

TELEPHONE MEETING

Board of Trustees
ACADEMIC AFFAIRS COMMITTEE

University of Connecticut

February 27, 2024

8:30 a.m.

AGENDA

Meeting held by Telephone

Public Call-In Number:

(415) 655-0002 US Toll

Access Code: 2634 435 5753

Public Streaming Link (with live captioning): <https://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 **8:30 a.m.**

1. Public Participation*

* Individuals who wish to speak during the Public Participation portion of the Tuesday, February 27, meeting must do so 24 hours in advance of the meeting's start time (i.e., 8:30 a.m. on Monday, February 26) by emailing BoardCommittees@uconn.edu. Speaking requests must include a name, telephone number, topic, and affiliation with the University (i.e., student, employee, member of the public). The Committee may limit the entirety of public comment to a maximum of 30 minutes. As an alternative, individuals may submit written comments to the Committee via email (BoardCommittees@uconn.edu), and all comments will be transmitted to the Committee.

ACTION ITEMS

2. Minutes from the December 5, 2023, Meeting (Attachment 1)
3. Designation of Emeritus Status (Attachment 2)
4. Sabbatical Leave Recommendations (Attachment 3)
5. Establishment of the Department of Geography, Sustainability, Community and Urban Studies in the College of Liberal Arts and Sciences (Attachment 4)
6. Establishment of the Department of Social and Critical Inquiry in the College of Liberal Arts and Sciences (Attachment 5)

7. Appointment of Professor Bahram Javidi to the SNET Professor of Communications and Information Technology in the College of Engineering (Attachment 6)
8. Appointment of Professor Stephany Santos to the Vergnano Endowed Chair for Inclusion in the College of Engineering (Attachment 7)
9. Appointment of Professor Cristina Wilson to the Judith M. and Henry M. Zachs Chair in Social Work (Attachment 8)
10. Naming Recommendation for the Marlene L. Cohen and Jerome H. Fleisch Chair in Vascular Biology in the School of Medicine (Attachment 9)

INFORMATIONAL ITEMS

11. Academic Program Inventory (Attachment A)
12. Faculty Consulting Program (Attachment B)
 - The University of Connecticut Consulting Program FY23 Annual Report
 - Report on the University of Connecticut's compliance with CGS 1-84(r) Faculty Consulting Program: Report Issued by the Faculty Consulting Oversight Committee
13. U.S. News Reporting for UConn Law
14. Executive Session
15. Other Business
16. Adjournment

ATTACHMENT 1

DRAFT MINUTES

TELEPHONE MEETING ACADEMIC AFFAIRS COMMITTEE

University of Connecticut
December 5, 2023

Committee Trustees: Andrea Dennis-LaVigne, Joshua Crow, Jeanine Gouin, Bryan Pollard, Philip Rubin

University Senate Representatives: Joanne Conover, Betsy McCoach

University Staff: Radenka Maric, Anne D'Alleva, Daniel Burkey, Sarah Croucher, John Elliott, Nathan Fuerst, Amy Gorin, Kazem Kazerounian, Gladis Kersaint, Richard Langlois, Desen Ozkan, Rachel Rubin, Michelle Williams

Trustee Dennis-LaVigne called the meeting to order at 8:30 a.m. on behalf of Vice-Chair Trustee Gouin who was unable to attend the start of the meeting.

1. Public Participation

No members of the public signed up to address the Committee.

2. Minutes from the October 24, 2023, Meeting

On a motion by Trustee Pollard, seconded by Trustee Rubin, the Committee voted unanimously to approve the minutes of the October 24, 2023, meeting.

3. Designation of Emeritus Status

4. Sabbatical Leave Recommendations

On a motion by Trustee Rubin, seconded by Trustee Pollard, the Committee voted unanimously to recommend Agenda Items #3-4 to the full Board for approval.

5. Bachelor of Science in Economics

On a motion by Trustee Pollard, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #5 to the full Board for approval.

6. Doctor of Philosophy in Engineering Education

On a motion by Trustee Rubin, seconded by Trustee Pollard, the Committee voted unanimously to recommend Agenda Item #6 to the full Board for approval.

7. Online Master of Social Work

On a motion by Trustee Pollard, seconded by Trustee Rubin, the Committee voted unanimously to recommend Agenda Item #7 to the full Board for approval.

8. Graduate Certificate in Diversity Science

On a motion by Trustee Rubin, seconded by Trustee Pollard, the Committee voted unanimously to recommend Agenda Item #8 to the full Board for approval.

9. Academic Program Inventory

Item #9 was provided to the Committee as an informational item.

10. Other Business

There was no Other Business.

11. Executive Session (*as needed*)

There was no Executive Session.

12. Adjournment

On a motion by Trustee Pollard, seconded by Trustee Rubin, the Committee voted unanimously to adjourn. The meeting adjourned at 8:50 a.m.

Respectfully submitted,

Alexis M. Lohrey
Secretary to the Committee

ATTACHMENT 2

University of Connecticut Department of Human Resources

Emeritus Retirees

February 28, 2024 Board of Trustees Meeting

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE*</u>	<u>RETIRED</u>	<u>HIRED</u>
<i>Faculty meeting "automatic" criteria for emeritus status</i>					
Cormier, Vernon F.	Professor	Physics	College of Liberal Arts and Sciences	1/1/2024	9/1/1987
Deibler, Cora Lynn	Professor	Art and Art History	School of Fine Arts	2/1/2024	8/23/1997
Hogan, Patrick C.	Distinguished Professor	English	College of Liberal Arts and Sciences	1/1/2024	9/1/1987
McManus, George B.	Professor	Marine Sciences	College of Liberal Arts and Sciences	2/1/2024	9/1/1995

ATTACHMENT 3

University of Connecticut Office of the Provost

Sabbatical Leave Recommendations Requiring Board of Trustees Approval

February 28, 2024 Board of Trustees Meeting

SABBATICAL MODIFICATION REQUESTS

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Deans, Tom	Professor & Director	English	Liberal Arts and Sciences	Full Change to	Fall 2024 Faculty Request Fall 2024 Administrative Requirement
Dixon, James	Professor	Psychological Sciences	Liberal Arts and Sciences	Half Change to Full	AY 2024-2025 Spring 2025
Huang, Ling	Assoc Professor	Economics	Liberal Arts and Sciences	Half Change to Full	AY 2024-2025 Fall 2024
Ghosh, Chinmoy	Department Head & Professor	Finance	Business	Full Change to	Spring 2013 Fall 2024

