Board of Trustees

ACADEMIC AFFAIRS COMMITTEE

University of Connecticut

Tuesday, June 28, 2022

1:00 p.m.

Meeting held by Telephone
Public Call-In Number:
(415) 655-0002 US Toll
Access Code: 2621 263 9298

Public Access Link:
http://ait.uconn.edu/bot

(A recording of the meeting will be posted on the Board website
https://boardoftrustees.uconn.edu/ within seven days of the meeting.)

Call to order at 1:00 p.m.

1. Public Participation*
   
   * If members of the public wish to address the Committee during the Public Participation portion of the meeting, you must submit a request in writing 30 minutes prior to the start of the meeting (by 12:30 p.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.

**ACTION ITEMS:**

2. Minutes of the Academic Affairs Committee Meeting of April 26, 2022

3. Tenure at Hire

4. Promotion and Tenure

5. Designation ofEmeritus Status

6. Sabbatical Leave Recommendations

7. Appointment of Professor Charles Towe to the DelFavero Professorship in the College of Agriculture, Health and Natural Resources

8. Graduate Certificate in Global Health

9. Graduate Certificate in Obesity Prevention and Weight Management

10. Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit

**ATTACHMENT**
INFORMATIONAL ITEMS:

11. Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit

12. Academic Program Inventory

13. Academic Centers and Institutes

PRESENTATIONS:

14. Academic Affairs Update

15. Test Optional Pilot Update
   - Nathan Fuerst, Vice President for Enrollment, Planning & Management
   - Dr. Morgaen Donaldson, Associate Dean for Research, Philip E. Austin Endowed Chair, Neag School of Education
   - Dr. Eric Loken, Associate Professor of Educational Psychology, Neag School of Education
DRAFT

MINUTES
MEETING OF THE ACADEMIC AFFAIRS COMMITTEE

University of Connecticut
Teleconference
April 26, 2022

Committee Trustees: Justin Fang, Jeanine Gouin, Andrea Dennis-LaVigne, Philip Rubin

Additional Trustees: Daniel Toscano

University Senate Representatives: Sandra Chafouleas and Sebastian Wogenstein

University Staff: Edith Barrett, Sarah Croucher, Morgaen Donaldson, Nathan Fuerst, Laurinda Jaffe, Gladis Kersaint, Carl Lejuez, Xinxin Li, Radenka Maric, Rachel O’Neill, Richard Pomp, Kimberly Rollins, Rachel Rubin, Jeffrey Shoulson, Manisha Sinha, Reka Wrynn

Vice-Chair Gouin convened the meeting at 1:00 p.m.

1. Public Participation

   No members of the public wished to address the Committee.

2. Academic Affairs Update

   Provost Lejuez introduced Professor Manisha Sinha, the James L. and Shirley Draper Chain in American History at UConn. Professor Sinha was recently awarded the 2022 Guggenheim Fellowship, which aims to further the development of scholars and artists by assisting them to engage in research in any field of knowledge and creation in any of the arts, under the freest possible conditions. Professor Sinha shared a brief summary of her ongoing work with those in attendance.

3. Test Optional Pilot Update

   Provost Lejuez introduced Vice President Nathan Fuerst and Dr. Morgaen Donaldson, Associate Dean for Research in the School of Neag, who presented an update on the test optional pilot. There was a general discussion regarding the findings of the research conducted thus far. It was indicated that there would be an additional presentation at the next Academic Affairs Committee Meeting.

4. Minutes of the Academic Affairs Committee Meeting from March 29, 2022.

   On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to approve the minutes of the March 29, 2022, meeting.
5. Minutes of the joint Academic Affairs & Research, Entrepreneurship and Innovation Committee Meeting of March 23, 2022

On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to approve the minutes of the joint Academic Affairs & Research, Entrepreneurship and Innovation Committee Meeting of March 23, 2022.

6. Recommendations for Designation as Board of Trustees Distinguished Professors, Academic Year 2021-2022

Provost Lejuez introduced Agenda Item #6 Recommendations for Designation as Board of Trustees Distinguished Professors, Academic Year 2021-2022. On a motion by Trustee Rubin, seconded by Trustee Fang, the Committee voted unanimously to recommend Agenda Item #6 to the full Board for approval.

7. Tenure at Hire

Provost Lejuez introduced Agenda Item #7 Tenure at Hire. On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #7 to the full Board for approval.

8. Promotion and Tenure

Provost Lejuez introduced Agenda Item #8 Promotion and Tenure. On a motion by Trustee Rubin, seconded by Trustee Fang, the Committee voted unanimously to recommend Agenda Item #8 to the full Board for approval.

9. Designation of Emeritus Status

Provost Lejuez introduced Agenda Item #9 Designation of Emeritus Status. On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #9 to the full Board for approval.

10. Sabbatical Leave Recommendations

Provost Lejuez introduced Agenda Item #10 Sabbatical Leave Recommendations. On a motion by Trustee Rubin, seconded by Trustee Fang, the Committee voted unanimously to recommend Agenda Item #10 to the full Board for approval.

11. Appointment of Professor Cuihong Li to the Robert Cizik Chair in Manufacturing and Technology Management in the School of Business

Provost Lejuez introduced Agenda Item #11 Appointment of Professor Cuihong Li to the Robert Cizik Chair in Manufacturing and Technology Management in the School of Business. On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #11 to the full Board for approval.
12. Appointment of Professor Robert Day to the GE Capital Professor in Business in the School of Business

Provost Lejuez introduced Agenda Item #12 Appointment of Professor Robert Day to the GE Capital Professor in Business in the School of Business. On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #12 to the full Board for approval.

13. Appointment of Professor Xinxin Li to the Treibick Family Chair in the School of Business

Provost Lejuez introduced Agenda Item #13 Appointment of Professor Xinxin Li to the Treibick Family Chair in the School of Business. On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #13 to the full Board for approval.

14. Reappointment of Professor Mathew Singer to the Alan R. Bennett Honors Professorship in Political Science in the College of Liberal Arts and Sciences

Provost Lejuez introduced Agenda Item #14 Reappointment of Professor Mathew Singer to the Alan R. Bennett Honors Professorship in Political Science in the College of Liberal Arts and Sciences. On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #14 to the full Board for approval.

15. Undergraduate Major in Environmental and Natural Resource Economics (College of Agriculture, Health and Natural Resources)

Provost Lejuez introduced Agenda Item #15 Undergraduate Major in Environmental and Natural Resource Economics (College of Agriculture, Health and Natural Resources). On a motion by Trustee Rubin, seconded by Trustee Fang, the Committee voted unanimously to recommend Agenda Item #15 to the full Board for approval.

16. Undergraduate Major in Economics of Sustainable Development and Management (College of Agriculture, Health and Natural Resources)

Provost Lejuez introduced Agenda Item #16 Undergraduate Major in Economics of Sustainable Development and Management (College of Agriculture, Health and Natural Resources). On a motion by Trustee Rubin, seconded by Trustee Fang, the Committee voted unanimously to recommend Agenda Item #16 to the full Board for approval.

17. Proposed Changes to the By-Laws of the University of Connecticut

Provost Lejuez introduced Agenda Item #17, Proposed Changes to the By-Laws of the University of Connecticut. This includes proposed changes to Article XII – The Institutes and Centers in Academic Affairs, Article XIV.K – Retirement, and Article XIV.L – Leaves of Absence. Notification of these proposed By-Law changes were presented at the March 30, 2022, Board of Trustees Meeting. On a motion by Trustee Fang, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #17 to the full Board for approval.
18. Academic Program Inventory

Provost Lejuez introduced Agenda Item #18 Academic Program Inventory as informational for the Trustees in attendance.

19. Tenure Track Reappointments

Provost Lejuez introduced Agenda Item #19 Tenure Track Reappointments as informational for the Trustees in attendance.

20. Adjournment

There being no further business, Trustee Fang called a motion to adjourn the meeting, seconded by Trustee Rubin. Vice-Chair Gouin adjourned the meeting at 2:11 p.m.

Respectfully submitted,

Alexis M. Cassan
Secretary to the Committee
UNIVERSITY OF CONNECTICUT  
TENURE AT HIRE RECOMMENDATIONS  
PRESENTED TO THE BOARD OF TRUSTEES - June 29, 2022  

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NAME
Promotion to Associate Clinical Professor
Beattie, Mary
University of Connecticut Department of Human Resources  
Emeritus Retirees  
June 29, 2022 Board of Trustees Meeting

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*Key
CAHNR – College of Agriculture, Health & Natural Resources
CLAS – College of Liberal Arts & Sciences
# University of Connecticut Department of Human Resources

## Emeritus Retirees

### June 29, 2022 Board of Trustees Meeting

<table>
<thead>
<tr>
<th>NAME</th>
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CLAS – College of Liberal Arts & Sciences
**University of Connecticut Department of Human Resources**  
**Emeritus Retirees**  
**June 29, 2022 Board of Trustees Meeting**

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CAHNR – College of Agriculture, Health & Natural Resources  
CLAS – College of Liberal Arts & Sciences
Mary Ellen Galante-DeAngelis

Ms. Galante-DeAngelis retired on June 1, 2022 from the College of Liberal Arts and Sciences; Department of Human Development and Family Studies (HDFS), after 30 years of service to the University. Ms. Galante-DeAngelis has excelled in both teaching and service, and has gone above and beyond the expectations for her position, and thus meets the criteria for emeritus status. In 2019 Ms. Galante-DeAngelis won the inaugural HDFS Faculty Teaching Award. In 2020 she won the UConn-AAUP Excellence Award for a Career of Teaching Excellence. She served as the Early Childhood Program Coordinator for five years beginning in 1990, consistently serves on the Early Childhood Program Committee, on the Undergraduate Scholarship Committee, and has continuously served on the HDFS Curriculum Committee since its inception. She serves as the faculty advisor to Jumpstart, a group of 80 UConn students serving approximately 175 preschool children each year.

Beyond UConn, Ms. Galante-DeAngelis’ influence on the early childhood discipline is extensive and far-reaching. She has served as Editor of the Newsletter of the Council for Child Development Laboratory Administrators (CCDLA) for more than 20 years. In addition, she serves on many early childhood related boards, such as the Social and Behavioral Sciences Advisory Committee for Charter Oak State College, the State of Connecticut Early Childhood Higher Education Committee, the Quinebaug Community Technical College Advisory Board for the Early Childhood Teacher Preparation Program, and the Board of Directors of the CCDLA, where she also served as president for ten years. Her influence on the field of early childhood education in the state of Connecticut is immense and long lasting. If approved by the Board of Trustees, she would be appointed to the status of “Lecturer Emeritus.”
Gwen Gustafson

Dr. Gustafson will retire on July 1, 2022 from the College of Liberal Arts and Sciences; Department of Psychological Sciences, after nearly 36 years of service to the University. Dr. Gustafson served as an associate professor at UConn for 18 years (1986-2004). Due to extraordinary family circumstances, she left that position to care for family members in 2004. She then served as a senior research scientist and lecturer for nine years (2004-2013) and for the last nine years (2013-2022) has served as a research professor. In the past 18 years, Dr. Gustafson has continuously served the department of Psychological Sciences in a range of gratis and part time roles, predominantly in the areas of research and teaching.

