

THE UNIVERSITY OF CONNECTICUT CONSULTING PROGRAM FY 2017 ANNUAL REPORT

SUMMARY

FY 17 (July 1, 2016 – June 30, 2017) represented the ninth full year of operation of the University’s consulting program that was implemented in mid FY 08. The policies and procedures remained materially the same throughout the year. There was a smooth transition between the current and new director of the Storrs+ Faculty Consulting Office (FCO.)

The Faculty Consulting Offices continue to maintain close working relationships with the Office of the Vice President for Research, the Office of Research Compliance, and the newly convened Clinical Conflict of Interest Committee at UConn Health.

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 ninth annual report with the UConn Board of Trustees and to the Legislature in the winter of 2017. This was a positive report. The Oversight Committee continues to monitor all audit reports related to the program and will issue its tenth report in the winter of 2018.

CONSULTING MANAGEMENT COMMITTEE

The Consulting Management Committee (CMC) did not need to make any significant revisions to its previous decisions on consulting. It continued to review the audit reports and monitor the implementation of management plans.

PERFORMANCE NUMBERS: STORRS+ CAMPUS

The Faculty Consulting Office (FCO) on the Storrs Campus received 984 consulting forms from 417 individuals or 28% of those eligible to consult¹ (Table 1). Of these, 969 were approved (98.5% of the total), 2 (< 1%) were denied, and 13 were withdrawn (1.3%). In FY 16, the FCO received 1,037 requests from 446 individuals with 96.5% approved, <1% denied, and 2.7% withdrawn.

All data were analyzed using the information submitted on the FY17 Annual Reconciliation Report. Reconciliation reports were received from all individuals who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Nine individuals (14 requests) left employment with UConn-Storrs+ and did not complete a report.

Of the 969 approved activities, 874 occurred (90%) and 81 (8.4 %) were not performed. The remaining 14 (1.4%) requests were not reconciled, due to employees who left UConn employment. The Storrs+ FCO issued first-offense verbal or written sanctions to 12 faculty members. Of these, all of the “offenses” were for late submissions, unanticipated compensation, or misinterpretation of the consulting policy; all of these requests would have

¹ The total number eligible faculty was obtained from the UConn 2016 Fact Sheet.

been approved if submitted on time. There were no known cases of other non-compliance with the consulting policy.

The mean amount of time spent consulting during normal work time was 2.8 days. Of these, no faculty members reported reaching or exceeding the Provost's recommended maximum of an average of one day per week during normal work hours (39 days for a nine-month appointment). 13 faculty members (3.1 % of those who consulted) indicated on their reconciliation reports (13 unique activities) that they used more time during the normal work hours than originally estimated (Table 2). The maximum number of additional days was 10 with a mean of 3.46 days.

PERFORMANCE NUMBERS: UCHC CAMPUS

The FCO on the UConn Health Campus received 677 consulting requests from 184 individuals (Table 3). Of these, 643 were approved (95.0% of the total), 22 (3.2%) were withdrawn or system errors, and 12 (1.8%) were denied. In FY 16 the FCO received 763 requests from 191 individuals with 91.9% approved and 1.4% 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. Several individuals left employment with UCHC and therefore 16 approved activities did not have reconciliation reports.

Of the 643 approved activities, 564 occurred and were reconciled (87.7%). There were 161 unique faculty members who performed at least one consulting activity during the fiscal year. The mean amount of time spent consulting normal work time per faculty member was 4.7 days with a maximum of 48.0 days and a median of 3.0 days. The UConn Health FCO issued first-offense verbal or written sanctions to 6 faculty members. Of these, all of the "offenses" were for late submissions or unanticipated compensation. All of these requests would have been approved if submitted on time. Among these, there was one case in which a department head approver misrouted his own request and was therefore the only one to approve his own accelerated approval request. There were no known cases of other non-compliance with the consulting policy.

One faculty member indicated on his reconciliation reports that he used more time during the normal work hours than originally estimated (Table 4). Since this was more than the threshold of 1 normal work day, his department chairman will be notified accordingly.

AUDIT FINDINGS

By State statute, the consulting program must be audited by the Office of Audit, Compliance and Ethics. The original audit schedule was for two a year, but starting in FY 13 the requirement was revised to one audit each year.

The twelfth audit, covering the period of time from July 1, 2015 - June 30, 2016 (FY 16) was issued on May 8, 2017. The auditors' overall conclusions were that the University is in compliance with CGS 1-84(r) and the University's Policy on Consulting. The auditors also

concluded that the FY 16 Annual Report of the Faculty Consulting Office was materially correct.

The auditors recommended that the Faculty Consulting Offices update the *Policy and Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit*, and the *Sanctions for Non-Compliance with the University's Consulting Policy and Procedures* to ensure that current best practices align with codified consulting documents. These revisions remain ongoing.

The auditors raised concerns regarding the overreliance on the proxy and delegate systems used to approve faculty consulting requests and as a result additional training has been provided to such parties

OPEN PAYMENTS

The Open Payments program mandated by the Federal Affordable Care Act has completed its fourth cycle including the public release in June 2017 of payment information for CY 16. This program requires medical/dental device manufacturers and pharmaceutical companies to report payments made to certain healthcare providers (including physicians and dentists) to the Center for Medicare and Medicaid Services (CMS). The current Open Payments web site is extremely easy to use. To date, no known media inquiries regarding UConn Health faculty have occurred. The strong collaboration between the Communications Office and the FCO continues and as was needed in the past, we are ready to explain how the faculty consulting program and its oversight mechanisms vigorously monitor and manage possible conflicts of interest.

ISSUES FOR FY 18

- Addressing all previously raised and new audit findings.

B. Murray
S. Wetstone
November 3, 2017

Table 1 – Storrs Requests to Consult

Requests	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	984	9	44	85	275	170	96	62	42	27	92	14	68
%	100%	.91%	4.47%	8.64%	27.95%	17.28%	9.76%	6.30%	4.27%	2.74%	9.35%	1.42%	6.91%
Unique Faculty													
Unique Faculty	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	417	5	29	33	132	50	57	28	20	14	23	7	19
%	100%	1.1%	7%	8%	32%	12%	13.5%	6.7%	4.8%	3.3%	5.5%	1.6%	4.5%
Requests/faculty													
Requests/faculty	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
mean	2.40	1.8	1.51	2.57	2.08	3.4	1.68	2.21	2.1	1.92	4	2	3.57
10 or more requests	3	0	0	1	0	1	0	0	0	0	0	0	1

“Other” includes faculty affiliated with the Provost’s Office and the Vice President for Research, including four UConn Health employees.

Table 2 – Storrs Reconciliation Report Variances for Time During Normal Work Hours

Effort During Normal Work Days	
# of requests with extra days	13
% of faculty with extra days	(3.1%)
min	0.20
max	10.0

Table 3 – UConn Health Requests to Consult

Requests	Total	SoDM	SoM
#	677	122	555
%		18.0%	82.0%
Individual faculty	Total	SoDM	SoM
#	184	35	149
%		19.0%	81.0%
Requests/faculty	Total	SoDM	SoM
mean	3.7	3.5	3.7
median	2.0	2.0	2.0
10 or more requests	14	2	12

Table 4 – UConn Health Reconciliation Report Variances for Time During Normal Work Hours

Effort During Normal Work Days	
# with extra days	1
% of faculty with extra days	(0.5%)
min	1.3
max	1.3