SABBATICAL LEAVE REQUESTS

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Beck, Cheryl	Distinguished Professor	Nursing Instruct and Research	Nursing	Full	Spring 2025
Best, Samuel	Professor	Political Science	Liberal Arts and Sciences	Full	Spring 2025
Bock, Monica M	Professor	Art and Art History	Fine Arts	Full	Spring 2025
Chen, Chi-Ming	Assoc Professor	Psychological Sciences	Liberal Arts and Sciences	Full	Spring 2025
Cienkowski, Kathleen	Assoc Professor	Speech, Lang and Hearing Sci	Liberal Arts and Sciences	Full	Spring 2025
Coyne, Michael	Department Head & Professor	Educational Psychology	Education	Full	Fall 2024
Cuevas, Kimberly S	Assoc Professor	Psychological Sciences	Liberal Arts and Sciences	Full	Spring 2025

University of Connecticut Office of the Provost

Sabbatical Leave Recommendations Requiring Board of Trustees Approval

February 28, 2024 Board of Trustees Meeting

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Dayton, Cornelia	Professor	History	Liberal Arts and Sciences	Half	AY 2024-2025
Elphick, Christopher	Professor	Ecology and Evolutionary Bio	Liberal Arts and Sciences	Half	CY 2025
Elliott-Famularo, Heather	Department Head & Professor	Digital Media Design	Fine Arts	Full	Fall 2024
Heaslip, Aoife	Asst Professor	Molecular and Cell Biology	Liberal Arts and Sciences	Full	Spring 2025
Kim, Heejoo	Assoc Professor	Digital Media Design	Fine Arts	Full	Fall 2024
Nienhuser, H. Kenny	Assoc Professor	Educational Leadership	Education	Full	Spring 2025
Rice, Eric	Department Head & Professor	Music	Fine Arts	Full	Spring 2025
Rouge, Jessica	Assoc Professor	Chemistry	Liberal Arts and Sciences	Full	Spring 2025
Settlage, John	Professor	Ed Curriculum and Instruction	Education	Full	Fall 2024
Sinkovic, Boris	Assoc Professor	Physics	Liberal Arts and Sciences	Full	Spring 2025
Shenoy, Jaideep	Assoc Professor	Finance	Business	Full	Fall 2024

ATTACHMENT 4

February 28, 2024

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.



Provost and Executive Vice President for Academic Affairs

RE: Establishment of the Department of Geography, Sustainability, Community and Urban Studies

RECOMMENDATION:

That the Board of Trustees establish the Department of Geography, Sustainability, Community and Urban Studies in the College of Liberal Arts and Sciences.

BACKGROUND:

The proposed Department of Geography, Sustainability, Community and Urban Studies (GSCU) leverages the considerable synergies that exist between the Department of Geography (GEOG) and the Urban and Community Studies (UCS) program. Additionally, it will strengthen the cross-college Environmental Studies (EVST) program by providing it with an administrative home.

The GSCU Department will continue commitments to training Connecticut's workforce and increasing diversity. Together, the Geography, Urban and Community Studies, and Environmental Studies programs currently serve approximately 200 student majors, 100 student minors, and 25 graduate students. Geography's online and entrepreneurial graduate programs in Geographic Information Sciences (GIS) and Master's in Energy and Environmental Management (MEEM, in collaboration with NRE and SoL) serve another 100 students and professionals in Connecticut and across the country.

The new GSCU department will be formed from existing faculty and staff. This includes 16 faculty lines currently in Geography and UCS. The department will be led by a department head and deputy department head. The new department will be supported by existing administrative staff from the combined units: administrative staff (1.5 FTE), IT support (1.0 FTE), advising (0.5 FTE).

The Department of Geography, Sustainability, Community and Urban Studies will be effective as an administrative unit from July 1, with a launch of the new department in the fall semester of academic year 24/25.

Department of Geography, Sustainability, Community and Urban Studies (GSCU)

Proposal Prepared for: University of Connecticut Board of Trustees

February 2024

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1. EXECUTIVE SUMMARY

What society, the State of Connecticut, and UConn need from the Department of Geography, Sustainability, Community and Urban Studies

A new UNESCO Report on higher education identifies three key transformations needed to address the compounding challenges of climate change, social & racial justice, and human destruction of natural systems: (1) using interdisciplinary approaches, especially those that integrate across social -political-economic and ecologic issues; (2) fostering open dialogue and integrating diverse ways of knowing; and (3) proactively engaging and partnership with diverse societal actors (UNESCO, 2022). The centering of environmental and social justice in research and education programs acts to shift the paradigm toward systemic changes required for public good and well-being for all (Kinol et al., 2023; Sultana 2022).

UConn's Department of Geography, Sustainability, Community and Urban Studies will act as a living laboratory for the transformations needed. We will create a hub for interdisciplinary research and engaged education. We will remain open and explore synergies across disciplines and with alternative ways of knowing. Our educational programs will be interwoven with research and community engagement to create a capable and adaptable workforce. And our bedrock values of justice, equity, diversity, and inclusion will underlie everything we do.

There is a passion for this work among the faculty, staff, and students. The Department of Geography, Sustainability, Community and Urban Studies will attract exceptional faculty and train the leaders of the future. We will work in and with communities to enable the urgent transformations called for by scientific evidence and community insight.

2. RATIONALE & VISION

Two and a half years of an inclusive and collaborative dialogue among stakeholders has yielded the proposed Department of Geography, Sustainability, Community and Urban Studies. This collective endeavor leverages the considerable synergies that exist between the Department of Geography (GEOG), and the Urban and Community Studies (UCS) program, and will strengthen the cross-college Environmental Studies (EVST) program by providing it with an administrative home.