In the area of research, Dr. Gustafson has received several research grants, including funding from the National Institute of Child Health and Human Development. She has published almost 30 journal articles and book chapters, some in the most important journals in her discipline including Child Development and Developmental Psychology. Dr. Gustafson has taught several courses in the Psychological Sciences department. For instance, she has taught many sections of Developmental Psychology, one of the department’s major service courses. She also has taught several semesters of History and Systems of Psychology, which is required for research-track majors. Dr. Gustafson also has provided service to UConn, including serving as the director of the graduate program in child and developmental psychology for five years and as the director of the undergraduate honors program in Psychology for 11 years. Outside of her department, she served as the historian, vice-president, and co-chair of the nominating committee for UConn’s Phi Beta Kappa chapter. If approved by the Board of Trustees, she would be appointed to the status of “Research Professor Emeritus.”
John McNulty

Mr. McNulty retired on September 1, 2017 from the School of Nursing after nearly 23 years of service to the University. Mr. McNulty served as a visiting lecturer from 1997 to 2001. He then served as instructor and undergraduate clinical coordinator from 2001 to 2004; instructor and director of academic advising services from 2004 to 2008; as assistant clinical professor from 2008 to 2017, and as director of pre-licensure programs from 2013 to 2017.

Mr. McNulty was a highly valued instructor in the School of Nursing and introduced the first computerized simulation manikin into the curriculum, allowing students to practice their clinical decision making skills in a low risk environment. Mr. McNulty’s teaching has been honored with several awards, including the Connecticut Nurses Association Diamond Jubilarian Award for Excellence in Nursing, the Visiting Nurse Association of South Central Connecticut, and the UConn School of Nursing Dean’s Caring Award. In fact, the School of Nursing named an award after Mr. McNulty, the John McNulty Excellence in the Scholarship of Clinical Education Award.

Within the School of Nursing, Mr. McNulty held various administrative roles such as director of academic advising and director of pre-licensure programs. He also served as faculty advisor to the Student Nurses Association and coordinated the Student Leaders Council. He also served on many university-level committees, such as the Classrooms Committee, University Advising Roundtable, and Freshmen Orientation. Outside of UConn, Mr. McNulty was active in his field, holding leadership positions in professional organizations such as the Connecticut League of Nursing, the Connecticut Nurses Foundation Board of Directors, the American Nurses Association, and Sigma Theta Tau International Honor Society of Nursing. If approved by the Board of Trustees, he would be appointed to the status of “Assistant Clinical Instructor Emeritus.”
### University of Connecticut Office of the Provost

**Sabbatical Leave Recommendations Requiring Board of Trustees Approval**

**June 29, 2022 Board of Trustees Meeting**

#### Sabbatical Modifications/Postponements

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#### Sabbatical Leave Requests

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<td>Fall 2023</td>
</tr>
<tr>
<td>Ivan, John N</td>
<td>Professor</td>
<td>Civil and Environmental Engineering</td>
<td>Engineering</td>
<td>Full</td>
<td>Spring 2023</td>
</tr>
<tr>
<td>Lu, Xiuling</td>
<td>Associate Professor</td>
<td>Pharmaceutical Science</td>
<td>Pharmacy</td>
<td>Full</td>
<td>Spring 2023</td>
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<tr>
<td>Skoog, Annelie</td>
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<td>Marine Sciences</td>
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<td>Fall 2022</td>
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<td>Utko, Steven</td>
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<td>Wegrzyn, Jill L</td>
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<td>Ecology and Evolutionary Biology</td>
<td>Liberal Arts and Sciences</td>
<td>Full</td>
<td>Spring 2023</td>
</tr>
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June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D’Alleva, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Appointment of Professor Charles Towe to the DelFavero Professorship in the College of Agriculture, Health and Natural Resources

RECOMMENDATION:

That the Board of Trustees appoint Professor Charles Towe to the DelFavero Professorship in the College of Agriculture, Health and Natural Resources, from August 23, 2022, to August 23, 2025.

BACKGROUND:

The DelFavero Professorship supports the work of a selected faculty member in the Department of Agricultural and Resource Economics. The decision to recommend this appointment was made following the CAHNR policy; Dean Chaubey made his recommendation based on consultation with the associate deans and department heads in the College of Agriculture, Health and Natural Resources.

Professor Charles Towe joined the UConn faculty in 2014 and has a strong national and international research reputation in the area of natural resource and environmental economics. Professor Towe has a strong publication record and has been recently nominated as the in-coming President of the Northeastern Agricultural and Resource Economics Association.

Professor Towe researches water quality, noise and air pollution, and non-market environmental valuation. He has a strong record developing and conducting research that crosses disciplines and he is a highly effective mentor of students and junior faculty.

In addition to his research and teaching, Professor Towe’s service ethic and record benefits the academic community. He played an instrumental role in the development of the University-wide Entrepreneurial MS in Data Science, he was a key member of the CAHNR core team that lead development of the College Strategic Vision, he is a co-chair of one of the Strategic Vision Implementation Committees, he served as the ARE graduate program chair up until his spring 2022 sabbatical.

Established in 2019, The DelFavero Professorship supports the work of a selected faculty member in the Department of Agricultural and Resource Economics.
June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D’Alleva, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Graduate Certificate in Global Health

RECOMMENDATION:

That the Board of Trustees approve a Graduate Certificate in Global Health.

BACKGROUND:

The proposal to develop a Graduate Certificate in Global Health represents a partnership between Global Affairs, the Institute for Collaboration on Health, Intervention, and Policy (InCHIP), and faculty from several departments, schools, colleges, centers, and institutes. As the world continues to deal with the long-lasting effects of the COVID-19 pandemic, institutes of higher education have a responsibility to create informed citizens and a globally aware workforce that understands the global burden of disease, the social and environmental determinants of health, basic principles of health equity and health justice, and the ethics of working with diverse populations. As a land grant university in an increasingly global state (nearly one in seven CT residents were born outside the U.S., and of those born in the U.S., nearly 16% have at least one immigrant parent, American Immigration Council), UConn is positioned to be an educational leader in this space. Notably, UConn has significant existing strength in global health with both research and clinical expertise found throughout the university.

The proposed certificate recognizes the interdisciplinary nature of global health and offers students concentrated exposure to foundational concepts, opportunities to dive deeper into an area of interest, and exploration of interdisciplinary methodological concepts, all while providing the support and supervision needed to address pressing global health issues through a research or experiential-based capstone project. The proposed program provides a 12-credit graduate certificate in interdisciplinary global health. It’s expected the program would admit 10-15 students per year. Admissions will occur twice per year, for entry in the fall and spring terms. A committee of associated faculty members will review applications and offer admission to those meeting the program requirements.
Request for New UConn Academic Degree Program

General Information
Name of degree program: Global Health Graduate Certificate
Name of sponsoring college: College of Agriculture, Health, and Natural Resources; College of Liberal Arts and Sciences, School of Medicine, School of Social Work
Campuses: Storrs
Type of Proposal: New
Type of Program: Graduate Certificate
Program Payment Type: Tuition-based
Proposed CIP Code(s): 51.2210

Justification

This proposal to develop a Graduate Certificate in Global Health represents a partnership between Global Affairs, the Institute for Collaboration on Health, Intervention, and Policy (InCHIP), and faculty from several departments, schools, colleges, centers, and institutes. As the entire world continues to grapple with the far-reaching effects of the COVID-19 pandemic, institutes of higher education have a responsibility to create informed citizens and a globally aware workforce that understands the global burden of disease, the social and environmental determinants of health, basic principles of health equity and health justice, and the ethics of working with diverse populations. As a land grant university in an increasingly global state (nearly one in seven CT residents were born outside the U.S., and of those born in the U.S., nearly 16% have at least one immigrant parent, American Immigration Council), UConn is positioned to be an educational leader in this space. Notably, UConn has significant existing strength in global health with both research and clinical expertise found throughout the university. Relevant coursework, research, and field experience can be found in CLAS, CAHNR, SOM, and other schools, colleges, and units.

The proposed certificate recognizes the interdisciplinary nature of global health and offers students concentrated exposure to foundational concepts, opportunities to dive deeper into an area of interest, and exploration of interdisciplinary methodological concepts, all while providing the support and supervision needed to address pressing global health issues through a research or experiential-based capstone project. The proposed certificate program also recognizes that global
health encompasses not only international contexts, but also local health, and more importantly how local and global health influence each other.

Are there similar programs in Connecticut or elsewhere?
Several Connecticut and New England colleges and universities offer graduate certificates or degrees in Global Health. There are also major national leaders in the space such as Johns Hopkins Bloomberg School of Public Health. Most existing programs are housed exclusively in Schools of Public Health, or other medical school settings. A unique aspect of this proposal is its Cross-department and cross-school/college nature. This truly interdisciplinary approach offers students opportunities to address global health issues from a multidimensional perspective using a variety of methodological approaches. The certificate is intended for current UConn students who are interested in expanding their global health skills and knowledge. If we find that the program appeals to professionals looking for an opportunity to enhance their skill set and area of expertise as well as individuals interested in enrolling into a graduate program in an adjacent area, we will revisit whether an entrepreneurial program is justified.

What are the desired learning outcomes of the program?
Upon completion of the certificate, students should be able to:

- Demonstrate understanding of key issues in global health such as infant and child health, maternal health, sexuality and gender, food security, mental health, infectious diseases, non-communicable diseases, and international development.
- Describe the most important frameworks from the fields of public health, social medicine, and environmental, behavioral, and social sciences that are used to understand global health issues.
- Analyze the social, cultural, political, economic, and structural determinants of health, and their effects on access and utilization of quality health services.
- Gain familiarity with the complicated history of global health, and its antecedent field of international health.
- Gain insight into how power, politics, and structural inequities predispose certain populations to be healthier or sicker than others, and how certain populations benefit from advances in science and medicine while others do not.
- Apply evidence-based practices to investigate, understand, and interpret global health science.
- Gain familiarity with multidisciplinary methodological approaches such as surveys, participatory research methods (practice based and community-based research), statistical methods, mapping, and randomized control trials to understand global health issues originating from public health, social and behavioral medicine, and social sciences.
- Recognize the critical role of interdisciplinary collaboration and capacity building in the development and implementation of interventions, programs, and policies that address global health issues.
Program Description
The proposed program provides a 12-credit graduate certificate in interdisciplinary global health. Students will be required to take CHIP 5100: Interdisciplinary Global Health (3 credits) and will select three additional courses (3 credits each) from the menu of courses below, as approved by the Global Health Graduate Certificate Committee. Students are allowed, but not required, to take one elective course in their home department and one course listed in the Foundational Courses category. No prior experience with, or knowledge of global health is required, but prior coursework in statistics, epidemiology and/or research methods may be helpful. Students must have fulfilled prerequisites as noted in the graduate catalog to enroll in a given course. The certificate requires completing all four courses while maintaining a GPA of 3.0 or higher in each required course.

