

# THE UNIVERSITY OF CONNECTICUT CONSULTING PROGRAM FY 2011 ANNUAL REPORT

## SUMMARY

FY 11 represented the third full year of operation of the University's new consulting program that was implemented in mid FY '08<sup>1</sup>. At the start of the year, the Director of the Storrs Faculty Consulting Office (FCO), Dr. Ilze Krisst, retired and was replaced by Dr. Nancy Bull.

A significant revision of the University's web site for consulting took place (see [consulting.uconn.edu](http://consulting.uconn.edu).) The content of the site was expanded, with changes such as including the minutes and rulings of the Consulting Management Committee, as well as providing additional transparency in the operations of the FCOs on both campuses, such as including flow diagrams on how requests are processed and how the Directors of the FCO make their decisions whether to approve a request to consult.

Over the year, the FCOs of both campuses and the Information Technology Department at Storrs expended significant effort in order to develop an on-line faculty consulting approval system (OFCAS) which will be implemented in FY 12.

OFCAS was developed in order to:

- Facilitate the time it takes to obtain approval for consulting activities.
- Enable requests for consulting to be easily tracked through the approval process.
- Reduce the occurrence of data errors.
- Facilitate the annual reconciliation process.
- Provide those approving requests to consult with more organized data in order to support their decision making

In addition to OFCAS, the Faculty Consulting Offices, the Consulting Management Committee, and the Faculty Consulting Oversight Committee reviewed and revised the criteria used for categorizing consulting activities as being eligible for the accelerated approval process. More stringent requirements have been defined regarding the natures of the consulting activity and the contracting entities paying for such consulting<sup>2</sup>. As a result, these activities are viewed as having a low risk of Conflict of Interest. These new criteria were approved by the Board of Trustees in April 2011 and will become operational with the release of OFCAS.<sup>3</sup>

As mandated by legislation, the Faculty Consulting Oversight Committee (including a member of the Citizen's Ethics Advisory Board and members appointed by the Legislature) filed its second annual report to the UConn Board of Trustees and to the Legislature in the spring of

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<sup>1</sup> A full description of the origins of this new system was provided in the FY 08 Annual Report of the University's Consulting Program.

<sup>2</sup> For example, a scholarly presentation is not eligible for the accelerated approval process if the contracting entity is profit making.

<sup>3</sup> A complete description of eligible activities may be found at <http://consulting.uconn.edu/policies.html>.

2011. This was a positive report. The Oversight Committee continues to monitor all audit reports related to the program and will issue its third annual report early in 2012.

## **CONSULTING MANAGEMENT COMMITTEE**

The Consulting Management Committee (CMC) amended its previous ruling on 'promotional presentations' which now includes the requirement that the faculty member has material control over all educational materials used in presentations. Further, it helped develop the new criteria for activities eligible for the accelerated approval process and made recommendations for formally establishing a Board level policy that handles royalties consistently with other statutes on the development of copyrightable materials. The Board approved this change to the policy in the spring of 2011.

## **PERFORMANCE NUMBERS-STORRS CAMPUS+**

The Faculty Consulting Office (FCO) on the Storrs Campus received 1206 consulting forms from 432 individuals or 36% of those eligible to consult<sup>4</sup> (Table 1). Of these, 1,192 were approved (98.8 % of the total and 14 (1.2 %) were denied. In FY10, the FCO received 1,310 requests from 498 individuals with 97.3% approved, 1.0% withdrawn, and 1.7% denied.

All data were analyzed using the information submitted on the FY11 Annual Reconciliation Report. Reconciliation reports were received from all but 2 individuals who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. 22 individuals left employment with UConn-Storrs+ and did not complete a report.

Of the 1,192 approved activities, 1,102 occurred (92.4%) and 90 (7.6 %) were not performed. There were 432 individual faculty members who performed at least one consulting activity during the fiscal year.

### Number of Days During Normal Work Time

For those faculty who consulted during the normal work time, (36 % of the faculty who consulted), the mean amount of time spent consulting during normal work time for this group was 2.1 days (Table 2). Of these, only 4 faculty members reported reaching the Provost's maximum of an average of one day per week during normal work hours (39 days for a nine month appointment).

