

THE UNIVERSITY OF CONNECTICUT CONSULTING PROGRAM FY 2010 ANNUAL REPORT

SUMMARY

FY 10 represented the second full year of operation of the University's new consulting program that was implemented in mid FY '08¹. Based on the University's growing experience with this program, a systematic review was conducted of the University's Consulting Policy and Procedures. This review included faculty, the Faculty Consulting Offices, the Consulting Management Committee, the Office of the Provost, the Office of the Vice President for Health Affairs, and the Faculty Consulting Oversight Committee and led to recommendations that were approved by the Board of Trustees in April 2010.

A detailed list of these changes can be found at www.consulting.uconn.edu and include:

- Special rules for part-time faculty (faculty at less than 50% employment have the option of not participating in the program and thereby not being included in the University's carve-out.)
- Modifications to the consulting request form designed to provide more information to the individuals responsible for approving request forms and that make such decision makers more accountable for considering important issues when approving requests.
- Expanding the fast-track approval system from a maximum of \$500 to \$1,000.
- Revisions to the annual reconciliation report.
- Enhancing communications between the faculty member consulting and his/her department head regarding time away during normal work hours.
- Clarifications to the Policy including the definition of "normal work time/days", the "summer prior approval process", and other similar issues.

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 first annual report to the UConn Board of Trustees and to the Legislature in the spring of 2010. This was a positive report. The Oversight Committee continues to monitor all audit reports related to the program and will issue its second annual report early in 2011.

CONSULTING MANAGEMENT COMMITTEE

The Consulting Management Committee (CMC) issued one major ruling in FY 10 which concerned the procedure for assessing whether faculty are competing with the University when engaged in clinical practice as a consulting activity. In addition, the CMC continued to refine the definition of "promotional presentations" as well as situations in which the faculty do not have sufficient control over the educational materials used in the presentations when consulting.

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 1,310 consulting forms from 498 individuals or 32% of those eligible to consult² (Table 1). Of these, 1,275 were approved (97.3% of the total), 13 (1.0%) were withdrawn, and 22 (1.7%) were denied. In FY09, the FCO received 1,374 requests from 517 individuals with 95.7% approved, 3% withdrawn, and 1.3% denied.

All data were analyzed using the information submitted on the FY10 Annual Reconciliation Report. Reconciliation reports were received from all but five individuals who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Six individuals left employment with UConn-Storrs+ and did not complete a report which accounted for 11 activities.

Of the 1,275 approved activities, 1,176 occurred (92.2%), 69 (5.4%) were cancelled, 4 (.3%) were determined to be duplicate requests, and 26 were not reported (2.1%). There were 464 individual faculty members who performed at least one consulting activity during the fiscal year.

Number of Days During Normal Work Time

The mean amount of time spent consulting during normal work time for this group during this period was 2.54 days, with a median number of 2.0 days (Table 2). Forty-two percent of the faculty who consulted used one full normal work day or less. Only two faculty members (43%) reported using the Provost's maximum of an average of one day per week during normal work hours (39 days for a nine month appointment).

Twelve faculty members (2.6% 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 10.75 with a mean of 2.1 days and a median of 1.0 day. Of these, two were deemed to be material in the overage and appropriate actions have been taken.

PERFORMANCE NUMBERS-UCHC CAMPUS

The FCO on the UCHC Campus received 796 Consulting Forms from 196 individuals (Table 4). Of these, 762 were approved (95.7% of the total), 20 (2.5%) were withdrawn and 14 (1.8%) were denied. In FY 09 the FCO received 790 requests from 171 individuals with 95.9% approved, 3.2% withdrawn, and .9% denied.

Reconciliation reports were received from all but one of those who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Five individuals who left employment with UCHC filed reconciliation reports and 2 did not. The latter accounted for 6 activities.

² The total number eligible faculty was obtained from the UConn 2010 Fact Sheet.

Of the 762 approved activities, 688 occurred (90.3%), 72 (9.4%) were cancelled, and 2 (.3%) were determined to be duplicate requests. There were 179 unique faculty members who performed at least one consulting activity during the fiscal year.

Number of Days During Normal Work Time

The mean amount of time spent consulting during normal work time was 4.2 days with a median of 2.0 days (Table 5). Thirty-eight percent of the faculty who consulted used one or less normal work days. The maximum number of days used during normal work time was 29 days, far below the Provost's maximum of an average of one day per week during normal work hours.

Five faculty members (2.8% 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 3.0 with a mean of 1.1 days and a median of 1.0 days. Of these, one was 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 third audit covering the period of time from January 1, 2009 – June 30, 2009 was completed and released in July 2010. The 4th audit for the period of time of July 1, 2009 – December 31, 2009 is underway, but has not yet been released.