Proposed Graduate Catalog copy
The Global Health certificate is a 12-credit graduate certificate in interdisciplinary global health offered through the Institute for Collaboration on Health, Intervention, and Policy (InCHIP) in partnership with Global Affairs.

The certificate recognizes the interdisciplinary nature of global health and offers students concentrated exposure to foundational concepts, opportunities to dive deeper into an area of interest, and exploration of interdisciplinary methodological concepts. The certificate program also recognizes that global health encompasses not only international contexts, but also local health, and more importantly how "local and global health influence each other. No prior experience with, or knowledge of global health is required, but prior coursework in statistics, epidemiology and/or research methods may be helpful.

Requirements: Students are required to take CHIP 5100 (3 credits), plus three additional elective courses (3 credits each) chosen from the courses listed below, as approved by the Global Health Graduate Certificate Committee. Students are allowed but not required, to take one elective course in their home department and one course listed in the Foundational Courses category. The certificate requires completing all four courses while maintaining a GPA of 3.0 or higher in each required course.

Electives courses: - Foundational Courses (limited to one from this category): AH 5501, ANTH 5377, PUBH 5462
  • Culture and Health: HDFS 5020
  • Infectious Diseases: PSYC 5711 - Health as a Human Right: ANTH 5305, PUBH 5201, PUBH 5451, PUBH 5460, SWEL 5385
  • Sustainability: ARE 5305, AH 5505
  • Healthcare and Systems: PUBH 5463
  • Methods and Data Analytics: AH 6310, ARE 5311, ARE 5353, ARE 5203, GEOG 5500, GEOG 5530. HDFS 5004.
Faculty involvement

• César E. Abadía-Barrero, Associate Professor, Anthropology and Director of Undergraduate Programs, Human Rights Institute. Lisa M. Butler, Associate Research Professor, InCHIP Principal Investigator

Shayna Cunningham, Assistant Professor, Public Health Sciences

• Kevin Deickaus, Associate Professor of Medicine and Chief, Division of Infectious Diseases

• Debarchana (Debs) Ghosh, Associate Professor, Geography, Head of Courses and Curriculum Community, and InCHIP Principal Investigator

• Amy Gorin, Director of InCHIP and Professor of Psychological Sciences. David Gregorio, Professor, Public Health Sciences

Sara Harkness, Ph.D., M.P.H., Professor of Human Development and Pediatrics and Director, Center for the Study of Culture, Health, and Human Development

• Seth Kalichman, Ph.D., Professor of Psychological Sciences and InCHIP Principal Investigator

Kathy Libal, Ph.D., Associate Professor of Social Work and Human Rights and Director of the Human Rights Institute. Roman Shrestha, Assistant Professor, Allied Health Sciences, and InCHIP Principal Investigator. Sandro Steinbach, Assistant Professor, Agricultural and Resource Economics, and InCHIP Principal Investigator. Charles M. Super, Ph.D., Professor of Human Development and Pediatrics, and Co-Director, Center for the Study of Culture, Health, and Human Development

• Sarah Willen, Associate Professor, Anthropology and Director of the Research Program on Global Health and Human Rights, UConn's Human Rights Institute, and InCHIP Principal Investigator

Enrollment and graduation projections

We expect to admit 10-15 students per year and to graduate 10-15 students per year.

Program Evaluation

Enrollment and Retention. We will recruit graduate students enrolled in departments that have intersecting or complementary graduate programs (MA or PhD) via email solicitation, presentations at department and student-focused meetings, and presentations at professional development seminars. These departments and colleges include but are not limited to Agricultural and Resource Economics, Allied Health Sciences, Animal Sciences, Anthropology, School of Business, Communication, Economics, Educational Psychology, School of Engineering, School of Fine Arts, Geography, Human Development and Family Sciences, School of Medicine, School of Nursing, Pharmacy Practice, Plant Sciences, Psychological Sciences, Public Health Sciences, Public Policy, School of Social Work, and Sociology. We will also reach out to the recent graduates from the Individualized Major Program with Global Health and equivalent majors. We will track the number of students who apply, the number of students accepted, and the number of students that matriculate. We expect the majority of students to obtain a 'B' or better in courses, if data suggests otherwise, faculty will reflect on course development, recruitment, and other support that may be needed. Course evaluations will be reviewed after each term to inform iterative course improvement.
Student Satisfaction and Placement. Students will be surveyed upon completion of the program so that they can provide immediate feedback. This survey will include measures of program relevance, thoroughness, timeliness, convenience, and accessibility. Graduates will receive a second survey one year after they have completed the program to assess whether and how their feedback has changed based on additional experience and the opportunity to apply the material learned. Both of these exit surveys will request information about how the program impacted the placement of the student after graduation. Student placement following this program may include any of the following: clinical, applied, or a research-focused position that includes responsibilities that relate to global health, admission to an advanced graduate program in a relevant field, or promotion associated with the completion of this specialized certificate. We will also reach out to students who do not complete or withdraw from the certificate program to understand their reasons for doing so.

Program Administration
Admissions will occur twice per year, for entry in the fall and spring terms. A committee of associated faculty members will review applications and offer admission to those meeting the program requirements. No interview will be required. Each student will be assigned a faculty advisor within the certificate program. Students will meet with their advisor 1-2 times per year to discuss what they are learning through the coursework, how it applies to their research or career aspirations, and questions they have about opportunities in global health. The program director will hold an annual meeting for program faculty and advisors. Programmatic changes will be made by consensus of these associated faculty members.

Funding and financial resources needed
InCHIP and Global Affairs will share the cost of hiring an instructor to organize and oversee the required 3-credit course, Interdisciplinary Global Health. Funds will also be needed to hire a 5-hour per week program coordinator who will provide support regarding advertising, website upkeep, seminar organization, application processing, and other coordinating functions.

Other Resource Needs
No additional resources are needed; however, we aspire to be able to offer competitive fellowships for certificate students to do fieldwork, complete a capstone project if desired, and/or attend a conference to present their research.

Consultations with other potentially affected units
This proposal has been shared with relevant faculty, department heads and deans who were invited to provide feedback on the certificate as well as CETL and Global Affairs.

Who can apply to this program?
Internal applicants (current UConn students enrolled in another UConn degree or certificate program)
Admissions requirements
Anticipated term and year of Fall 2022 first enrollment
Proof of enrollment in a UConn Graduate Program, digital copy of unofficial transcript, personal statement, an email from their primary advisor indicating their support of certificate participation, and a planned list of electives for certificate.

Requirements for application to the program (in addition to transcripts)
Number of Letters of Recommendation: 1
Required materials: Unofficial transcript, list of planned electives

Term(s) to which students will be admitted
Fall, Spring

Anticipated application deadline
Rolling

Program Director Name: Amy Gorin
ATTACHMENT 7
June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D’Alleva, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Graduate Certificate in Obesity Prevention and Weight Management

RECOMMENDATION:

That the Board of Trustees approve a Graduate Certificate in Obesity Prevention and Weight Management.

BACKGROUND:

The College of Agriculture, Health and Natural Resources, in partnership with the Institute for Collaboration on Health, Intervention and Policy (InCHIP), is proposing to offer a Graduate Certificate in Obesity Prevention and Weight Management. Obesity is a significant public health threat. Over 70% of American adults and nearly one-third of U.S. children are overweight or obese (CDC, 2018). Similar trends are observed worldwide, prompting the World Health Organization to recognize obesity as a global epidemic. With pathways from the cell to society implicated in its etiology, the prevention and management of obesity is a complex process, one that often has limited success.

As the percentage of overweight and obese Americans continues to rise, there is an increasing demand for health care professionals and researchers who can prevent and address obesity in the environments in which people live, learn, work, and play. The proposed certificate will train students from various behavioral, social science, and clinical fields to tackle this 21st century challenge; to understand the multiple drivers of the obesity crisis and to have the knowledge and skills to develop, implement, and evaluate solutions for obesity at various levels and in different settings (e.g., from prevention to treatment, from childhood to adult, from individual to policy). Students who earn this graduate certificate will be better equipped to engage in interdisciplinary research and clinical care on obesity-related issues and collaborate across knowledge silos with the goal of understanding, preventing, and treating obesity.

The Interdisciplinary Obesity Prevention and Weight Management certificate is a 12-credit graduate certificate offered through InCHIP. The certificate recognizes the interdisciplinary nature of obesity and offers students concentrated exposure to foundational concepts and opportunities to dive deeper into broad topic areas such as the nutritional, exercise, and behavioral sciences as well as policy. It’s expected the program would enroll 5-10 students per year.
**Request for New UConn Academic Degree Program**

### General Information
- **Name of degree program:** Obesity Prevention and Weight Management
- **Name of sponsoring college:** College of Agriculture, Health, and Natural Resources
- **Type of Program:** Graduate Certificate
- **Campus Locations:** Storrs
- **Program Payment Type:** Tuition-based
- **Proposed CIP Code:** 51.2212

### Justification
Obesity is a significant public health threat. Over 70% of American adults and nearly one-third of U.S. children are overweight or obese (CDC, 2018). Similar trends are observed worldwide, prompting the World Health Organization to recognize obesity as a global epidemic. Obesity incurs tremendous costs at the individual and societal level. Obesity-related conditions (e.g., cardiovascular disease, diabetes, respiratory ailments, some forms of cancer, infertility, cognitive decline, mental health issues, and chronic pain) are among the leading causes of preventable death and disability (CDC, 2017) accounting for over 20% of U.S. medical spending (Cawley & Meyerhoefer, 2012). The impact of obesity on health outcomes is acutely evident in the ongoing coronavirus pandemic, with obesity linked to increased risk of severe illness, hospitalization, and death among individuals with COVID-19 (see Obesity Society for growing list of empirical studies). Particularly troubling is that the burdens of obesity are not evenly distributed in the U.S. population. As with many health indicators, there are notable disparities in obesity prevalence rates with higher rates observed in Black and Hispanic adults than white adults (Hales et al., 2017). Similar disparities exist in children.