Eleven (11) faculty members (3 % of those who consulted) indicated on their reconciliation reports that they used more time during the normal work hours than originally estimated (Table 3). The maximum number of additional days was 6 with a mean of .50 days. Of these, 4 were deemed to be material in the overage and appropriate actions have been taken.

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<sup>4</sup> The total number eligible faculty was obtained from the UConn 2010 Fact Sheet.

## **PERFORMANCE NUMBERS-UCHC CAMPUS**

The FCO on the UCHC Campus received 746 Consulting Forms from 170 individuals (Table 4). Of these, 729 were approved (97.7% of the total), 6 (.8%) were withdrawn and 11 (1.5%) were denied. In FY 10 the FCO received 796 requests from 196 individuals with 95.7% approved, 2.5% withdrawn, and 1.8% denied.

Reconciliation reports were received on time from all those who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Four individuals who left employment with UCHC did not file reconciliation reports.

Of the 729 approved activities, 664 occurred (91.1%), 62 (8.5%) were not performed, and 3 (.4%) were determined to be duplicate requests. There were 162 unique faculty members who performed at least one consulting activity during the fiscal year.

### Number of Days During Normal Work Time

For those faculty who consulted during the normal work time, (75.3% of all faculty), the mean amount of time spent consulting during normal work time was 5.4 days with a median of 4.0 days (Table 5). Of these, twenty percent of the faculty who consulted used one or less normal work days. The maximum number of days used during normal work time was 25 days, far below the Provost's maximum of an average of one day per week during normal work hours.

One faculty member (.6% of those who consulted) indicated on their reconciliation reports that they use more time during the normal work hours than originally estimated (Table 6). The maximum number of additional days was 0.5 with a mean of 0.5 days and a median of 0.5 days. Of these, none was deemed to be material in the overage.

## **AUDIT FINDINGS**

By State statute, the consulting program must be audited twice a year by the Office of Audit, Compliance and Ethics. The fourth audit covering the period of time from July 1, 2009 – December 31, 2009 was completed and released in February 2011. As of the writing of this report (October 2011), a draft of the fifth audit covering the time period from July 1, 2009 – June 30, 2010 is awaiting final approval of the Joint Audit and Compliance Committee of the Board of Trustees. The 6<sup>th</sup> and 7<sup>th</sup> audits for the period of time of July 1, 2010 – December 31, 2010 and July 1, 2010 – June 30, 2011, respectively, are underway.

The fourth audit dealt with two major issues. The first concerned a variety of recommendations regarding accelerating the approval process, limiting errors when manually entering data into the consulting database, and providing department heads with additional information summarizing the consulting activities of their faculty. All of these will be addressed by the new on-line approval system that will become operational in FY 12.

The report also focused on procedures to ensure that a faculty member's consulting does not conflict with the University for work it would want to perform. The University agreed to develop additional processes to reduce the risk that competition will take place and these should be in place in FY 12.

The fifth audit, which is still not final yet, is focusing on three areas: a) additional care is needed when approving consulting activities that take place in the summer when the faculty may also be receiving extra compensation for summer work, b) additional considerations might be needed to avoid situations in which a faculty member is competing with the University for work, and 3) reconciliation reports should be submitted on time with sanctions issued when they are submitted late or not at all.

## **ISSUES FOR FY '12**

- Implementation of phase 1 of the On-line Faculty Consulting Approval System (OFCAS)
- Assessment of phase 1 of OFCAS and implementation of phase 2.
- Addressing all previously raised and new audit findings

S. Reis  
S. Wetstone  
November 18, 2011

Table 1 – Storrs Requests to Consult

<b>Requests</b>		<b>Total</b>	<b>ATHL</b>	<b>BUS</b>	<b>CANR</b>	<b>CLAS</b>	<b>ED</b>	<b>ENG</b>	<b>FA</b>	<b>VPR</b>	<b>LAW</b>	<b>NURS</b>	<b>PHARM</b>	<b>SW</b>	<b>Other</b>
#		<b>1192</b>	32	91	49	399	220	71	94	7	33	42	121	21	12
%		<b>100%</b>	3%	8%	4%	33%	18%	6%	8%	1%	3%	4%	10%	2%	1%

