

UConn

Title	Guideline on Delegate and Proxy Approvals of Faculty Consulting Requests.
Policy Owner	Office of the Provost
Applies to	All relevant faculty and staff
Campus Applicability	All campuses, including UConn Health
Approval Date	February 22, 2025
For More Information Contact	Relevant Faculty Consulting Office (Storrs/regionals or UCHC).
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Official Website	https://consulting.uconn.edu/

APPLIES TO

All faculty or AAUP-eligible staff using the faculty consulting form, or any faculty or staff using InfoEd for the purpose of reviewing faculty consulting requests.

DEFINITIONS

Approver: Defined within the supervisory hierarchy, the approver is the department head, dean, or equivalent, who supervises a faculty or staff member. The Faculty Consulting Office (FCO) and Provost's designee also review and approve consulting requests, as defined in the Policy and Procedures

Delegate: An individual who is designated to independently review and approve consulting requests, and who has the appropriate authority to take such actions separately from the approver.

Proxy: An individual who takes actions within InfoEd as part of the review and approval process of faculty consulting requests, in conjunction with verbal or written instructions from an approver or designated delegate approver.

GUIDELINE

Approvers

As defined in the Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit, approvers are defined based on supervisory hierarchy. The initial approver of a faculty consulting request is typically the department head. The second reviewer is usually the dean. Requests are then reviewed by the Faculty Consulting Office (FCO) and Provost's designee.

When acting on any element of the Policy and Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit, approval, modification requests, denials, and other actions are expected to be taken by the appropriate approver for that review stage. This means that:

- Regular faculty consulting requests requiring full approval will be reviewed by their department head, dean, the FCO, and Provost's designee.
 - o Low COI risk requests will only be reviewed by the department head.
- Academic department heads requiring full approval will be reviewed by their dean, the FCO, and Provost's designee.
 - o Low COI risk requests will only be reviewed by the dean.

- All other requests will have relevant approvers as per the supervisory structure of the faculty member or AAUP-eligible staff member
 - o Consulting requests for faculty in leadership positions other than department head should be reviewed by their direct supervisor. Where directly reporting to the Office of the Provost, the Provost's designee or another Vice Provost will be the approver.

Delegates

Delegates may be assigned to provide regular support for consulting approvals on a short- or long-term basis, as needed by the academic unit. The dean of an academic unit, or Provost's designee where appropriate, must authorize the assignment of faculty consulting approval delegates. Long-term delegates must be in a position that is appropriate to question external activities and where the delegate has the effective authority to deny approval of a request.

- Long-term delegates are typically limited to associate deans to whom deans have delegated responsibility for the review of external activities.
- Short-term delegates should be assigned when the regular approver is on leave (e.g., to cover medical leaves), or in cases such as leadership transitions.

Proxy approvers

Proxy approvers support the administrative needs of approvers and may only approve requests when working with an approver or an assigned delegate. Proxy approvers may include staff in administrative support roles.

Proxy approvers may use the faculty consulting system to review requests and to take actions on these requests but must only do so when in conversation about the request with an appropriate approver. They do not have the authority to independently approve or deny a request.

When working with a proxy approver, it is the responsibility of the assigned approver to ensure that they have sufficient information in relation to the consulting request before directing their proxy to take any action. If there is not enough information on the form to determine whether the request can be approved, the approver should direct their proxy to request modifications to the form with comments indicating the additional information they require.

Where there are problems with the information provided on the form (e.g., incorrect information related to the appointment term of the faculty member), the proxy may independently request modifications to the form to ensure that accurate and sufficiently detailed information is available for the approver.

When approving a request, the proxy approver should indicate the name of the approver they are working with in the comments box of the faculty consulting workflow

- Proxy approvers may support short-term approval needs during periods when the approver is unavailable (e.g., when the approver is on vacation). In such cases, approvals should be limited to requests where there is a time sensitive need for the approval to move forward.
- Proxy approvers may support senior administrators (e.g., deans) to ensure effective processing of consulting requests. In these cases, proxy approvals may be involved in all typical consulting requests assigned to an approver.

ENFORCEMENT

Enforcement is defined within the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit.

REFERENCES

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

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

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

<https://policy.uconn.edu/wp-content/uploads/sites/243/2022/07/4.-Faculty-Consulting-Procedures - Final-Draft-6.6.22.pdf>

GUIDELINE HISTORY

Guideline created: 2/21/2025