

THE UNIVERSITY OF CONNECTICUT CONSULTING PROGRAM FY 2009 ANNUAL REPORT

SUMMARY

FY '09 represented the first full year of operation of the University's new consulting program that was implemented in mid FY '08¹. As such, the volume of requests handled by the Faculty Consulting Offices (FCO) on both campuses increased significantly.

While the lion's share of work in starting up the program occurred in FY '08, the need for operational improvements was identified and implemented in FY '09 as well. In addition, changes to the Program were made in response to the first audit that was released in November 2008. These changes were implemented in January 2009 and included:

- New data requirements for the request form.
- The development and publication of a sanctions policy.
- New practices to ensure approvals were obtained at least one day prior to the consulting activity taking place.

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) was convened for the first time in the spring of 2009. The members were fully briefed on the program and appeared quite satisfied with it to date. The Committee met again in the Fall of 2009 and twice in January 2010 to review this annual report and the auditors' second report (for 7/1/08 – 12/31/08). Again, the members of the Faculty Consulting Oversight Committee appeared quite satisfied with the operations of the program to date. This Committee will issue its first report to the Board of Trustees and to the Legislature in February 2010.

CONSULTING MANAGEMENT COMMITTEE

The Consulting Management Committee issued four major rulings in FY 09 which concerned:

- Under what conditions faculty with unique and specialized knowledge may provide such knowledge to purchasing committees despite engaging in consulting activities with potential vendors.
- Under what conditions faculty may be compensated to provide their professional opinions on surveys.
- Prohibiting faculty from being paid to participate in promotional presentations sponsored by industry.
- Recognizing the unique situation of faculty who work for the University less than 50% time and therefore revising the University's Policy and Procedures on Consulting to better accommodate such situations. These recommended revisions will be presented to the Board of Trustees in February 2010.

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

PERFORMANCE NUMBERS-STORRS CAMPUS+

The Faculty Consulting Office (FCO) on the Storrs Campus received 1,374 consulting forms from 517 individuals of 33% of those eligible to consult² (Table 1). Of these, 1,315 were approved (95.7% of the total), 41 (3.0%) were withdrawn and 18 (1.3%) were denied.

All data were analyzed using the information submitted on the FY09 Annual Reconciliation Report. Reconciliation reports were received from 99% of those who engaged in consulting activities. The remaining 1% is comprised of faculty members that did not complete a report because they are no longer employed by UConn or are deceased.

Of the 1,315 approved activities, 1,212 took place (92.2%), 89 (6.8%) were cancelled, 2 (.1%) were determined to be duplicate requests. There were 413 individual faculty members who performed at least one consulting activity during the fiscal year.

Number of Days

The mean amount of time spent consulting during normal work time for this group during this period was 6.54, with a median number of 3.0 (Table 2). One third of the faculty who consulted used one or only part of a normal work day.

Fifty-eight faculty members (12.03% 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 17 with a mean of 2.36 days and a median of 1.0 day. Of these, only one was deemed to be material in the overage and appropriate actions have been taken.

PERFORMANCE NUMBERS-UCHC CAMPUS

The FCO on the UCHC Campus received 790 Consulting Forms from 171 individuals or 29% of those eligible to consult³ (Table 4). Of these, 758 were approved (95.9% of the total), 25 (3.2%) were withdrawn and 7 (.9%) were denied.

Reconciliation reports were received from 100% of those who engaged in consulting activities. Of the 758 approved activities, 697 took place (89.6%), 66 (8.7%) were cancelled, 10 (1.3%) were carried out as State employees and therefore, not consulting, and 3 (.4%) were determined to be duplicate requests. There were 165 unique faculty members who performed at least one consulting activity during the fiscal year.

² The total number eligible faculty was obtained from the UConn 2009 Fact Sheet.

³ The total number of eligible faculty was obtained from the Department of Human Resources.

Number of Days

The mean amount of time spent consulting during normal work time was 4.9 days with a median of 2.4 days (Table 5). One third of the faculty who consulted used one or less normal work days. The maximum number of days used during normal work time was 28 days, far below the Provost's maximum of an average of one day per week during normal work hours.