With pathways from the cell to society implicated in its etiology, the prevention and management of obesity is a complex process, one that often has limited success. Several effective options are available for initial weight loss in the behavioral, pharmacology, and surgical realms, with the exception of perhaps bariatric surgery, weight loss maintenance remains an elusive goal regardless of weight loss method. Many contributing factors, such as obesogenic environments and lack of access to healthy foods, are outside of an individual’s control requiring a broadening of our weight management paradigms to include both upstream (e.g., policy-based approaches; community- and organization-level interventions) and downstream (e.g., individual-focused programs) approaches. Moreover, while excessive body weight is now the norm in the U.S., obesity remains a highly stigmatized condition and many individuals with obesity experience bias and discrimination in the workplace, health care setting, educational environment, and even the home. This stigma has been shown to exacerbate unhealthy behavior patterns, further jeopardizing successful weight management.

As the percentage of Americans living with overweight and obesity continues to rise, there is an increasing demand for health care professionals and researchers who can prevent and address obesity in the environments in which people live, learn, work, and play. The proposed certificate will train students from various behavioral, social science, and clinical fields to tackle this 21st century challenge -- to understand the multiple drivers of the obesity crisis and to have the knowledge and skills to develop, implement, and evaluate solutions for obesity at various levels and in different settings (e.g., from prevention to treatment, from childhood to adult, from individual to policy). Students who earn this graduate certificate will be better equipped to engage in interdisciplinary research and clinical care on obesity-related issues and collaborate across knowledge silos with the goal of understanding, preventing, and treating obesity.

**Are there similar programs in Connecticut or elsewhere?**
Given the high rates of obesity in the U.S. and worldwide, understanding how best to prevent and treat obesity will be critical for new researchers and clinicians alike (e.g., dietitians, physicians, etc.). Thus, our target audience is broad we have designed the certificate to appeal to graduate students from a range of educational backgrounds, cutting across departments, colleges, and campuses at UConn including UConn Health. The certificate is intended...
for current UConn students who are interested in expanding their skills and knowledge. If we find that the program appeals to professionals looking for an opportunity to enhance their skill set and area of expertise as well as individuals interested in enrolling into a graduate program in an adjacent area, we will revisit whether an entrepreneurial program is justified. There are 3-4 similar programs nationally with most offering 15-16 credit hours (e.g., University of Nebraska/South Dakota State's joint Transdisciplinary Childhood Obesity Prevention Graduate Certificate). We are not aware of any similar comprehensive, interdisciplinary programs in the New England region.

What are the desired learning outcomes of the program?
The learning objectives are consistent with training recommendations outlined by the Association of the American learning outcomes of the Medical Colleges and reflect best practices in obesity training program. Upon successful completion of the program, students will be able to:

• Describe the antecedents and consequences of the obesity epidemic across the lifespan, including risk factors, social and physical determinants, health disparities, etc
• Demonstrate a basic knowledge of the physiology of diet, hunger, physical activity, energy consumption, and weight management principles.
• Analyze and apply evidence-based dietary and physical activity guidelines and behavior modification principles.
• Evaluate the research literature related to obesity prevention/management using the socio-ecological model.
• Apply systems thinking to obesity prevention and treatment.
• Evaluate policies with the potential to impact obesity.

Program Description
The proposed program provides a 12-credit graduate certificate in interdisciplinary training in obesity research and management. Students will be required to take CHIP 5000: Obesity from an Interdisciplinary Perspective (3 credits). In addition, three courses (3 credits each) must be taken from the menu of courses below, one course per group (Nutritional Sciences, Physical Activity/Exercise Science, and Behavioral Science/Policy). Students are allowed to take one of their elective courses in their home department (Plan of Study to be approved by the Program Director). No prior experience with or knowledge of obesity research and management is required, but prior coursework in research methods, nutrition, kinesiology, or behavioral sciences may be helpful. The certificate requires completing all four courses while maintaining a GPA of 3.0 or higher in each required course.

Proposed Graduate Catalog copy
The Interdisciplinary Obesity Prevention and Weight Management certificate is a 12-credit graduate certificate offered through the Institute for Collaboration on Health, Intervention, and Policy (In CHIP). The certificate recognizes the interdisciplinary nature of obesity and offers students concentrated exposure to foundational concepts and opportunities to dive deeper into broad topic areas such as the nutritional, exercise, and behavioral sciences as well as policy. The certificate program recognizes that there are multiple drivers of the obesity epidemic and challenges students to explore solutions for obesity at various levels and settings (e.g., from prevention to treatment, from childhood to adult, from individual to policy). Students who earn this graduate certificate will be better equipped to engage in interdisciplinary research and clinical care on obesity-related issues and collaborate across knowledge silos with the goal of understanding, preventing, and treating obesity. No prior experience with, or knowledge of obesity prevention or weight management is required, but prior coursework in research methods, nutrition, kinesiology, or behavioral sciences may be helpful.

Requirements: Students are required to take CHIP 5000 (3 credits), plus three additional elective courses (3 credits each), one from each of the three areas below, as approved by the Interdisciplinary Certificate in Obesity Prevention and Weight Management Committee. Students are allowed, but not required, to take one elective course in their home department. The certificate requires completing all four courses while maintaining a GPA of 3.0 or higher in each required course.

Electives courses (minimum of one course from each category):
• Nutritional Sciences: NUSC 5398, NUSC 6315, NUSC 6317, HDFS 5095
• Physical Activity/Exercise Science: KINS 5507, KINS 5508, KINS 5595
• Behavioral Science and Policy: PSYC 5120, PSYC 6750, AH 6305, AH 6324, COMM 5770, HDFS 5095, HDFS 5340, PUBH 5477, ARE 5205

Faculty involvement
Amy Gorin (Director of InCHIP/Professor of Psychology Sciences) will oversee and administer the program as well as advise and teach students. Core faculty from several departments and colleges will also advise and teach students in the program and will meet yearly to review program requirements, enrollment, curriculum, and outcomes.

Agricultural and Resource Economics: Tatiana Andreyeva (Associate Professor), Cristina Connolly (Assistant Professor)
Allied Health Sciences: Caitlin Caspi (Associate Professor); Kristen Cooksey Stowers (Assistant Professor); Valerie Duffy (Professor), Tania Huedo-Medina (Associate Professor), Tricia Leahy (Professor), Jeanne McCaffery (Associate Professor), Sherry Pagoto (Director, Center for mHealth and Social Media/Professor); Molly Waring (Associate Professor)
Communication: Elizabeth Hintz (Assistant Professor)
Human Development and Family Sciences: Kim Gans (Professor), Rebecca Puhl (Deputy Director, Rudd Center for Food Policy and Obesity/Professor); Marlene Schwartz (Director, Rudd Center for Food Policy and Obesity/Professor)
Kinesiology: Linda Pescatello (Distinguished BOT Professor)
Nutritional Sciences: Loneke Blackman Carr (Assistant Professor)
Psychological Sciences: Amy Gorin (Professor/InCHIP Director), Diane Quinn (Professor)
Public Health Sciences: Angela Bermudez-Millan (Assistant Professor)

Enrollment and graduation projections
We expect to admit 5-10 students per year and to graduate 5-10 students per year.

Program Evaluation
Enrollment and Retention.
We will recruit graduate students enrolled in departments that have intersecting or complementary graduate programs (MA or PhD) via email solicitation, presentations at department and student-led meetings, and presentations at professional development seminars. These departments and colleges include but are not limited to Agricultural and Resource Economics, Allied Health Sciences, Anthropology, School of Business, Communication, Economics, Educational Psychology, School of Engineering, School of Fine Arts, Geography, Human Development and Family Sciences, Kinesiology, School of Medicine, School of Nursing, Pharmacy Practice, Plant Sciences, Psychological Sciences, Public Health Sciences, Public Policy, School of Social Work, and Sociology. We will track the number of students who apply, the number of students accepted, and the number of students that matriculate. We expect the majority of students to obtain a B or better in courses, if data suggests otherwise, faculty will reflect on course development, recruitment, and other supports that may be needed. Course evaluations will be reviewed after each term to inform iterative course improvement.

Student Satisfaction and Placement.
We will survey students upon completion of the program so that they can provide immediate feedback. This survey will include measures of program relevance, thoroughness, timeliness, convenience, and accessibility. Graduates will receive a second survey one year after they have completed the program to assess whether and how their feedback has changed based on additional experience and the opportunity to apply the material learned. Both of these exit surveys will request information about how the program impacted the placement of the student after graduation. Student placement following this program may include any of the following: clinical, applied, or a research-focused position that includes responsibilities that relate to obesity and/or weight management, admission to an advanced graduate program in a relevant field, or promotion associated with the completion of this specialized certificate. We will also reach out to students who do not complete or withdraw from the certificate program to understand their reasons for doing so.
Program Administration
Admissions will occur twice per year, for entry in the fall and spring terms. A committee of associated faculty members will review applications and offer admission to those meeting the program requirements. No interview will be required.

Each student will be assigned a faculty advisor within the certificate program. Students will meet with their advisor 1-2 times per year to discuss what they are learning through the coursework, how it applies to their research or career aspirations, and questions they have about opportunities in obesity and weight management research. The program director will hold an annual meeting for program faculty and advisors. Programmatic changes will be made by consensus of these associated faculty members.

Funding and financial resources needed
InCHIP will assume the costs of offering the required 3-credit course, Obesity from an Interdisciplinary Perspective, and will provide funds to hire a 5-hour per week program coordinator who will provide support regarding advertising, website upkeep, seminar organization, application processing, and other coordinating functions.

Other Resource Needs
No additional resources are needed.

Consultations with other potentially affected units
This proposal has been shared with relevant department heads (Agricultural and Resource Economics, Allied Health Sciences, Communication, Human Development and Family Sciences, Kinesiology, Nutritional Sciences, Public Health Sciences, Psychological Sciences) and deans (CAHNR, CLAS, School of Medicine) who were invited to provide feedback on the certificate.

Who can apply to this program?
Internal applicants (current UConn students enrolled in another UConn degree or certificate program)

Anticipated term and year Fall 2022 of first enrollment
Admissions requirements Proof of enrollment in a UConn Graduate Program, digital copy of unofficial transcript, personal statement, an email from their primary advisor indicating their support of certificate participation, and a planned list of electives and timeline for certificate completion.

Requirements for application to the program (in addition to transcripts)
Number of Letters of Recommendation: 1
Required materials: Unofficial transcript, planned list of electives

Term(s) to which students will be admitted
Fall, Spring Summer

Anticipated application deadline: Rolling

Contact Info
Initiator Name: Amy Gorin
Initiator Department: In CHIP
Initiator Email: amy-gorin@uconn.edu
Initiator Phone Number: 860-486-5670
June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D’Alleva, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit

RECOMMENDATION:

That the Board of Trustees approve the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit.

BACKGROUND:

Connecticut General Statute 1-84(r) requires the Board of Trustees to establish a policy for faculty consulting activities. The Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit was first approved by the University of Connecticut Board of Trustees and has gone through various revisions over the last eleven years.

