

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

March 19, 2014

1. PERMISSION

Prior to engaging in consulting activities, faculty employed 50% or more time must complete and submit the “Request for Approval of Consulting Activities” form¹ as approved by the Provost and the Executive Vice President for Health Affairs at UCHC. For the purpose of this policy, faculty on Board approved sabbatical leaves are considered to be full-time faculty. Such request must be submitted sufficiently in advance of the start of the consulting activity to allow for its appropriate review. Further, new requests must be completed and approved prior to making substantial changes to a previously approved activity. Consulting requests must be based on the faculty member’s professional expertise or prominence in his/her field.

Faculty paid less than 50% time by the University of Connecticut and/or University of Connecticut Health Center may voluntarily elect to obtain prior approval to consult. Once such a faculty member has requested approval to consult for a single consulting activity, all subsequent consulting activities in that same fiscal year must also obtain such approval.

2. INFORMATION

Information to be provided on this form must include the following: The name and address of the payer (contracting entity); 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 contracting entity; estimated amount of remuneration in ranges established by the Provost; an indication whether the faculty member holds an equity interest in the contracting entity of 5% or more, the total number of days expected to complete the consulting activity; maximum total number of days during normal work time, and disclosure of material use of state resources. Additional information regarding remuneration or other matters must be provided, if requested.

It is understood at the time a request form is being considered for approval that all the dates and times of the consulting activity might not be known. As these dates and times become known, the faculty member is expected to provide them to his/her department head. In all cases these notifications should be at least one day in advance of any consulting work so that the department head can ensure that the faculty member’s assigned job duties are fully addressed. Such notifications must be made in writing to the

¹ Currently this is completed and transmitted using an on-line approval system.

department heads and emails are acceptable. The need for such prior notification of such dates and times only applies if such dates and times are during normal work time.

3. SIGNATORIES

Requests to consult must be approved by the member's Department Head and Dean. For members employed in Storrs and the Regional campuses, the requests must also be reviewed and approved by the Provost or the Provost's designee. For members at the University Health Center, the request 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 approve 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 approve as the Provost's designee.

The Storrs and Regional Faculty Consulting Office adheres to the practice that consulting should not exceed an average of one normal work day per week during periods of appointment. The University Health Center Faculty Consulting Office utilizes the annual evaluation for assessing the negative impact of consulting on a faculty member's duties. Further, the department chair must give approval in advance for each day of consulting during normal work time, and in making this decision, the chair must consider the impact of such consulting on the faculty member's duties (such as teaching, office hours, attending clinics, attending important meetings, etc.).

4. ACCELERATED APPROVAL PROCESS

There is a set of purely academic activities that faculty members are normally expected and encouraged to undertake. Such activities would include, but are not limited to, reviewing books, articles and research proposals (i.e. federal grants), presenting occasional lectures, speeches, and colloquia to non-profit entities, refereeing of manuscripts, creation of works of art, serving as a member of thesis committee, or case-review (medical-legal review of cases). The nature of such activities will vary from one discipline to another – but the underlying principle is that they are part of faculty member's expected academic professional development. For activities of this type, and for which the compensation does not exceed \$5,000 (per contracting entity per year), the Provost and Executive Vice-President for Health Affairs delegate to the faculty member's department head the sole approving authority. This means that the faculty member should fill out the required on-line request form sufficiently in advance of the activity to allow adequate time for the Department head to review and approve it.

5. SUMMER PRIOR APPROVAL PROCESS

Faculty members may participate in "academic related consulting activities" (as described below) during the summer without advance filing of a consulting request form. Eligible consulting activities are pre-approved.

Eligible faculty are those who hold (9, 10, or 11 month contracts). The consulting activity must occur in the summer and, during this time, the faculty member must ensure that adequate time has been allocated to fully complete their assigned, contractual or grant related job responsibilities for which they are paid by the University. While employed 100% on a federal grant during the summer, faculty members should comply with all federally related guidelines. Due to time and effort reporting, faculty members should avoid being employed 100% on federal grants during the summer, if they anticipate consulting.

“Academic related activities” are those normally considered to enhance a faculty member’s professional expertise or prominence in their field and include the following:

- Educational and scientific presentations;
- Giving occasional lectures and speeches;
- Participation in colloquia, symposia, site visits, study sections and similar gatherings;
- Ad hoc refereeing of manuscripts (not to include paid editorships);
- Activities deemed by the Department Head to be similar to the activities described above. The nature of these activities will be reviewed by the Faculty Consulting Offices.

To be eligible for summer prior approval, remuneration for any one academically related activity may not exceed \$1,000 with a total limit over the summer of \$10,000 for such activities.

By September 15 each year, faculty must submit a list and description of the academically related activities they participated in during the previous summer to their department head and to the appropriate Faculty Consulting Office. Such activities will be included in the year end reconciliation report.

The normal approval process that requires approval prior to the start of the consulting activity may also be used during the summer and is not subject to the financial caps on the Summer Prior Approval process.

6. REPORTING

By 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 form² 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.

7. MANAGEMENT COMMITTEE

² Currently this is completed and transmitted using an on-line system.

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.

Any of the individuals responsible for approving such consulting activities may request advice from Consulting Management Committee. 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. The Committee may develop generic guidelines for approving requests to consult.

8. 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. The Provost will develop and publish (consulting.uconn.edu) a sanctions policy relating to non-compliance with this policy on consulting.

9. TRAINING

The Faculty Consulting Offices will offer training sessions on an on-going basis as well as maintain a web site with training materials. Such training will include reminders to the Department Heads and Deans as to their responsibilities related to their review and approval of requests to consult.

10. REVISIONS

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

11. APPEALS

As articulated in the Policy on Consulting for Faculty and Members of the Faculty Collective Bargaining Unit, the Procedures outlined above are to be implemented in accordance with the applicable provisions of the Collective Bargaining agreement or the employment agreement of the faculty member and are subject to any appeal rights that may be available.