Geography

The Geography Department has successfully built an undergraduate Geographic Information Science (GIS) major and has implemented recommendations from its last external review (in 2018) by refocusing research and educational programs on integrative themes, with research clusters on Spatial Analysis of Social Issues, Human Environment Dynamics, Geographic Information Sciences, and Earth Systems Science. Our faculty has transitioned (due to retirements) to a new wave of stellar researchers who are now focused on health disparities, sustainable cities, renewable energy, climate change, and social resilience to hazards, all of which involve issues of equity and environmental justice. Our graduate programs include a strong PhD program and two entrepreneurial degree programs (a graduate certificate in GIS, and the Masters in Energy and Environmental Management (MEEM) in partnership with the School of Law and the College of Agriculture, Health & Natural Resources (CAHNR)). Geography Departments across the country are in the process of rebranding/renaming and merging with related programs such as Environmental Studies and/or Urban Planning (Frazier and Wilke 2017) to better communicate what we do as a discipline and to highlight career opportunities.

Urban and Community Studies (UCS)

The idea of creating a new department was strongly endorsed by the external reviewers for the UCS program in January 2022. As they state: “we believe this is an appropriate time to take a calculated risk, one with the promise of a substantial payoff that would benefit many stakeholders—the Urban and Community Studies Program, the Environmental Studies Program, and the Geography Department—as well as students, the University, and the region more broadly. Producing a collaborative partnership in the building of a new academic department between Urban and Community Studies, Environmental Studies, and Geography would support the organizational sustainability and intellectual growth of all units while preserving the status of each as distinctive fields of study and majors in the social sciences” (Duck, Joassart-Marcelli, and Minnite 2022, 10).

Environmental Studies

Environmental Studies is a strong interdisciplinary-cross college program. The units involved include Geography, Anthropology, Political Sciences, Economics, Sociology, History, Public Policy, Communications, English, Journalism, Philosophy, and Psychology (College of Liberal Arts & Sciences, CLAS) and Natural Resources & the Environment and Agriculture & Resources Economics (College of Agriculture Health & Natural Resources, CAHNR). The program is overseen by an excellent and devoted faculty advisory board. Because the program has

no faculty of its own there is currently considerable uncertainty in program planning as EVST's two required classes are taught by faculty borrowed from other academic units, often creating staffing challenges. Administratively housing this program in the GSCU Department will permit CLAS resourcing of the program and will enable the program to evolve to better meet the needs specified by the students.

Vision for the Department of Geography, Sustainability, Community and Urban Studies

The Department of Geography, Sustainability, Community and Urban Studies (GSCU) conducts community-engaged research and teaching on the urgent environmental, social, and geographical challenges and opportunities faced by communities around the globe in the twenty-first century. Our world class faculty address questions related to sustainability, resilience, health, and social inequities from local to global scales under the converging impacts of rapid climate change and increasing global urbanization.

Research, educational programs, and advocacy are essential components of our work to understand and address the needs of communities. An understanding of community across various spatial designations (urban, suburban, and rural) and social dimensions (cultural, religious, virtual, sexual, political, etc.) will create a more legible context for students in determining how the social can shape the spatial and how the spatial shapes the social.

The GSCU Department is deeply committed to cultivating an inclusive environment for our diverse community of faculty, staff, and students. As part of this commitment, our vision and initiatives are centered around values of justice, equity, diversity, and inclusion (JEDI). The JEDI lens helps to identify pressing environmental and social justice issues facing societies today (National Academies of Sciences 2021, a, b, c) and can help to create meaningful and lasting solutions to these challenges. We believe it is essential to recognize JEDI in all facets of the work we do (e.g., teaching, mentoring, research, and service) here at UConn and in our external, professional activities. The GSCU Department faculty work closely with DEI Initiatives of the College of Liberal Arts and Sciences and the Office for Diversity and Inclusion at UConn.

The department will house a community of natural scientists, social scientists, and humanists working together to:

- Address problems at the intersections of climate change, urbanization, communities, globalization, just transitions, social capabilities, well-being, and equity.
- Promote collaborative, multi-disciplinary grant writing teams towards expanding the impact of our research and the development of entrepreneurial programs.
- Promote innovative teaching and programs that involve students in their communities through engaged and experiential learning, and field studies, that enable students to become creative thinkers, leaders, and educators for the critical issues of our time.
- Provide a place for collaboration across unit boundaries and campuses, including creating spaces of shared intentions in research, teaching, and community engagement.
- Expand our considerable contributions to the State of Connecticut by training a skilled and diverse workforce for DEEP, CIRCA, DOT, municipal planning agencies, Connecticut businesses and non-profit organizations.

3. IMPACTFUL RESEARCH

There are exciting opportunities for expanding existing innovative, cross-cutting, and integrative research in a department with meaningful connections across programs and strong community ties. The research goals of GSCU are motivated by current trends and future trajectories of the fields of Geography, Community Engagement, Urban Planning, and Environmental Studies. Crucially, our research is aligned with substantial potential for external funding and the development of entrepreneurial programs.

Research Goals

- Generate engaged and interdisciplinary research that empowers leaders to be effective stewards of communities at all spatial scales.
- Build strong, justice-oriented theoretical foundations of climate/environment and society, and critical skill sets toward the development of early career researchers, community practitioners, and policymakers.
- Collaborate with communities to co-produce knowledge and facilitate the translation of this knowledge to policymakers in Connecticut, nationally, and at global levels.
- Expose social and environmental inequities, their causes, and consequences, and identify policy responses.
- Generate innovative interdisciplinary methodological approaches in spatial analysis, mobility analysis, community-based participatory techniques, urban planning, climate and environmental modeling, and health disparities.
- Generate foundational research in the physical, environmental, and social sciences, as well as humanistic approaches, that informs policy-making and social change and provides the most current knowledge to support instruction and praxis.

These goals also align with CLAS's strategic plan and specifically with five of the six academic themes: The Earth and Its Future, Sustainable Systems; Global Resources, and World Cultures; Big Data, Science Policy, and Ethics; Inequalities, Social Justice, Truth, and Belief; Health Disease, and Well-Being.