<b>Unique Faculty</b>		<b>Total</b>	<b>ATHL</b>	<b>BUS</b>	<b>CANR</b>	<b>CLAS</b>	<b>ED</b>	<b>ENG</b>	<b>FA</b>	<b>VPR</b>	<b>LAW</b>	<b>NURS</b>	<b>PHARM</b>	<b>SW</b>	<b>Other</b>
#		<b>432</b>	13	25	23	172	58	37	25	2	11	14	37	8	7
%		<b>100%</b>	3.0%	5.8%	5.3%	39.8%	13.4%	8.6%	5.8%	0.5%	2.5%	3.2%	8.6%	1.9%	1.6%

<b>Requests/faculty</b>		<b>Total</b>	<b>ATHL</b>	<b>BUS</b>	<b>CANR</b>	<b>CLAS</b>	<b>ED</b>	<b>ENG</b>	<b>FA</b>	<b>VPR</b>	<b>LAW</b>	<b>NURS</b>	<b>PHARM</b>	<b>SW</b>	<b>Other</b>
mean		<b>2.64</b>	2.46	3.64	2.13	2.32	3.79	1.92	3.76	3.50	3.00	3.00	3.27	2.63	1.71
10 or more requests		<b>10</b>	-	2	-	1	4	-	1	-	1	1	0	-	-

DEFINITIONS:

\*STORRS CAMPUS: includes Storrs and Regional campuses, School of Social Work and School of Law

SCHOOL/COLLEGE/UNIT

ATHL	Athletics	VPR	Vice President for Research
BUS	Business	LAW	School of Law
CANR	Agriculture and Natural Resources	NURS	Nursing
CLAS	Liberal Arts & Sciences	PHARM	Pharmacy
ED	Education	SW	School of Social Work
ENG	Engineering	OTHER	Center for Continuing Studies; Ctr Under Grd Ed; Library; OMIA; Prov & Exvp Acad Affairs
FA	Fine Arts		

Table 2 – Storrs Consulting Requests for Time During Normal Work Hours

<b>Days/faculty</b>	<b>Total</b>	<b>ATHL</b>	<b>BUS</b>	<b>CANR</b>	<b>CLAS</b>	<b>ED</b>	<b>ENG</b>	<b>FA</b>	<b>VPR</b>	<b>LAW</b>	<b>NURS</b>	<b>PHARM</b>	<b>SW</b>	<b>Other</b>
% using normal work time														
* mean	<b>2.28</b>	1.70	1.28	2.90	1.75	2.28	4.63	1.28	2.14	1.32	1.02	2.31	4.29	9.60
10 or more	<b>48</b>	1	4	3	14	7	7	2	0	1	0	4	3	2

DEFINITIONS:

\* for those faculty who consulted during normal work time.

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SCHOOL/COLLEGE/UNIT

ATHL	Athletics	GRAD	Vice President Research & Graduate Education
BUS	Business	LAW	School of Law
CANR	Agriculture and Natural Resources	NURS	Nursing
CLAS	Liberal Arts & Sciences	PHARM	Pharmacy
ED	Education	SW	School of Social Work
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Table 3 – Storrs Reconciliation Report Variances for Time During Normal Work Hours

<b>Effort During Normal Work Days</b>	
# of faculty with extra days	11
% of faculty with extra days	(2.0%)
min	0.50
max	6
# with a material impact	4

Table 4 – UCHC Requests to Consult

<b>Requests</b>	Total	SoDM	SoM
#	746	119	627
%		16.0%	84.0%
<b>Individual faculty</b>	Total	SoDM	SoM
#	170	39	131
%		29.8%	70.2%
<b>Requests/faculty</b>	Total	SoDM	SoM
mean	4.4	3.1	4.8
median	2.00	2.00	2.00
10 or more requests	19	2	17

Table 5 – UCHC Consulting Time Performed During Normal Work Hours

<b>Days/faculty</b>	Total	SoDM	SoM
% using normal work time	75.3%	61.1%	79.4%
* Mean	5.4	5.4	5.4
* Median	4.0	4.0	3.8
10 or more	20	4	16

\* for those faculty who consulted during normal work time.

Table 6 – UCHC Reconciliation Report Variances for Time During Normal Work Hours

<b>Effort During Normal Work Days</b>	
# with extra days (%)	1 (.6%)
min	0.5
max	0.5
# with a material impact	0