The updates presented today bring the policy in line with current standards on format and language, with the intention of ensuring clarity for faculty. No major changes have been made to the policy itself, but the revisions are significant in that they involve major rewording and restructuring.
POLICY ON CONSULTING FOR FACULTY
AND MEMBERS OF THE FACULTY BARGAINING UNIT

June 26, 2019

1. INTRODUCTION

Consulting is a time honored and frequent activity of faculty throughout U.S. research universities. The ability to consult is important in promoting recruitment and retention of faculty of the highest quality. Often, such consulting activities provide a range of benefits including fostering economic development, enhancing the reputation of the University, promoting faculty development and enhancing the faculty’s ability to bring to the classroom current and relevant “real world” experiences, among others.

Consulting is an activity performed by a faculty member for compensation as a result of his/her expertise or prominence in his/her field while not acting in his/her official capacity as a State employee (i.e. in his/her own time.) The University's Laws and Bylaws prohibit faculty from consulting on "time due to the University".

2. PURPOSE

This Policy describes how members of the faculty and members of the faculty bargaining unit (both hereafter referred to as “faculty member(s)”) may participate in consulting activities while complying with the State of Connecticut Code of Ethics, the University of Connecticut Ethics Statement, the University's Code of Conduct and the University's Laws and Bylaws.

3. SCOPE

This policy applies to all faculty members paid by the University of Connecticut and University of Connecticut Health Center.

4. DEFINITIONS
a) consulting—providing services, advice and similar activities for compensation*, based on a faculty member’s professional expertise or prominence in his or her field, while not acting as a State employee.
b) contracting entity—The entity engaging and compensating the faculty member for the consulting activity.
c) ‘time due to the University’—Any time necessary for successfully carrying out the duties assigned to and for which a faculty member was hired. This includes both sufficient time to perform assigned duties as well as sufficient opportunity to meet with other faculty, staff and students.
d) “normal work time/days”—The usual time (days of the week, hours in the day) committed to assigned duties.
e) Compensation—compensation for services rendered include, but are not limited to, money, stock, stock options, material gifts, equity interest, other interests of value, and “luxury travel” (i.e. travel expenses in excess to what the State would have paid if the person had traveled as a State employee). Within this policy, compensation does not include royalties covered under Connecticut statutes 10a-110g (Rights as to products of authorship).
f) “a faculty affiliated company” is a company [or other legal entity] in which the faculty member, or a faculty member’s immediate family, has an ownership interest or serves on the board of directors or board of advisors.

5. POLICY

a) All faculty members, with the exception noted under ‘q’ below must receive written permission in advance from their supervisor and the Provost or Executive Vice President for Health Affairs, (whoever has jurisdiction over that member), or their designees, in order to engage in consulting activities. Requests for such permission will describe the consulting activity, the contracting entity, the dates (or range of dates) that the activity will occur, and the maximum total effort in terms of the faculty members’ normal work days to complete the consulting activity.

b) Permission to consult may only be granted when:

i. The request to perform the consulting activity occurs due to the faculty member’s expertise or prominence in his or her field, not the faculty member’s official State position.
ii. The faculty member is currently, fully performing his/her State duties.
iii. The consulting activity will not interfere with a faculty member’s future ability to perform his/her duties.
iv. The faculty member is not competing with the University for work that may be perceived as being work the University would choose to perform.
v. Those members of a faculty bargaining unit who have specific teaching and/or research responsibilities, the consulting contributes to the continued

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1 Within this policy, compensation does not include royalties covered under Connecticut statutes 10a-110g.
development of the faculty member's professional expertise or academic reputation.

e) Approvals must be obtained for each consulting activity. Any on-going consulting activity must be approved on a fiscal year basis (i.e., July 1—June 30.)

d) The disclosure of proprietary information (i.e., intellectual property owned in part or in total by the University) is prohibited unless specific permission is granted.

e) The faculty member must inform the contracting entity that s/he is not acting as a State employee while performing the consulting activity and is not covered by any State liability protection.

f) The faculty member may not inappropriately use his/her association with the University in connection with the consulting activity. That is, members may identify their employee status, but they shall not speak, act, or make representations on behalf of the University or express institutional endorsement in relation to the outside activity. Further, it must be made clear that permission to use the University name, logos, or other identifiable marks may only be granted by the University.

g) Permission to use State resources while consulting must be provided in writing, in advance, and use of such resources must be fully reimbursed to the University of Connecticut.

h) When compensation would be deemed to be a ‘significant financial interest’ as defined in the Policy on Financial Conflicts of Interest in Research, the faculty member must disclose this in financial statements made under that policy.

i) The faculty member must get approval if the faculty member is working for a faculty affiliated company in a paid or unpaid capacity, including as an employee, consultant, or advisor.

j) It is in the University’s best interest to ensure that its faculty does not compete with the University for work it has or is planning to do itself by teaching a course at another institution for compensation. With this understanding, faculty members may request permission to teach elsewhere under the conditions of this policy and as long as the assignment is determined to be beneficial to the interest of the University.

k) All faculty members who were engaged in a consulting activity in a given fiscal-year must complete a year-end reconciliation report describing all consulting activities for which they have received approval. If the estimates regarding anticipated time spent on each activity and the compensation range provided when requesting permission to consult do not reflect what actually occurred, such information should be revised appropriately.

l) The Provost and the Executive Vice President for Health Affairs will submit annual reports of consulting activities for the faculty members under their respective jurisdictions to the Joint Audit and Compliance Committee of the Board of Trustees.
m) The University's Office of Audit and Management Advisory Services (AMAS) shall develop and implement a plan of regularly recurring monitoring and audits to ensure the complete and accurate implementation of this policy.

n) A report or allegation of a violation or noncompliance with this policy shall be reviewed by the Provost or Provost designee. After due process, the Provost may elect to withdraw the authorization or appropriately modify the conditions upon which the authorization to consult is granted so as to resolve any conflict. Such actions are subject to reversal through relevant appeal procedures including those described in the University's Bylaws.

o) Failure to comply with the provisions of this policy may result in appropriate disciplinary action, including but not limited to, loss of the privilege to engage in consulting activities or termination from service. Such disciplinary action will be issued in accordance with the applicable provisions of the collective bargaining agreement or the employment agreement of the faculty member and subject to any appeal rights that may be available.

p) Any faculty member who does not receive prior written approval under this policy is subject to the jurisdiction of the Office of State Ethics. In addition, the faculty member may be subject to sanctions issued by the University for violating this policy.

q) Faculty paid less than 50% time by the University of Connecticut and/or University of Connecticut Health Center do not need approval to consult. The requirements described in 5b. ii–iv, 5d–m still apply. 2 Provisions 5b i., 5b v., 5c do not apply.

r) Faculty paid less than 50% time by the University of Connecticut and/or University of Connecticut Health Center may voluntarily elect to request prior approval to consult as described in 5a. In such cases, all the rules under 5a–n are applicable. 3 Once such a faculty member has requested approval to consult, all subsequent consulting activities in that fiscal year must also obtain such approval.

6. CONFIDENTIAL INFORMATION

Any financial information provided in the consulting request forms or reconciliation reports will be deemed confidential financial information, in accordance with Section 1-210(b) of the Freedom of Information Act, and will not be disclosed to any third party unless the member agrees or a court of competent jurisdiction so orders, or in order to comply with Federal and/or State laws or regulations related to the handling of Federal research grants.

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2 Per State statute, final jurisdiction whether such consulting is compliant with the State Code of Ethics resides with the Office of State Ethics for such consulting activities.

3 Per Public Act 07-166 section 12, the University has final jurisdiction to approve such consulting activities.
1. **BACKGROUND**

The University recognizes the benefits derived from faculty members participating in consulting activities with outside entities. Such activities are vital for professional service, provide intellectual enrichment of faculty members and students, may foster economic development, and enhance the reputation of the University. Participation in such activities is a norm for faculty at all highly ranked U.S. public research universities. All activities where outside compensation is received that are related to the expertise of a faculty member fall within the purview of this policy, as are any activities with faculty affiliated companies.

2. **PURPOSE**

This policy provides a framework for consulting work with external entities to ensure compliance with the State of Connecticut Code of Ethics (Conn. General Stat §1-84(r)), other applicable policies, and to ensure such work does not conflict with University employment.

3. **APPLIES TO**

This policy applies to all faculty at the University of Connecticut and the University of Connecticut Health Center, and all staff eligible to be members of the faculty bargaining units (hereafter described as “faculty members”). The policy applies to management-exempt employees only when they have a base faculty appointment, as determined by their appointment letter.
Faculty members who are employed by the University below 0.5 FTE (full-time equivalent) do not need approval to engage in consulting activities. However, such faculty may voluntarily elect to request prior approval for consulting activities. Once a faculty member in this position has requested approval to consult, all subsequent consulting activities in that reporting year must also obtain such approval.

4. DEFINITIONS

a) **Consulting**: an activity (e.g., provide services, give advice or analysis) undertaken by a faculty member for compensation as a result of their expertise or prominence in their field, while not acting in their official capacity as a State employee (i.e., in their own time). Activities such as serving on grant review panels, giving talks, or reviewing academic works are classified as consulting when undertaken for compensation. Paid or unpaid work conducted for a faculty affiliated company is also considered consulting.

b) **Compensation**: any form of payment received for the consulting activity. Compensation for consulting activities includes, but is not limited to; honoraria, stipends, payments in goods or services, stocks or stock options, other interests of value, or any forms of compensation (including “luxury travel”) above necessary expenses, even if this is intended to support costs associated with undertaking the activity.

c) **Contracting entity**: the business, nonprofit organization, government body, individual, or other organization that engages and compensates the faculty member for the consulting activity.

d) **Faculty affiliated company (FAC)**: A faculty affiliated company (or other legal entity) is a for-profit or not-for-profit business where a faculty member or member of their immediate family: 1) is a director, officer, owner, or limited or general partner or, 2) is a beneficiary of a trust, or holder of stock constituting five percent or more of the total outstanding stock of any class.

e) **Time due to the University**: any time necessary for successfully carrying out the workload duties assigned to a faculty member. The University’s Bylaws and policies prohibit faculty from consulting on “time due to the university.”

f) **Normal work time**: the usual time during which a faculty member is expected to perform their job duties. These times and job duties may be defined in specific appointment letters, workload policies, or other workload assignment documentation.

g) **Reconciliation**: the process of closing out each approved consulting request after the activity has taken place (or was due to take place if it does not occur) by confirming or updating information regarding the time spent consulting and the compensation received.

5. POLICY STATEMENT

All full-time faculty members must receive written permission from the appropriate supervisory hierarchy prior to engaging in any consulting activity. All consulting requests
and reconciliations must be submitted via the University online consulting request system. Faculty must adhere to the University’s procedures associated with this policy.