The main focus of the third audit dealt with ensuring compliance with the annual reconciliation report requirement and that the program continues to comply with State statute and University Policy concerning consulting. By and large, the auditors found the program to be compliant. However, a number of issues were raised and management agreed to:

- Revise the annual Reconciliation report to include not only consulting requests that were approved but also for those that were denied as well as to improve the process to ensure all reconciliation reports are received on the designated due date rather than soon after that date.
- Ensure that any revisions to previously approved requests to consult are reviewed and approved by all appropriate parties.
- Increase attention placed in determining whether a consulting activity is in competition with the University.
- Use standard wording when issuing sanction letters when requests to consult are denied because they are submitted late and to ensure the Department Head will be sent such letters in addition to the faculty member.

ISSUES FOR FY '11

- The use of an on-line computer system for handling requests to consult will be explored and if possible implemented. Such a system would have many logistical benefits and should enhance the flow of information between the requestors and those making the decisions whether to approve consulting activities. It will also greatly reduce the possibility of human error when entering data and allow summary reports of previous consulting activities available in a timely manner to the decision makers.
- Continued refinement on how consulting rules apply during periods of sabbatical leaves will take place.
- Additional efforts will be made to increase the transparency of how consulting decisions are made. These will include the development of a new web site, flow diagrams that explain the process, revised training materials, and publishing the CMC's minutes and formal decision position papers.

N. Bull
S. Wetstone
11/9/10

Table 1 – Storrs Requests to Consult

Requests		Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	VPR	LAW	NURS	PHARM	SW	Other
#		1310	30	83	57	486	195	81	120	4	49	33	129	34	9
%		100%	2%	6%	4%	37%	15%	6%	9%	0%	4%	3%	10%	3%	1%

Unique Faculty		Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	VPR	LAW	NURS	PHARM	SW	Other
#		498	12	25	33	209	55	43	28	1	18	13	35	19	7
%		100%	2.4%	5.0%	6.6%	42.0%	11.0%	8.6%	5.6%	0.2%	3.6%	2.6%	7.0%	3.8%	1.4%

Requests/faculty		Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	VPR	LAW	NURS	PHARM	SW	Other
mean		2.64	2.50	3.32	1.73	2.33	3.55	1.88	4.29	4.00	2.72	2.54	3.69	1.79	1.29
median		2.00	2.00	1.00	1.00	2.00	2.00	2.00	2.00	4.00	1.00	2.00	3.00	1.00	1.00
10 or more requests		14	-	2	-	3	3	-	2	-	2	1	1	-	-

DEFINITIONS:

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

SCHOOL/COLLEGE/UNIT

ATHL Athletics

BUS Business

CANR Agriculture and Natural Resources

CLAS Liberal Arts & Sciences

ED Education

ENG Engineering

FA Fine Arts

Vice President for

VPR Research

LAW School of Law

NURS Nursing

PHARM Pharmacy

SW School of Social Work

OTHER Center for Continuing Studies; Ctr Under Grd Ed;

Library; OMIA; Prov & Exvp Acad Affairs

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

Days/faculty	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	VPR	LAW	NURS	PHARM	SW	Other
mean	2.54	2.56	3.36	1.73	2.23	3.20	1.70	4.22	4.00	2.86	2.23	3.74	1.65	1.33
median	2.00	2.00	1.50	1.00	2.00	2.00	2.00	2.00	4.00	1.00	1.00	4.00	1.00	1.00
10 or more	60	-	3	6	18	13	9	1	-	2	1	4	2	1

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

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

Effort During Normal Work Days	
# of faculty with extra days	12
% of faculty with extra days	(2.6%)
min	0.50
max	10.75
# with a material impact	2

Table 4 – UCHC Requests to Consult

Requests	Total	SoDM	SoM
#	796	101	695
%		12.7%	87.3%
Individual faculty	Total	SoDM	SoM
#	196	32	164
%		16.3%	83.7%
Requests/faculty	Total	SoDM	SoM
mean	4.06	3.16	4.24
median	2.00	2.00	2.00
10 or more requests	17	1	16

Table 5 – UCHC Consulting Time Performed During Normal Work Hours

Days/faculty	Total	SoDM	SoM
mean	4.2	4.0	4.2
median	2.0	2.0	2.0
10 or more	29	3	29

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

Effort During Normal Work Days	
# with extra days (%)	5 (2.8%)
min	0.2
max	3.0
# with a material impact	1