

**Compliance Chats Podcast**  
Topic: Faculty Consulting 101

<b>Podcast Title:</b>	Faculty Consulting 101	<b>Podcast Date:</b>	April 28, 2017
<b>Host:</b>	Omar Andujar	<b>Guest Speaker(s):</b>	Brandon Murray
<b>Purpose</b>	In this interview with Brandon Murray, listeners will learn about expectations related to faculty consulting, explore the differences between faculty consulting and outside work performed by State employee, and become familiar with relevant resources.		
<b>About Guest Speaker</b>	Brandon Murray joined the Office of the Provost in 2011. He specializes in academic affairs, University policy, and faculty consulting. He holds BA degrees in English and Philosophy from UConn and an MA in English Literature from the University of New Hampshire. He is currently pursuing a PhD in Learning, Leadership, and Education Policy: Adult Learning through the Neag School of Education.		

## SUMMARY OF INTERVIEW

### INTRO:

**OMAR:** Hello, everyone, and welcome back to Compliance Chats - a new podcast series intended to keep faculty and staff up to date on various compliance matters. I am Omar Andujar and I am joined by Brandon Murray, Academic Affairs and Policy Specialist with the Office of the Provost. Today's discussion will focus on faculty consulting at UConn. Brandon, thank you for joining us!

### INTERVIEW QUESTIONS:

**OMAR:** To set the stage for today's discussion, can you please explain what is meant by faculty consulting?

**BRANDON:** Faculty consulting might be better understood if it were called paid faculty consulting. The three keys to consulting at the University are that (1) a faculty member or a member of the AUP is being paid for an activity; (2) they are being paid for an activity because of their expertise; and (3) they are pursuing an activity because it is unrelated to their state service.

**OMAR:** Now that we have a greater understanding of what faculty consulting is, can you describe any differences between a consulting activity and outside work performed as a State employee?

**BRANDON:** There are generally two scenarios where a faculty member would engage in an activity that would not fall under faculty consulting. The first would be when a faculty member performs an activity based on their expertise and it is not related to their state employment, but they are not receiving compensation, so it wouldn't fall under faculty consulting. Instead, the faculty member might have obligations under Necessary Expenses through the Office of State Ethics, but it would not be faculty consulting because they're not being paid. Once a faculty member is being paid, even if that's just a few dollars that a contracting entity gives a faculty member, let's say \$1,000 for travel expenses, but the faculty member's personal expenses only added up to \$900, they would need to submit a consulting request to cover that \$100 in net income.

The other scenario would be where a faculty member pursues an activity that is just entirely unrelated to their state service. For example, if a faculty member in the English Department would like to pursue opening up a food truck, they would not have to pursue that under faculty consulting because it is not related to their expertise and it is also

unrelated to their service at the University. The faculty member would have to confirm with the Office of Audit, Compliance and Ethics to ensure that their pursuit of a food truck or another outside activity was still in line with their obligations under the State Code of Ethics.

**OMAR:** I recently visited policy website ([policy.uconn.edu](http://policy.uconn.edu)) and noticed that the University has a policy faculty consulting. Can you give us an overview of that policy and other requirements that we need to be particularly aware of prior to engaging in consulting activities?

**BRANDON:** The University has a plethora of documentation on faculty consulting. There is a policy that is approved by the Board of Trustees and every time an edit is made to that document, it is brought to the Board of Trustees for final approval. There is a procedures document, which is administered by the Office of the Provost and can be changed when the Provost sees fit. The Provost office will inform the Board of those changes, but the board does not make a final approval on those. There is also other documents on sanctions if a faculty member fails to comply with the faculty consulting policy. There is additional documentation on consulting for 12-month employees who are not members of the AUP, but they have a faculty title, including the Vice Provost, Deans, Associate Deans, some Center Directors who are on 12-month contracts and are management exempt. They are allowed to consult, but they have other provisions that they need to adhere to beyond just the faculty consulting policy.

In general, the policy requires that faculty submit and receive approval for consulting activities prior to engaging in any activity. Certain activities only require the approval of the Department Head. Those are generally very routine activities that the University wants its faculty to engage in. Examples can include, giving scholarly presentations, serving on review or grant panels, editing a book, a book chapter, or serving as a journal editor.

There are other activities that require further approvals. This is usually based on the type of activity and the compensation level received. Those activities would require review and approval by the Department Head, Dean, Faculty Consulting Office, and the Provost's designee. Following approval and the pursuit of the activity, faculty are required to reconcile their activities at the end of every fiscal year to ensure that what was approved is correct, and any edits that need to be made to the dates of the activity or the amount of compensation received can be updated in reconciliation.

**OMAR:** Great. I think you have given us a lot to consider and think about. This information has been very helpful. Where can our listeners learn more about this topic and other helpful resources?

**BRANDON:** The Faculty Consulting Offices maintain a website ([consulting.uconn.edu](http://consulting.uconn.edu)). On this website, you can find all of the policies, procedures, past audit reports, a link to submit or review a consultant request, frequently asked questions, and other documents to help a faculty member. Additionally, you can always call the Faculty Consulting Office.

**OMAR:** Thank you so much, Brandon. I appreciate you taking the time to speak to us about this very important topic. For those of you tuning in, thank you for tuning to this episode of Compliance Chats. We hope that this segment was helpful and we encourage you to reach out to us should you need any additional information. As a reminder, this podcast was brought to you by the Office of Audit, Compliance and Ethics.

#### RESOURCES MENTIONED BY TODAY'S SPEAKER:

- <http://consulting.uconn.edu/>
- <http://policy.uconn.edu/2011/05/17/policy-on-consulting-for-faculty-and-members-of-the-faculty-bargaining-unit/>

#### MUSIC CREDITS:

- On the Ground. Kevin MacLeod. Royalty Free 2014. Retrieved from: <http://incompetech.com/music/royalty-free/index.html?genre=Jazz>
- Rollin at 5. Kevin MacLeod. Royalty Free 2014. Retrieved from: <http://incompetech.com/music/royalty-free/index.html?genre=Jazz>