Twenty-two faculty members (13.3% 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 6.7 with a mean of 1.9 days and a median of 1.0 days. Of these, four were deemed to be material in the overage and appropriate actions have been taken.

AUDIT FINDINGS

By State statute, the consulting program must be audited twice a year by the Office of Audit, Compliance and Ethics. The second audit covered the period of time from July 1, 2008 to December 31, 2008. The final draft report was issued in October 2009. The 3rd audit for January 1, 2009 – June 30, 2009 (the second half of FY 09) is underway.

The main focus of the second audit dealt with the procedures employed currently by departments in their approval process of faculty requests to consult. A number of issues were raised and management agreed to:

- Revise the Consulting Policy and Procedures to clarify the definition of “normal work time” and how it applies to the Provost's “one-day-a-week” rule.
- Revise the request form, reconciliation form and/or Consulting Procedures to ensure consistency and that sufficient information is provided when approval are being solicited.
- Provide additional training to department heads regarding their handling of requests to consult.

ISSUES FOR FY '10

- The volume of request forms has increased significantly, and the ability of the existing staff to handle them efficiently will be carefully monitored.
- Implementation of the auditors' recommendations and other revisions to the Consulting Policy and Procedures will require a substantial new training effort.
- Feedback will be received for the first time as required reports will be presented to the Joint Audit and Compliance Committee (JACC) of the Board of Trustees, the full Board of Trustees, and the Faculty Consulting Oversight Committee.

Table 1 – Storrs Requests to Consult

Requests		Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	GRAD	LAW	NURS	PHARM	SW	Other
#		1374	39	89	67	436	243	72	168	5	39	36	127	40	13
%			3%	6%	5%	32%	18%	5%	12%	0%	3%	3%	9%	3%	1%

Unique Faculty		Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	GRAD	LAW	NURS	PHARM	SW	Other
#		517	17	28	28	213	63	43	33	2	14	14	29	22	11
%			3.3%	5.4%	5.4%	41.2%	12.2%	8.3%	6.4%	0.4%	2.7%	2.7%	5.6%	4.3%	2.1%

Requests/faculty		Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	GRAD	LAW	NURS	PHARM	SW	Other
mean		2.66	2.29	3.18	2.39	2.05	3.86	1.67	5.09	2.50	2.79	2.57	4.38	1.82	1.18
median		2.00	1.00	1.50	2.00	1.00	2.00	1.00	2.00	2.50	1.50	1.50	3.00	1.00	1.00
10 or more requests		20	1	2	1	4	4	-	3	-	2	1	2	-	-

DEFINITIONS:

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

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 Center for Continuing Studies; Ctr Under Grd
ENG	Engineering Fine	OTHER	Ed; Library; OMIA; Prov & Exvp Acad
FA	Arts		Affairs

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

Days/faculty	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	GRAD	LAW	NURS	PHARM	SW	Other
mean	6.54	4.31	9.26	6.65	4.30	8.82	11.47	6.12	4.50	4.31	10.96	6.95	8.13	9.95
median	3.00	2.00	6.00	3.00	2.00	6.00	6.50	2.00	4.50	2.00	3.00	3.25	2.00	4.75
10 or more	102	2	8	7	23	21	18	6	0	1	4	5	3	4

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Table 3 – Storrs Reconciliation Report Variances for Time During Normal Work Hours

Effort During Normal Work Days	
# of faculty with extra days	58
% of faculty with extra days	(12.03%)
min	0.10
max	17.00
# with a material impact	1

Table 4 – UCHC Requests to Consult

Requests	Total	SoDM	SoM
#	790	104	686
%		19.3%	80.7%
Individual faculty	Total	SoDM	SoM
#	171	33	138
%		13.2%	86.8%
Requests/faculty	Total	SoDM	SoM
mean	4.62	3.15	4.97
median	3.00	3.00	3.00
10 or more requests	22	1	21

Table 5 – UCHC Consulting Time Performed During Normal Work Hours

Days/faculty	Total	SoDM	SoM
mean	4.9	4.9	4.8
median	2.4	3.5	2.4
10 or more	26	4	22

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

Effort During Normal Work Days	
# with extra days (%)	22 (13.3%)
min	0.2
max	6.7
# with a material impact	4