Faculty involved in UCS and EVST represent a range of expertise including urban and workforce development, environmental humanities, social and political ecology, economics, and environmental policy. These, together with Geography faculty expertise in global health and health disparities, renewable energy, climate science, and social vulnerability and resilience to hazards, can be assembled into research themes that connect across multiple areas of study, and will draw from a common pool of research approaches.

Partnerships are of particular importance for creative and multi-disciplinary external funding opportunities aligned with our objectives. The GSCU Department will maintain existing partnerships including faculty research collaborations within CLAS (SOC, POLS, ANTH, ECON, SPP, EARTH, STAT, CES, EEB, MARN, and others), across colleges CAHNR (NRE, ARE, LSA), and CoE (CE, ENVE, CBE), and SoB, SoL, and with UConn Centers and Institutes (InCHIP, CESE, UCHI, HRI, IoE, Eversource Energy Center). The Department's educational programs at both the graduate and undergraduate level will benefit from these partnerships through course offerings across disciplines and PhD advisory committees.

4. TRANSFORMATIVE EDUCATION

The GSCU Department will continue in our commitment to training Connecticut's workforce and increasing diversity. Geography, Urban and Community Studies, and Environmental Studies programs together currently serve approximately 200 student majors, 100 student minors, and 25 graduate students. Geography's online and entrepreneurial graduate programs in Geographic Information Sciences (GIS) and Master's in Energy and Environmental Management (MEEM, in collaboration with NRE and SoL) serve another 100 students and professionals in Connecticut and across the country. To prepare our students to be innovative and critical thinkers in facing the challenges ahead, we stress interdisciplinary research and learning which incorporate research projects and course work concentrated in the social and environmental sciences and the humanities. Community-engaged research and teaching, and active and experiential learning, will be stressed at both the undergraduate and graduate levels in a diverse, inclusive, and collaborative environment as synergies among the three programs are enabled.

Reconfiguring Undergraduate Education

The GSCU Department will better support existing interdisciplinary majors and minors. Its open and collaborative structure will enable the configuration of programs responsive to the needs of our students and communities. Over time, it will be possible to develop the popular concentrations into new majors. Upon completing a degree, undergraduate students will be well-qualified for graduate study as well as for positions as leaders in municipal and state government agencies, new start-ups, and non-profit, community and educational organizations. An inclusive collaboration to review existing courses and synergies across all involved departments yielded the following examples of integrative concentrations that can be developed in the context of the GSCU Department. The sample concentrations include: Urban Planning (new), Justice and Community Development (new), Environmental Humanities (new), Social dimensions of environment/human health (new), Environmental law, policy and governance (new), and Climate Studies (new).

Graduate Education

The Department of Geography, Sustainability, Community and Urban Studies is designed to provide fertile space for integrative graduate training programs, both entrepreneurial and federally funded. These problem-based, interdisciplinary programs will give graduate students the knowledge and skills they will need to take on these challenges and create a more just, sustainable society with resilient cities and communities in a thriving environment. Graduate programs will continue to expand on the existing, externally-funded PhD program in the Department of Geography. Unique strengths of the GSCU Department include the expansion of research into urban planning and environmental studies with faculty-student collaborations and community partnerships. Students will have opportunities for internships, community-based-participatory research and will learn strategies that allow all residents, especially the most marginalized, to participate in the development of their communities.

5. GOVERNANCE PLAN

A Model for the Department

The Department of Geography, Sustainability, Community and Urban Studies brings together the Department of Geography, and the existing program of Urban and Community Studies. The Department will also administratively house the cross-college Environmental Studies program.

This model has several advantages. It will allow us to develop a hiring strategy that would strengthen the key areas of overlap within the existing programs. This approach would help to promote research advances that integrate across social and physical sciences and build strong undergraduate and graduate programs based in experiential learning. In these ways the Department would provide a focus for interdisciplinary innovation across the college and university.

By-Laws approved by Faculty

The faculty in the GSCU Department have collectively written and voted unanimously to accept the by-laws. These documents account for the differing roles of faculty and staff within these units and address the differing concerns of in-residence and tenure-track faculty, as well as issues revolving around joint hires and affiliate faculty.

The attached By-Law documents include:

- The Department of Geography Sustainability Community and Urban Studies By-Laws
- Appendix 1: Tenure-track Faculty Promotion, Tenure, and Reappointment
- Appendix 2: CIRE Faculty Promotion and Reappointment
- Appendix 3: Tenure-track Faculty Merit and Annual Review Procedures and Standards
- Appendix 4: CIRE Faculty Merit and Annual Review Process and Rating System
- Appendix 5: Workload Policy
- Appendix 6: Mentoring Guidelines

For the EVST Program this would mean that the existing advisory board structure will remain with a program director that is rotating among the constituent units in CLAS. The current cross-college arrangement that supports both EVST and ENVS would be sustained; both degrees would be offered in both colleges. Courses shared between these programs and with other CLAS departments would be sustained and any changes made would be in collaboration with all affected units.

6. STRUCTURE

Current Faculty and Staff involved in GEOG, EVST, and UCS

At present the Geography Department has 12 faculty (including 2 in-residence) and 2 full-time staff. The UCS program has 4 in-residence faculty and one half-time staff. The EVST program currently has no assigned faculty, and one half-time staff, shared with the ENVS program. Both UCS and EVST programs have a faculty Director, each with a one-month summer appointment.

Faculty and Staff in the GSCU Department

The Department staffing would begin by bringing together the faculty with merit and promotion homes in Geography and UCS, including 16 people. There would be a department head, a deputy department head, and the current administrative staff of the programs included: administrative staff (1.5 FTE), IT support (1.0 FTE), advising (0.5). Community engagement and student internships will require time allocation from supporting faculty.

7. TIMELINE

Launch in Fall of 2024

With approval of the GSCU Department in Spring 2024, we will work with the Provost's Office the CLAS Dean's Office, and Human Resources to move UCS core faculty into the GSCU Department, and for implementation, rebranding, and launch of the Department in Fall 2024.