Consulting approval is not required for compensation received from royalties.

The provost will submit an annual report of consulting activities for all faculty members to the Joint Audit and Compliance Committee of the Board of Trustees. The University's Office of Audit and Management Advisory Services (AMAS) shall develop and implement a plan of regularly recurring monitoring and audits to ensure the complete and accurate implementation of this policy.

The disclosure of proprietary information (i.e., intellectual property owned in part or in total by the University) is prohibited when consulting unless specific permission is granted.

6. ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University Bylaws, General Rules of Conduct for all University Employees, and applicable collective bargaining agreements.

Faculty members who do not receive prior approval under this policy are subject to the jurisdiction of the Office of State Ethics. In addition, the faculty member may be subject to sanctions issued by the University for violating this policy, as outlined in the associated Procedures.

7. PROCEDURES/FORMS

Procedures for the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit

8. REFERENCES

Connecticut General Statutes § 1-84 (Formerly Section 1-66). Prohibited Activities.
University of Connecticut Code of Conduct
Guide to the State Code of Ethics (For UConn employees)
Faculty Affiliated Companies/External Entities Website
Guidelines for Faculty, Staff and Students who are affiliated with a Company
University Logo and Wordmark Policy

9. POLICY HISTORY

Policy created: 9/25/2007 (Approved by Board of Trustees)

Revisions:
4/20/2010 (Approved by Board of Trustees)
4/13/2011 (Approved by Board of Trustees)
11/12/2012 (Approved by Board of Trustees)
June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D’Alleva, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Academic Program Inventory

BACKGROUND:

The Office of Higher Education maintains an inventory of approved academic programs offered by public and independent colleges and universities in Connecticut. Those listings are available to the general public through the Office’s web site and provide the most accurate up-to-date information about programs of study in our state.

The information on the Inventory of Approved Academic programs is an important resource and is used to convey educational information to a broad range of constituencies, both in Connecticut and across the country. Additionally, in order for veterans to receive their earned educational benefits, they must be enrolled in a program that is accredited.

The following non-substantive changes and updates are provided to the Board for informational purposes.

Non-Substantive Changes and Updates:

- CIP Code Change: MS in Applied and Resource Economics from 01.0103 (Agricultural Economics) to 45.0603 (Econometrics and Quantitative Economics)
- CIP Code Change: Ph.D. in Agricultural and Resource Economics from 01.0103 (Agricultural Economics) to 45.0603 (Econometrics and Quantitative Economics)
June 29, 2022

TO: Members of the Board of Trustees  
FROM: Anne D’Alleva, Ph.D.  
       Interim Provost and Executive Vice President for Academic Affairs  
RE: Academic Centers and Institutes

The By-Laws of the University of Connecticut, Article XII, state that “All centers and institutes will be reviewed on a five-year cycle to determine their continued contribution to the University’s mission,” and that the “Provost will routinely inform the Board of Trustees … of the establishment and discontinuation of all centers and institutes.” This document represents such notice.

BACKGROUND:

Following review and deliberation, the following Academic Centers and Institutes are being established or renewed:

Established
Digital Design Research, Analysis and Manufacturing (D²REAM Center) (School of Engineering)

Renewed for five-year term
Asian and Asian American Students Institute  
Brain Imaging Research Center  
Center for Advancement of Managing Pain (CAMP)  
Center for the Study of Culture, Health, and Human Development (CHHD)  
Center of Excellence for Vaccine Research (CEVR)  
Connecticut Center for Economic Analysis (CCEA)  
Connecticut Institute for the Brain and Cognitive Sciences (IBACS)  
Connecticut Transportation Safety Research Center  
Eversource Energy Center  
Reading and Language Arts Center

Renewed for a three-year term
Zwick Center for Food and Resource Policy (College of Agriculture, Health and Natural Resources)

Renewed for a one-year term
Center for Environmental Health and Health Promotion (CEHHP) (College of Agriculture, Health and Natural Resources)

Mission statements for established and renewed Academic Centers and Institutes are available on the following pages.
Digital Design Research, Analysis and Manufacturing (D³REAM Center)
The D³REAM center is an academic-government-industry partnership aimed at enabling the development of groundbreaking Modeling and Simulation (M&S) capabilities to support advanced structural digital design and manufacturing and discovery of metamaterials for the next generation of Army ground vehicle systems. Furthermore, the Center will use the strong research ecosystems at UConn to build a strong partnership between academia, government and industry and train a talented workforce and thought leaders for government and industry.

Asian and Asian American Students Institute
Housed in the College of Liberal Arts and Sciences, the Asian and Asian American Studies Institute is a multidisciplinary research and teaching program. Distinguished by its global, diasporic, national, regional, and transnational orientations, the Institute brings two traditionally distinct fields of inquiry together in dynamic conversation: Asian Studies and Asian American Studies. Comprised of the humanities, social sciences, and the arts, the Institute’s research output and course offerings engage Asia, the Pacific, and the Americas not as static, monolithic sites rather as sets of shifting historical, geographic, and geopolitical zone of interaction, struggle, and cooperation. In sum, the Institute fosters intellectual endeavors that concern the broad historical and contemporary experiences of people of Asian descent in Asia and in different parts of the world, inclusive of North and South Americas, the Caribbean, Europe, Africa, and Australia.

Brain Imaging Research Center
The BIRC is a vibrant hub for multi-disciplinary research, including both basic science and translational research with implications for the classroom, clinic, and quality of life. The Center facilitates scientific discovery and theoretical innovation in cognitive neuroscience and other fields by providing access to state-of-the-art equipment and methods and technical and scientific training. It supports both brain and whole-body imaging and research across the life span and on a range of clinical and nonclinical populations. Additionally, the Center provides educational and research opportunities for UConn’s graduate and undergraduate students and disseminates scientific knowledge to the broader university community, relevant professional communities, and the general public.

Center for Advancement of Managing Pain (CAMP)
With the overarching goal of advancing and generating new knowledge of pain mechanisms and improving the delivery of safe and effective methods to promote pain relief across populations and settings, the Center for Advancement of Managing Pain (CAMP) provides a collaborative infrastructure for pain management professionals and academic researchers from across disciplines to establish translational programs of research, implement interdisciplinary pain education and develop innovative approaches for advancing the practice of precision pain management.

Center for the Study of Culture, Health, and Human Development (CHHD)
The Center for the Study of Culture, Health, and Human Development (CHHD) promotes interdisciplinary scientific collaboration, training, and outreach related to human development and health in cultural context. It offers an interdisciplinary graduate seminar, preparing students to earn a graduate certificate. Innovative collaborations among affiliated faculty can be supported through seed grants, and the Center is developing a library of teaching videos for culture and human development.
Center of Excellence for Vaccine Research (CEVR)
The elucidation of the mechanisms of pathogenesis of, and immune responses to, primary bacterial and viral pathogens with the goal of developing safe and effective vaccines.

Connecticut Center for Economic Analysis (CCEA)
CCEA specializes in economic impact and policy analysis studies, as well as advising clients regarding business strategy, market analysis, and related topics. CCEA focuses particular attention on the economic and business dynamics of Connecticut. CCEA’s studies of state issues are founded on data sets maintained by Amherst, Massachusetts based Regional Economic Modeling, Inc. (REMI), which licenses dynamic models of the state’s economy.

Connecticut Institute for the Brain and Cognitive Sciences (IBACS)
The mission of the Connecticut Institute for the Brain and Cognitive Sciences (CT IBACS) is to serve as both a beacon and incubator for research across the brain and cognitive sciences at UConn and beyond; promoting and supporting the interdisciplinary science of the mind and its realization in biological and artificial systems. It will enable new research and educational opportunities for graduate students, postdoctoral researchers, and faculty to extend their intellectual reach beyond traditional disciplinary boundaries, as well as enabling undergraduates to receive laboratory-based training in neuroscientific, behavioral, and theoretical research in the brain and cognitive sciences. It aims to provide the physical, financial, administrative, technical, intellectual, and educational infrastructure to enable UConn’s extensive but distributed neuroscience and cognitive science community to realize its full potential for disciplinary and interdisciplinary innovation in the brain and cognitive sciences.

Connecticut Transportation Safety Research Center
The mission of the CTSRC is to support CTDOT in developing and maintaining a state-of-the-art crash data entry, collection, and safety analysis system. The goals of the Center include 1) development of efficient tools for the collection and analysis of crash data 2) tracking, documenting and researching safety improvements and needs in the state 3) researching and developing outreach programs to target Connecticut specific/identified safety concerns 4) developing custom training and early intervention programs to assist law enforcement in collecting uniform, timely and complete crash data, and 5) conducting transportation safety research that has state, national and global implications and applications.

Eversource Energy Center
To be the foremost energy utility-academia partnership advancing leading-edge interdisciplinary research and technology assuring reliable power during extreme weather and security events.

Reading and Language Arts Center
We believe in creating communities where: All students read and write meaningful texts; All teachers engage students’ strength to address specific needs; All instruction integrates reading, writing, and language in all its forms; All curriculum includes the ethical assessment of development over time; and All educators engage in sustained professional learned about a range of instructional practices so that educators are fully equipped to teach all students.
Zwick Center for Food and Resource Policy
The Zwick Center performs economic analysis on problems related to food, natural resources, environment, energy, and sustainable regional economic development. The Center’s goal is to improve society’s wellbeing by providing practical information to support decision-making and the functioning of markets.

Center for Environmental Health and Health Promotion (CEHHP)
to bring together researchers to investigate and analyze the interaction between human behavior and the environment. We strive to identify health resources and constraints in various environmental settings and how they contribute to the development of chronic diseases. We promote developing interventions that integrate health behavior and lifestyle modifications with environmental alterations, which is essential in improving human health and reducing the rate and prevalence of chronic diseases
June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D’Alleva, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit

BACKGROUND:

Revisions to the Consulting Procedures must be presented to the Board of Trustees as an informational item. These revisions are a strike all of the previous procedures. They provide updates in format and language, with the intention of ensuring clarity for faculty. Separate procedural documents that provided “sanctions” for faculty who fail to comply with the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit are now included in this single procedural document, as are the procedures for consulting time related to faculty who hold management-exempt positions.

The changes clarify the approval process for “low Conflict of Interest risk” (low COI risk) activities, and include a more flexible provision for providing an exception to the requirement for a sanction if such activities are reported after they take place. The procedures update requirements related to faculty affiliated companies, so that requests will be submitted for all such entities, affirming that no effort is taking place when this is the case. The reporting year for faculty at Storrs and regional campuses has been aligned with the contractual year, and will now be May 23 through May 22, with faculty at UConn Health continuing to utilize the regular fiscal year for reporting purposes.
Proposed changes to the Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit. (Previous procedures presented as a strike all are shown in strikethrough.)

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

October 28, 2020

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” form\(^1\) 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.

