEK

For the purposes of determining the requirement that consulting may not exceed more than one-day-a-week on average, this will only be deemed a factor for such time periods during which the member is otherwise committed to his/her University responsibilities. For example, members who do not have any teaching responsibilities during the summer, time due the University will not be a factor in the approval process.

### **REPORTING**

At the end of each fiscal year, members must complete and submit a year-end reconciliation of all consulting activities, due not later than September 15, on a form developed by the Provost and the Executive Vice President for Health Affairs at the UCHC. Such form must include verification that the University has been appropriately reimbursed for material use of state resources.

### **MANAGEMENT COMMITTEE**

A University Consulting Management Committee must be formed. Two members must be designated by the Provost and two must be designated by the Executive Vice President of the UCHC. One member must be designated by the President. The Committee must elect a chair. The University's ethics officer will serve ex-officio as a non-voting member to serve in an advisory capacity only.

If any of the individuals responsible for approving such consulting activities identify a potential conflict of interest or if use of the member's title has been requested for any commercial purpose, the request may be submitted to the Consulting Management Committee for a recommendation. The Committee shall have the ability to recommend that the proposed activity be denied, approved, or to suggest a plan to manage the potential conflict. The Committee will be authorized to request any other information that it deems necessary to assist it in this determination. Some examples of conditions or restrictions that may be recommended include, but are not limited to: recusal for making decisions in one's state capacity regarding the payer; review of decisions regarding a payer by a superior; change in required work schedules; permission to work on consulting limited to nights and/or weekends.

## **CONFIDENTIAL INFORMATION**

Any financial information provided in the forms will be deemed confidential financial information, in accordance with Section 1-210(b) of the Freedom of Information Act, and will not be disclosed to any third party unless the member agrees or a court of competent jurisdiction so orders.

## **SANCTIONS**

Any member who intentionally provides misleading or false information during the course of the approval process will be subject to disciplinary action in accordance with such member's collective bargaining agreement or employment agreement. Such disciplinary action may include, but not be restricted to: letter of reprimand; loss of the privilege to continue to engage in consulting activities; suspension; or, dismissal.

## **REVISIONS**

These procedures may be revised by mutual consent of the Provost and the Executive Vice President with notification to the University's Board of Trustees.