Years 1 and 2: Visioning, Transforming, and Streamlining Programs

In the first two years we would leave undergraduate and graduate degrees and certificates as they stand and would continue to support existing plans of study. At the same time introductory courses could be made integrative with an aim of revising 1000 and capstone courses and developing a new 2000-level course that together will showcase the cross-cutting themes and syntheses across the Department.

At the graduate level, we will explore new integrative entrepreneurial programs, a planning degree, and an NSF National Research Traineeship proposal.

8. REFERENCES

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ATTACHMENT 5

February 28, 2024

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.

Provost and Executive Vice President for Academic Affairs



RE: Establishment of the Department of Social and Critical Inquiry

RECOMMENDATION:

That the Board of Trustees establish the Department of Social and Critical Inquiry in the College of Liberal Arts and Sciences.

BACKGROUND:

The new Department of Social and Critical Inquiry joins four non-departmentally organized units into a single department. The existing units that are forming the new department are: the American Studies Program (AMST), Asian and Asian American Studies Institute (AAASI), Native American and Indigenous Studies Initiative (NAIS), and Women's, Gender, and Sexuality Studies Program (WGSS).

The units offer large courses that serve a significant percentage of UConn's general education population alongside degree programs that allow students to engage deeply with these fields of study. Several existing academic programs will be housed in the new Department: a major, minor, and Graduate Certificate in American Studies; minors in Asian, Asian American, and India Studies; the Native American and Indigenous Studies minor; the major and minor in Women's, Gender, and Sexuality Studies, and the Women's, Gender and Sexuality Studies Graduate Certificate. This work is crucial, as our state and nation are engaging in dialogues about the value of a pluralistic society; the Department will equip students with the tools to understand and engage such discussions as informed, ethical, invested citizens.

A total of 31 existing faculty are expected to form the Department of Social and Critical Inquiry. The formation of a single department from multiple separate units will provide more efficient administrative and curricular processes. This includes the ability to tenure faculty within the new Department, reduced administrative burden in areas such as course scheduling, improved sustainability in leadership, and to develop new programmatic synergies across all areas of research, teaching, service, and community engagement. The new Department is expected to increase the recruitment and retention of historically excluded and marginalized students, faculty, and staff.

The Department of Social and Critical Inquiry will be effective as of July 1, 2024.

Department of Social and Critical Inquiry

Board of Trustees Proposal

Rationale

The new Department of Social and Critical Inquiry activates the synergistic strengths and resources of four non-departmentally organized units. Specifically, the American Studies Program (AMST), Asian and Asian American Studies Institute (AAASI), Native American and Indigenous Studies Initiative (NAIS), and Women's, Gender, and Sexuality Studies Program (WGSS) will join to form the Department. These units and programs of study have long advocated for greater institutional presence and commitment. The new Department generates University-wide transformation by providing continuity and increased capacity to meet the original intent of the constitution of the institute of Asian and Asian American Studies; the two programs of Women, Gender, and Sexuality Studies and American Studies; and the Native American and Indigenous Studies Initiative. As the Hartford, Stamford, and Waterbury campuses are designated federally recognized Minority Serving Institutions, this Department improves the ability of the university to meet its mission of offering equitable and transformative education.

The Department of Social and Critical Inquiry builds on decades of generative impact in teaching, research, and community engagement, and is primed to advance deep, wide-ranging advances for UConn's student population and the State of Connecticut. The units forming the Department have responded to student desire for curricular and programmatic offerings that are responsive to the distinctiveness of culture and identity, and forward-thinking by envisioning new collaborative pathways to knowledge, recognition, recuperation, and healing. Serving a significant percentage of UConn's general education population, the units have offered large, capacious courses in their areas as well as degree programs that allow students to engage deeply and specifically with issues of social justice, the nature and formation of U.S. society, systemic racism, settler colonialism, oppression, militarism, war, historically excluded and racially othered communities, and social privilege. Departmentalization also affords stronger collaboration across the overlapping geographies of gender and sexuality, Indigeneity, U.S. empire, and the emergent field of Global Asias and Transpacific Studies found among the constituent units. In addition, the units have expanded their impact even further by spearheading the pop-up courses *Confronting Anti-Asian Racism* and *Transformation Now*, which have reached thousands of undergraduate students. In terms of the State of Connecticut, the units have and will continue to support the development of K-12 teaching and curricula in the areas of Asian American and Pacific Islander studies, Indigenous and Native American studies, lesbian, gay, bisexual, transgender, queer and other sexual orientations and gender identities studies, and racism. The units under the new Department have evidenced sustained commitment to UConn's students, communities, and the State of Connecticut.

As both the demographics of the State and of UConn's undergraduate population have become increasingly diverse, the Department will enable a multifaceted transformative impact, offering responsive and innovative curriculum, community engagement, and groundbreaking research. This work is crucial, as our state and nation are engaging in dialogues about the value of a pluralistic society; the Department will equip students with the tools to understand and engage

such discussions as informed, ethical, invested citizens. Further, the sites of knowledge and critical thinking skills offered through the Department's curriculum and programming are cornerstone to a liberal arts education. The Department will also enable more focalized work across UConn's regional campuses, serving both the diverse student population and the communities in which they live. The work of the Department will build on UConn's strengths and commitments, partnering with such entities as the Human Rights Institute, and will advance important ethical obligations to the State's tribal nations by developing curriculum and serving Indigenous students. The Department's community-facing, justice-oriented initiatives will expand upon UConn's record of leadership in service to the state, the nation, and the world, open transformative partnerships, and leverage additional philanthropic and external grant-based resources.

The Department will unite existing programs and institutes to continue and amplify their work at a critical time in the history of the University, the State, and the world. This new Department will support the University, as one of the nation's oldest land grant institutions, in teaching, conducting research, and providing service and outreach to communities. The Department will not only leverage the collective expertise and ethical commitments of its faculty to produce ground-breaking interdisciplinary research and scholarship but also more sustainable, equitable, and just ways of life. It is our goal to gain a global reputation for research, teaching, and community engagement that distinguishes the University at the same time it enhances the quality of life in the state of Connecticut and beyond. The Department also addresses our commitments to the State of Connecticut for enhanced K-12 education on the subjects engaged by the Department. Finally, through all of the above, the Department will create an institutional hub for race, transnational, Indigenous, gender, and sexuality studies at the University. This vibrant intellectual community will advance efforts to recruit and retain historically excluded and marginalized students, faculty, and staff.