\(^{1}\) Currently this is completed and transmitted using an on-line approval system.
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 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 form developed by the Provost and the Executive Vice President for Health Affairs at the

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2 Currently this is completed and transmitted using an on-line system.
UCHC. Such form must include verification that the University has been appropriately reimbursed for material use of state resources.

7. MANAGEMENT COMMITTEE

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 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. CONSULTING FOR UCONN AND UCONN HEALTH MANAGEMENT-EXEMPT EMPLOYEES WITH A FACULTY TITLE

State legislation permits consulting activities for UConn and UConn Health faculty provided these activities are carried out in accordance with the regulations set out in the

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3 Management-exempt faculty are not eligible to be members of the AAUP collective bargaining units and the terms and conditions of their employment are not governed by the AAUP contracts.
legislation and the University Faculty Consulting Policy. Management exempt employees with a faculty title may consult following the same procedures as all other faculty. In addition, they must document that if they perform approved consulting work during normal business hours (i.e. Monday—Friday, 8 a.m.—5 p.m.), that they have worked an equivalent number of hours performing University work outside of normal business hours. If this is not possible, the consulting work should be performed on approved vacation, personal, comp, or holiday leave time.

11. 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.

12. 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.
SANCTIONS FOR NON-COMPLIANCE WITH THE UNIVERSITY’S CONSULTING POLICY AND PROCEDURES

These SANCTIONS have been developed in response to the provisions of Public Act 07-166 that requires the University to establish “procedures that impose sanctions and penalties on any member for failing to comply with the provisions of the policies.” In addition, the internal auditor’s report, issued November, 2008, states, “Management should develop consistent procedures relating to consulting requests received on or after the activity start date and explicit sanctions and penalties to noncompliance with University faculty consulting policies and procedures. The sanctions and penalties should include progressive levels of action and related procedures to impose such sanctions as required by PA 07-166 and the BOT approved University policy.”

A. The following sanctions will be taken when a request to consult is submitted late (i.e., either received by the Department Head, Dean or the Faculty Consulting Office (FCO) on or after the start date of the activity, or submitted before the start date, but without sufficient time to process it. Ordinarily, at least one week lead-time is suggested. This section (A) applies only to requests to consult that would routinely have been approved and late submission is the only non-compliance issue.

1. First Occurrence—letter to or phone conversation with the faculty member and his/her superior explaining the implications of late submission.

2. Second Occurrence—a letter to the faculty member and his/her superior explaining the implications of late submission and advising him/her that sanctions will be imposed the next time this occurs.

3. Third Occurrence—a letter to the faculty member and his/her superior indicating that all requests to consult during normal work time for the remainder of the fiscal year will be denied with a letter to the personnel file.

4. Fourth Occurrence—a letter to the faculty member and his/her superior indicating that permission to consult during normal work time has been indefinitely suspended with a letter to the personnel file.

B. Occurrences of late submission will be cumulative. The count will be reset to zero occurrences if the faculty member goes a full fiscal year without any new occurrence.
C. There will be an exceptions process that will affect the sanctions under section A above. (It should be noted that this process has no impact on Office of State Ethics jurisdiction over the activity). If the requestor provides written documentation to the FCO that the offer to consult was received so close to the start of the activity that approval was not possible, then it will not be considered an occurrence of non-compliance. If the form is received late because of slow processing in a college/school administrative office, the exception may only be granted upon written request of that Office’s Chief Academic Officer. Such exceptions will generally be granted only for activities that qualify for the accelerated (aka “fast track”) approval process.

D. Failure to submit required annual reconciliation reports by the published deadline will result in the following sanctions:
1. No further requests to consult will be approved until 3 months after the missing reconciliation reports are received.
2. A notification letter will be sent to the faculty member and his/her department head. If the faculty member doesn’t complete all overdue reconciliation reports within two weeks of this issuance of this notification letter, permission to participate in all currently approved consulting activities will be revoked.

E. This section applies when faculty engage in a consulting activity when the request to consult was disapproved (whether such request was submitted prior to the start of the activity or late), no request to consult was submitted, or for other material non-compliance (such as the unauthorized material use of State resources, use of the University’s logo without permission, or when the person represents him/herself as acting as an agent of the University while consulting, etc). In these situations, sanctions will be determined on a case-by-case basis. Factors used in determining the level of sanctions include but are not limited to: a) whether or not the University would have approved the activity if a formal request had been made; b) the level of compensation for the activity; c) the time expended for the activity from the time due the University; and d) existence and nature of previous non-compliance with the consulting policy. Sanctions may include a ban on future approval of requests to consult, cancellation of previously approved and on-going consulting activities, or other disciplinary actions. The progression of these latter disciplinary actions will be consistent with those specified in the AAUP contract and the University By-Laws.

F. All sanctions will be issued by the Provost and Executive President for Academic Affairs.

Approved by the Provost on: October 6, 2011
<table>
<thead>
<tr>
<th><strong>Title:</strong></th>
<th>Procedures for the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit.</th>
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<tbody>
<tr>
<td><strong>Protocol Owner:</strong></td>
<td>Office of the Provost</td>
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<tr>
<td><strong>Applies to:</strong></td>
<td>Faculty and members of the faculty bargaining unit, Management-exempt personnel with faculty appointments</td>
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<tr>
<td><strong>Campus Applicability:</strong></td>
<td>UConn &amp; UConn Health</td>
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<tr>
<td><strong>Effective Date:</strong></td>
<td>June 29, 2022</td>
</tr>
<tr>
<td><strong>For More Information, Contact</strong></td>
<td>Faculty Consulting Office</td>
</tr>
</tbody>
</table>
| **Contact Information:** | UConn Storrs and Regional Campuses- Sarah Croucher sarah.croucher@uconn.edu  
UConn Health- Jody Terranova jterranova@uchc.edu. |
| **Official Website:** | https://policy.uconn.edu/procedures/ |
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PURPOSE

To establish the process, procedures, and criteria for implementing the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit.

CONSULTING REQUESTS

Faculty must submit consulting requests for externally compensated activities that are based on the faculty member’s professional expertise or prominence in their field. Requests are also required for any active faculty affiliated company (FAC), either to approve effort with the company, or to provide an affirmation that there is no effort on the part of the faculty member in relation to the FAC during any given reporting year.

Compensated activities that are not associated with the faculty member’s professional expertise do not require consulting approval (such activities should be conducted outside of normal work time or time due to the University). Consulting approval is not required for activity undertaken by a faculty member with outside entities that is related to their expertise but is uncompensated (even if necessary expenses to support the activity are provided). This latter activity may often be professional service and undertaken as part of the faculty member’s work as a State employee.

Required Information for Consulting Requests Forms

To be considered for approval, the consulting request form must be completed in full. The information provided on the request form must be accurate. The consulting request form requires the following information:

- The name and address of the contracting entity, including whether this is a domestic or foreign entity.
- A detailed description of the proposed consulting activity to allow for determinations related to conflicts of interest, conflicts of commitment, or other compliance questions as relevant.
- The expected dates or range of dates when the activity will occur.
- Estimated compensation for the consulting activity (in ranges provided on the form).
- Information related to any affiliation with the contracting entity (including, but not limited to, equity interests, board service or directorships, or other financial interests).
- Total time that the faculty expects to spend on the consulting activity, including an estimate of how much of this time will be during normal work time.
- Disclosure of any proposed material use of state resources (see section below for detail).
- For all FACs an affirmation of whether there will be any effort on the part of the faculty member in relation to the FAC.

After submitting the form, the Faculty Consulting Office may request additional information for further clarification.
Reporting Years

Consulting requests only cover a single reporting year. A new consulting request must be submitted for ongoing activities each new reporting year.

- The reporting year for Storrs and regional campuses mirrors the academic contract year (May 23 through May 22).
- The reporting year for UConn Health follows the regular reporting year of the University (July 1 through June 30).

The relevant date ranges for the reporting year should be applied according to the appropriate work location of the faculty member.

Part-Time Faculty & Faculty Leaves

Faculty on sabbatical, research leave, or other leave where the faculty member remains an employee of the University 0.5 FTE or greater, must continue to submit consulting requests. If a faculty member takes a personal leave where they are not an employee of the University for the duration of their leave, they do not have to submit consulting requests.

Faculty whose employment is below 0.5 FTE are not required, but may choose to submit, a consulting request form. Once such a faculty member has requested approval to consult for a single consulting activity, all subsequent consulting activities within the same reporting year must also obtain such approval.

If a faculty member changes employment status so that they move at or above 0.5 FTE, they are then required to submit consulting requests for any consulting work they will engage in going forward.

Faculty Affiliated Companies

Faculty must submit a request each reporting year in relation to any faculty affiliated company. This should include any work (even in an unpaid capacity), including as an employee, consultant, or advisor. If no work will be taking place in a given reporting year, a request must be submitted attesting to this fact for any active faculty affiliated company on the list maintained by the Office of the Vice President for Research. Consulting approval for such work does not mitigate the obligation to adhere to other policies related to faculty affiliated companies.

Required Time for Approvals

Consulting request forms must be submitted in a reasonable time to allow for the review and approval process. Once approved, the consulting request form cannot be amended. Therefore, any significant change requires the submission of a new or updated consulting request form.
Faculty are not permitted to initiate work on consulting activities until the submitted request has been fully approved.

It is recommended that requests are submitted at least one week prior to starting work on the activity to allow time for approval.

**Low Conflict of Interest (COI) Risk Consulting Activity**

When conducted in a domestic context (i.e., in the U.S.), several academic activities that faculty members usually undertake pose a low risk for conflicts of interest (COI) (hereafter, low COI risk). These are activities that often form an expected part of faculty work.

Activity with U.S. entities that falls into the following categories may qualify as low COI risk:

- Academic or research presentations that are non-promotional in nature.
- Serving as a grant reviewer, including on grant review panels (includes reviewing fellowship applications, honorific awards, or similar materials).
- Reviewing a thesis, tenure case, or academic unit.
- Writing or reviewing for publication (includes articles, journalistic pieces, book chapters, or books).*
- Artistic performances.*

To be considered a low COI risk consulting activity, the compensation for the activity must not exceed $5,000 (this is an aggregate figure for multiple activities with the same contracting entity within the same reporting year). The contracting entity must be based in the U.S.

For activities in the category of writing or reviewing for publication or artistic performances (marked with an asterisk) to qualify as a low COI risk consulting activity total time spent on the activity must not exceed 2.1 days of normal work time (this is an aggregate figure for multiple activities with the same contracting entity within the same reporting year).

If all conditions to qualify an activity for the low COI risk category are not met the request must go through the full review process.

**CONSULTING REQUESTS APPROVAL PROCESS**

**Approvers**

Consulting requests must be approved by the unit head (or their designee) at all levels of the supervisory hierarchy based on the unit’s reporting structure, including the department/unit head, dean/equivalent unit head, provost. Provost-level review is conducted by a designee of the provost, who will be a senior leader of an appropriate level.