The Department will serve as the institutional home for several existing academic programs: a major, minor, and Graduate Certificate in American Studies; minors in Asian, Asian American, and India Studies; the Native American and Indigenous Studies minor; the major and minor in Women's, Gender, and Sexuality Studies, and the Women's, Gender and Sexuality Studies Graduate Certificate.

Mission

The primary aim of the Department is to support multi-, trans-, and interdisciplinary, and publicly-engaged faculty whose work spans national and worldwide contexts. The Department promotes scholarly production and pedagogies about historical and contemporary economic, social, and political processes, including community partnerships. Department faculty emerge from current (2024) CLAS units, advancing several decades of pedagogical, scholarly, and social justice oriented research, teaching, and programmatic agendas. The Department scaffolds these established programs using new, innovative configurations to advance academic and scholarly production on past and present intellectual, cultural, economic, and political contributions in the U.S. and specific regions of the world, and across disciplines focused on various gender-based, transnational, diasporic, and Indigenous communities; and to provide innovative, cross-disciplinary teaching practices and resources.

Structure

The proposed Department will be housed in CLAS and report to CLAS, functioning with institutional powers and purview as an academic department. This institutional shift from a separate institute and programs enables the following new capacities: (1) to hire and recommend tenure, promotions, and salary increases for faculty housed within the Department; (2) to centralize and reduce labor demands on tasks such as course scheduling; (3) to develop new programmatic synergies across all areas of research, teaching, service, and community engagement; (4) to cultivate and expand a sustainable pool of faculty to serve in leadership positions; (5) and to increase the recruitment and retention of historically excluded and marginalized students, faculty, and staff.

At present, we anticipate more than 25 tenure system faculty members to have at least partial appointments in the new Department. Many of these individuals are currently jointly appointed between one of the institutes/programs and a CLAS department. In addition, 6 in-residence faculty members are fully appointed in one of the existing units and will transition their appointments to the Department once it is formed. There are no plans to shift or reduce staff in the transition from independent units into the Department.

Bylaws:

A bylaws document has been prepared for ratification upon the formal creation of the Department. This document includes an introduction followed by articles on the following topics:

- Article 1: Department Approval
- Article 2: Department Structure
- Article 3: Leadership and Governance
- Article 4: Committees
- Article 5: Additional Department Policies
- Article 6: Definitions
- Article 7: Grievances
- Article 8: Review of and Amending Bylaws

With the establishment of the new Department, the following will cease to exist in their current form: American Studies Program, Asian and Asian American Studies Institute, Native American and Indigenous Studies Initiative, and Women's, Gender, and Sexuality Studies Program.

Timeline:


The process of developing the Department began in Spring 2021 through year-long process led by a working group including directors of the units and senior faculty members with affiliations across units. During the 2021-2022 academic year, large meetings and topic-specific focus groups were held to discuss various aspects of governance and to construct possible organization models for the new Department. Further discussions took place during academic year 2022-2023. In Fall 2023 the faculty voted on whether to join a new Department, and 93% voted in favor. In

February 2024 they voted to accept the name of “Department of Social and Critical Inquiry.” The bylaws of the Department have been fully drafted and will be ratified upon approval of the departmental proposal. The Department will be effective as of July 1 2024.

ATTACHMENT 6

February 28, 2024

TO: Members of the Board of Trustees

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

RE: Appointment of Professor Bahram Javidi to the SNET Professor of
Communications and Information Technology in the College of Engineering

RECOMMENDATION:

That the Board of Trustees appoint Professor Bahram Javidi as the SNET Professor of Communications and Information Technology in the College of Engineering.

BACKGROUND:

The SNET Professorship was established in 1999 with a gift from Southern New England Telephone (SNET) to support a nationally or internationally recognized researcher, scholar and teacher who has made significant contributions to the field of information and communication technologies.

This recommendation is made by Dean Kazem Kazerounian and was unanimously approved by the Electrical & Computer Engineering Department Head and Committee for PT&R. Professor Javidi's appointment to the Professorship will be for a five-year term from August 23, 2024, through August 22, 2029.

Professor Javidi has published over 570 peer reviewed journal publications and over 540 conference proceedings papers in areas spanning optics and photonics, optical sensing, cyber physical security, multi-dimensional imaging in degraded environments, and biophotonic sensors. He has authored 9 books and over 55 book chapters, and has presented over 250 Plenary Address, Keynote Address, and invited conference papers. He also holds 35 patents some of which have been licensed by industry.

His scientific contributions have led him to be recognized as fellow of nine scientific societies, including the American Association for Advancement of Science, the Optica Society, the Institute of Electrical and Electronics Engineers (IEEE), the Institute of Physics, the American Institute for Medical and Biological Engineering, International Society for Optics and Photonics, the European Optical Society, National Academy of Inventors, and the Society for Imaging Science and Technology.

Soon after Professor Javidi joined UConn, he received the NSF Presidential Investigator Award as well as the Engineering Foundation and IEEE Faculty Initiation Awards. He has also been awarded the Optica Emmett Leith Medal (2021); Optica C. E. K. Mees Medal (2019); IEEE Photonics Society William Streifer Scientific Achievement Award (2019); Optica Joseph Fraunhofer Award / Robert M. Burley Prize (2018); European Physical Society Prize for Applied Aspects of Quantum Electronics and Optics (2015), IEEE Donald G. Fink Paper Prize (2008), SPIE Technology Achievement Award (2008); and SPIE Dennis Gabor Award in Diffractive Wave Technologies (2005). Professor Javidi has been recognized with distinctions awarded to scholars from *all* fields including the George Washington University's Distinguished Alumni Scholar Award, the John Simon Guggenheim Fellowship and the Humboldt Prize by the Alexander von Humboldt Foundation.

As an educator, Professor Javidi has supervised 180 graduate students, post-doctoral students, and visiting professors and scholars who hold positions in academia, industry, and government organizations. He has served the community on the Editorial Boards of the *Proceedings of the IEEE*, *IEEE Access*, *IEEE Photonics*, *IEEE/OSA Journal of Display Technology*, and *Optical Engineering*. He is the founding chair of several conferences in optics & photonics sponsored by Optica, IEEE, and SPIE, and has chaired dozens of international conferences.

ATTACHMENT 7

February 28, 2024

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.

Provost and Executive Vice President for Academic Affairs



RE: Appointment of Professor Stephany Santos as the Vergnano Endowed Chair for Inclusion in the College of Engineering

RECOMMENDATION:

That the Board of Trustees appoint Professor Stephany Santos to the Vergnano Endowed Chair for Inclusion in the College of Engineering.

BACKGROUND:

The Vergnano Endowed Chair for Inclusion was established on September 5, 2023, with a commitment from Mark P. and Elizabeth R. Vergnano to support the Director of the Vergnano Institute for Inclusion who has demonstrated and fostered excellence in inclusive instruction, research, and outreach, and possesses a record of advancing diversity, integrity and leadership within the College of Engineering.

As the Executive Director of the Vergnano Institute for Inclusion in the College of Engineering Professor Santos promotes diversity, equity and inclusion across the College of Engineering and the University, serving on the University Diversity (JEDI) Committee, the Provost's Award for Community Engagement, and on the Institutional Review Board (IRB).

Professor Santos was a leader in applying for, receiving, and implementing the \$3M Synchrony award for Equity Focused Student Success to support the Hartford, Stamford, and Waterbury campuses. She is a core member of the Northeast Louis Stokes Alliance for Minority Participation (NE-LSAMP) and the Howard Hughes Medical Institute (HHMI) Inclusive Excellence 3 Initiative (IE3). Dr. Santos is a Co-PI on a grant from the National Science Foundation (NSF) titled The Influence of Climate, Social Networks, and Cultural Models on the Retention of Women and Racially/Ethnically Marginalized Engineers in Graduate School and the Workforce.

Professor Santos' dedication and commitment to broadening diversity, equity and inclusion makes her uniquely qualified for this prestigious Chair Professorship appointment.

This recommendation is made by Dean Kazem Kazerounian. Professor Santos' appointment to the chair will be for a five-year term from August 23, 2024, through August 22, 2029.

ATTACHMENT 8

February 28, 2024

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.

Provost and Executive Vice President for Academic Affairs



RE: Appointment of Professor Cristina Wilson to the Judith M. and Henry M. Zachs
in the School of Social Work

RECOMMENDATION:

That the Board of Trustees appoint Professor Cristina Wilson to the Judith M. and Henry M. Zachs
in the School of Social Work.

BACKGROUND:

The Judith M. and Henry M. Zachs Chair in Social Work was created through a gift from the
Zachs Family Foundation in 1999 to provide leadership of the School of Social Work's doctoral
program.

Dr. Cristina Wilson is a nationally and internationally recognized researcher in health disparities,
with a specific emphasis on Latino communities. Dr. Wilson served as Research Director at the
UConn University Center for Excellence in Developmental Disabilities (UCEDD) from 2019
through 2021 where she oversaw a staff of emerging scholars and a \$10 million dollar research
portfolio. In this role, she led research and the evaluation of interventions designed to promote
the full inclusion of people with disabilities in education, work, and community life. Dr. Wilson
is the author of 45 peer-reviewed articles as well as numerous book chapters and editorials. Over
the course of her career, she has presented over 100 conference papers. Her research has received
significant external funding support totaling over \$23 million dollars.

Dr. Wilson teaches classes in the social work research sequence in the School's master's and
doctoral programs. Dr. Wilson has played a leadership role in the School's research curriculum
and has generously mentored early career faculty in their pedagogy. She has advised and
mentored numerous doctoral students and candidates.

Dr. Wilson is a leader within academic social work. She was recently named Editor-in-Chief of *Families in Society*, a preeminent social work journal. She has served on several committees of the Council of Social Work Education, the profession's educational accreditation body, as well as multiple committees of the National Hispanic Science Network.

This recommendation is made by a committee convened by Dean Laura Curran which unanimously recommended Professor Wilson's appointment. The appointment will be for a three-year term from August 23, 2024, through August 22, 2027.

ATTACHMENT 9

February 28, 2024

TO: Members of the Board of Trustees

FROM: Dr. Radenka Maric 

RE: Naming Recommendation for the Marlene L. Cohen and Jerome H. Fleisch Chair in Vascular Biology

RECOMMENDATION:

That the Board of Trustees establish the Marlene L. Cohen and Jerome H. Fleisch Chair in Vascular Biology in the Center for Vascular Biology within the School of Medicine.

BACKGROUND:

Marlene L. Cohen graduated from the UConn School of Pharmacy in 1968. Her husband, Jerome H. Fleisch, RPh, Ph.D., graduated from Columbia University, College of Pharmacy, in 1963. After completing her pharmacy internship at Yale New Haven Hospital, Marlene received a Ph.D. in Pharmacology and Toxicology from The University of California Medical Center and completed postdoctoral research at the Roche Institute of Molecular Biology. Jerome completed his Ph.D. at Georgetown University, followed by a postdoctoral Fellowship at Harvard Medical School in Pharmacology.

In 1974, Dr. Fleisch joined the Lilly Research Laboratories, and Dr. Cohen was recruited there in 1975. They married in 1976 and rose through the research ranks at Eli Lilly to Distinguished Lilly Research Fellows. Dr. Fleisch led the Pulmonary Research group in the Lilly Research Labs and authored multiple publications. Dr. Cohen co-authored over 200 peer-reviewed publications, 14 book chapters, and co-invented over 25 patents. They both retired from Eli Lilly and Company in 2002.

The individual appointed to the Chair will be a recognized researcher, scholar, and teacher with significant contributions to the field of medicine. The Chair's spending allocation amount will be used to support the Chair and their related academic activities.

This gift is consistent with the University's *Named Gift Guidelines*.

The Institutional Advancement Committee recommended establishment to the full Board at their meeting on February 6, 2024.