Consulting requests are also reviewed by the Faculty Consulting Offices (FCO), who may request additional or clarifying information before a request is able to be approved. In most cases (except for
those routed through the low COI risk pathway), review and final approval is conducted by the provost’s designee.

For the majority of faculty, the initial approval is provided at the departmental level. In centers or institutes the director takes the role of unit head for approvals. These unit heads should only approve consulting requests for faculty they directly supervise. They should not approve affiliates who are supervised within a different unit. Faculty with joint appointments must be approved by the department head of their home department. For the Schools of Law, Nursing, and Social Work, consulting requests route directly to the dean. Consulting requests from department heads route directly to deans, consulting requests from deans route directly to the Provost.

Approval for Low COI risk consulting activity

The Provost delegates authority to department/unit heads to serve as the sole approving authority for reviewing and approving consulting requests submitted through the low COI risk consulting activity approval pathway.

Criteria for Consulting Approvals

Permission to consult will be granted when:

1. The consulting request relates to the faculty member’s expertise or prominence in their field and is not due to their position as a State employee.
2. The consulting activity will not create a conflict of interest that cannot be adequately managed.
3. The consulting activity is not work that could be performed by the University.
4. The faculty member is currently, fully, and satisfactorily performing their assigned duties as established by their workload assignment.
5. The consulting activity will not interfere with a faculty member's future ability to perform their assigned duties as established by their workload assignment.
6. The consulting activity is not competing with the University, including in relation to future business plans of the University.
7. The consulting contributes to the continued development of the faculty member's professional expertise or academic reputation.

Approval for 9, 10, and 11-month faculty

Potential for conflicts of interest and conflicts of commitment are relevant during off-contract months. Consulting approval is required for all faculty, regardless of contract length, throughout the calendar year.
FACULTY MEMBER’S OBLIGATION TO THE UNIVERSITY WHILE CONSULTING

Not Acting as a State Employee

The faculty member must inform the contracting entity that they are not acting as a State or University employee while performing the consulting activity and are not covered by any State liability protection.

- The faculty member may not inappropriately use their association with the University in connection with the consulting activity. Faculty members may identify their employee status, but they shall not speak, act, or make representations on behalf of the University or express institutional endorsement in relation to the outside activity.
- Permission to use the University name, logos, or other identifiable marks may only be granted by the University.
- When compensation is deemed a “significant financial interest” as defined in the Policy on Financial Conflicts of Interest in Research, the faculty member must disclose this in financial statements made under that policy.

Obligations to the University when engaged in Consulting Activities

Faculty must provide notification of the specific dates and times spent consulting for activities conducted during normal work time (e.g., consulting that will occur when a faculty meeting is scheduled, when a class should be taught, when patient care is scheduled, or any other such obligations).

Faculty members must provide their supervisor (normally a department head) the details of time spent consulting during normal work time at least one day before engaging in the consulting activity. This information should be provided on the consulting request form if known at the time of the request. If this information is not available when the request is made, it must be provided in writing (via email) to the supervisor once known. The supervisor has the discretion to deny any request for consulting during normal work time if they are concerned that the consulting would interfere with the ability to complete assigned duties as established by the faculty member’s workload assignment.

Use of University Resources

In rare cases, material use of University resources may be used to support consulting activities. Such use should be documented with a formal agreement and the University must be compensated for such use at fair market rates. Any consulting request involving material use of University resources must include documentation that includes the following:

1. A summary of the material use of state resources.
2. A description of the fair market value of these resources.
3. The name of the University employee who approved the use of the resources, including an attestation of this approval.
4. An attestation that this University employee is responsible for monitoring the appropriate reimbursement for such resources.
5. An attestation that the faculty member is prepared to provide documentation of all points above to the auditors when requested.

Consulting During Normal Work Time

Consulting should not adversely impact the ability of a faculty member to carry out their assigned workload. Approvers should utilize any relevant information to assess whether the proposed consulting activity will have an impact on the ability of the faculty member to carry out their assigned work. This information may include annual performance evaluations.

If an approver has reason to think that a consulting activity will negatively impact the ability of a faculty member to carry out their assigned workload, the request should be denied.

Specific regulations may apply during any period when a faculty member is earning summer salary from a grant.

Proprietary and Confidential Information

The disclosure of proprietary information (i.e., intellectual property owned in part or in total by the University) is prohibited unless specific permission is granted.

MANAGEMENT-EXEMPT EMPLOYEES WITH A FACULTY BASE APPOINTMENT

Management-exempt employees with a base faculty appointment (as defined in their offer letter) may consult following the same policies and procedures outlined for all UConn faculty. However, when they perform approved consulting work during regular business hours (i.e., Monday – Friday, 8 a.m. – 5 p.m.), management-exempt employees with a faculty base must document when they have worked an equivalent number of hours performing University work outside of normal business hours, which may include work performed on approved vacation, personal, compensatory, or holiday leave time.

CONSULTING RECONCILIATION

Each approved consulting request must be reconciled at the end of each reporting year. This reconciliation process requires the faculty to report actual time spent on consulting activities and actual compensation that was received. If the estimates of anticipated time spent on each activity and the compensation provided when requesting permission to consult differs from what occurred, such information should be updated appropriately.
Each campus has an established deadline for the reconciliation of consulting requests from the prior reporting year.

- The reconciliation deadline for Storrs and regional campuses is September 10.
- The reconciliation deadline for UConn Health is September 1.

The relevant reconciliation deadline should be applied according to the appropriate work location of the faculty member.

Failure to reconcile approved consulting requests by September 15, even if the activity did not occur, will result in sanctions.

**ROYALTIES**

Compensation received from royalties does not fall under the purview of this policy, as per Office of State Ethics Advisory Opinion No. 1991-12.

It may be in the interest of the University to support publication of books or artistic works with financial support. This will usually be in cases where the book or artistic work is an expected output of the faculty member, but without support from the University the work cannot be published or would be diminished in some form.

If the financial support from the University is $5,000 or more, the faculty member may be requested to remit royalties to the University. However, this will be evaluated on a case-by-case basis.

**POLICY ENFORCEMENT**

Violations of the Policy on Consulting may result in appropriate disciplinary measures in accordance with University Bylaws, General Rules of Conduct for all University Employees, and applicable collective bargaining agreements.

A report or allegation of a violation or noncompliance with this policy shall be reviewed by the Provost or Provost designee. After due process, the Provost may elect to withdraw the authorization or appropriately modify the conditions upon which the authorization to consult is granted to resolve any conflict.

**Office of State Ethics**

Any faculty member who does not receive prior written approval under this policy and engages in consulting activities is subject to the jurisdiction of the Office of State Ethics. In addition, the faculty member may be subject to sanctions issued by the University for violating this policy.
Sanctions

The sanctions outlined below relate to the provisions of Conn. General Stat §1-84(r), which requires the University to establish “procedures that impose sanctions and penalties on any member for failing to comply with the provisions of the policies.”

A. The following sanctions will be taken when a request to consult is late. Requests are late when they are received by the department head, dean, FCO, or provost’s designee after the activity has started. This section (A) applies only to requests to consult that would routinely have been approved and where late submission is the only non-compliance issue.

1. First Occurrence – a counseling letter with the faculty member and their direct supervisor explaining the implications of late submission.
2. Second Occurrence – a counseling letter to the faculty member, their direct supervisor, and dean explaining the implications of late submission and advising them that disciplinary sanctions may be imposed the next time this occurs.
3. Third Occurrence – suspension of approval for all requests to consult during normal work time for the remainder of the reporting year. This occurrence will be documented with a letter to the personnel file.
4. Fourth Occurrence – indefinite suspension of approval for all requests to consult during normal work time. This occurrence will be documented with a letter to the personnel file.

B. Occurrences of late submission will be cumulative. The count will be reset to zero occurrences if the faculty member goes a full reporting year without any new occurrence.

C. Some exceptions can be made for late requests. These exceptions will only be granted for activities that do not involve significant potential risk for conflicts of interest or conflicts of commitment. All exceptions will be documented.

Exceptions for late requests may be made in the following circumstances:

1. When a faculty member learns of the consulting opportunity without sufficient time for full approval. Written documentation should be submitted to support this justification.
2. If the request is late because of delayed processing of the submitted form by the department head, dean, FCO, or provost’s designee.
3. If a request qualifies as low COI risk, as defined above, and the activity is reported via the faculty consulting approval system prior to the reconciliation deadline for the reporting year in which the consulting work took place.

D. Failure to submit required annual reconciliation reports by September 15 will result in the following sanctions:

1. No further requests to consult will be approved until three months after the missing reconciliation reports are received.
2. A notification letter will be sent to the faculty member and their supervisor. If the faculty member does not complete all overdue reconciliation reports within two weeks of the issuance of this notification letter, permission to participate in all currently approved consulting activities will be revoked.

E. This section applies when faculty engage in a consulting activity when the request to consult was denied (whether such request was submitted prior to the start of the activity or late), no request to consult was submitted, or for other material non-compliance (such as the unauthorized material use of State resources, use of the University’s logo without permission, or when the person represents themselves as acting as an agent of the University while consulting, etc.). In these situations, sanctions will be determined on a case-by-case basis. Factors used in determining the level of sanctions include but are not limited to:

   a. Whether or not the University would have approved the activity if a formal request had been made.
   b. The level of compensation for the activity.
   c. The time expended for the activity from the time due the University.
   d. The existence and nature of previous non-compliance with the consulting policy.

Sanctions may include a ban on future approval of requests to consult, cancellation of previously approved and ongoing consulting activities, or other disciplinary actions. The progression of these latter disciplinary actions will be consistent with those specified in the AAUP contract and the University Bylaws.

F. All sanctions will be issued by the provost or provost’s designee.

Appeals

Disciplinary action will be issued in accordance with the applicable provisions of the University Bylaws, Collective Bargaining Agreement, or the employment agreement of the faculty member and subject to any appeal rights that may be available to faculty members.

REPORTING, AUDITS, AND OVERSIGHT

The provost will submit an annual report of consulting activities for all faculty members to the Joint Audit and Compliance Committee of the Board of Trustees. In addition, the University's Office of Audit and Management Advisory Services (AMAS) shall develop and implement recurring monitoring and auditing to ensure the complete and accurate implementation of this policy. Each year the Consulting Oversight Committee will review these reports.
Third-Party Disclosures

Any financial information provided in the consulting request forms or reconciliation reports will be deemed confidential, in accordance with Conn. General Stat §1-210 (Freedom of Information Act) and will not be disclosed to any third party unless the member agrees or a court of competent jurisdiction so orders, or in order to comply with Federal and/or State laws or regulations related to the handling of Federal research grants.