ATTACHMENT A

February 27, 2024

TO: Members of the Board of Trustees

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



RE: Academic Program Inventory

BACKGROUND:

In accordance with Connecticut General Statutes § 185-10a-35a, authority over establishment of new academic programs, the the Board of Trustees for The University of Connecticut is provided with the authority, “to review and approve recommendations for the establishment of new academic programs at the university.” These programs are reported to the Office of Higher Education, which maintains an inventory of approved academic programs offered by public and independent colleges and universities in Connecticut.

Core information provided on these program listings (credential type, locations and modalities in which programs are offered, program names, and CIP (Classification of Instructional Programs) codes) is vital for students and for external reporting.

The Provost presents changes to the name or CIP code of programs, the addition or removal of locations or modalities, and the termination of programs are all provided to the Board for informational purposes. Such changes have already been approved through appropriate shared governance bodies in schools and colleges, and by the Council of Deans.

ACADEMIC INVENTORY CHANGES:

College of Agriculture, Health, and Natural Resources:

- Undergraduate major in Sustainable Plant and Soil Systems CIP code change *from* 01.0308 (Agroecology and Sustainable Agriculture) *to* 01.1101 (Plant Sciences, General). Effective term: summer 2024
- Undergraduate major name change *from* Sustainable Plant and Soil Systems to Plant Science major name change. Effective term: summer 2025.

College of Liberal Arts and Sciences:

- Undergraduate major name change *from* French *to* French and Francophone Studies. Effective term: summer 2024.

Neag School of Education:

- Program termination of the following BA degree options in the Integrated Bachelors/Masters teacher preparation program (no BA degrees have been awarded in these programs in many years): ASL Education Biology; Education Chemistry; Education English; Education French Education; Earth Science Education; German Language Education; History/Social Studies; Education Mathematics Education; Spanish Education; Physics Education. Effective term: summer 2024.

School of Business:

- Program termination of BS in Digital Marketing and Analytics (this was replaced by a BS in Marketing Management, which has been offered since AY20/21). Effective term: summer 2024.

The Graduate School:

- Master of Science (MS) degree name change *from* Natural Resources: Land, Water, and Air *to* Natural Resources and the Environment. Effective term: fall 2024.
- Doctor of Philosophy (PhD) degree name change *from* Natural Resources: Land, Water, and Air *to* Natural Resources and the Environment. Effective term: fall 2024.
- Program termination: Graduate Certificate in Applied Behavior Analysis. Effective term: fall 2024
- Graduate Certificate in Power Grid Modernization, CIP code change *from* 15.0503 (Energy Management and Systems Technology/Technician) *to* 14.4801 (Energy Systems Engineering, General). Effective term: summer 2024.
- MS in Nursing, concentration name change *from* Nurse Leader *to* Nursing Administration & Leadership. Effective term: fall 2024.
- Graduate Certificate, Nurse Leader name change *to* Graduate Certificate, Nursing Administration & Leadership. Effective term: fall 2024.

ATTACHMENT B

The University of Connecticut Faculty Consulting Program

Fiscal Year 2023 Annual Report

SUMMARY

Fiscal Year 2023 (FY23) represented the fifteenth full year of operation of the University's consulting program¹. At UConn Health Center this report covers the standard fiscal year of the institution, with FY23 covering the period from July 1, 2022 to June 30, 2023. At Storrs and regional campuses, the reporting year has been adjusted to better align with the faculty contractual year so that faculty on nine-month contracts do not have to split summer activities into two requests in different reporting years. From FY24 the reporting year runs from May 23 in one year through to May 22 in the following year. As a transitional year moving to this new structure, the Storrs / regional year reported in this report covered July 1, 2022 through to May 22, 2023. Reconciliation deadlines remain the same for all campuses.

The Faculty Consulting Oversight Committee (including a member of the Citizen's Ethics Advisory Board and members appointed by the Legislature), in accordance with Connecticut statutory requirements, filed its fourteenth annual report to the UConn Board of Trustees and to the Connecticut Legislature in the winter of 2023. This report found the consulting program fully compliant with the Legislature's intent and did not issue any recommendations for improvement. The Oversight Committee continues to monitor all audit reports related to the program and will issue its next report in early 2024.

As discussed in detail later in this report, an active program of continuous improvement is conducted by the Faculty Consulting Offices (FCOs) in collaboration with other relevant offices at the University of Connecticut. These offices include the Office of the Vice President for Research, University Compliance, and, at UConn Health, the Clinical Conflict of Interest Committee. Regulatory issues for active researchers continue to be an area on which the FCOs collaborate closely with these offices, including elements such as consulting requests with high-risk countries and procedures related to faculty affiliated companies.

The FCOs provide extensive support to faculty across the University. They provide training sessions at different points through the year, including those for new faculty at the University. The FCOs continue to improve content and training materials available on the faculty consulting website. As indicated in the data from FY23, the FCOs support over 700 unique faculty in any given year. Whenever needed, support for these faculty includes individual meetings, sometimes in partnership with other relevant offices, which allow faculty to receive advice tailored to the context of their activities.

¹ The consulting program was first implemented mid-way through fiscal year 2008.

The University of Connecticut is a leading research university with national and international connections. External activities are a vital route through which faculty bolster connections outside the institution, whether that be for purposes of research, professional practice, or connections with industry. These types of activities are vital for a thriving research university. Policy and procedures related to faculty consulting at the University of Connecticut are structured to ensure adherence to relevant Connecticut State Statutes. However, benchmarking of policy and procedures against peer and aspirant institutions in spring 2022 also demonstrated that the policy and procedures at the University of Connecticut are in alignment with those of comparable public research universities.

FY23 INFOED AND UPDATED FACULTY CONSULTING POLICY AND PROCEDURE IMPLEMENTATION

Updates to the Policy and Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit were approved by the Board of Trustees on June 29, 2022. FY23 represented the first year in which these updates were in effect. These changes were implemented at the same time as launching the faculty consulting approval process in the InfoEd platform.

In the long term, the move to InfoEd will serve the faculty consulting program well. InfoEd is the software program used across OVPR for research-related forms and processes. This means that the structures are now in place to support better integration with financial conflicts of interest reporting (including those related to faculty-affiliated companies), and with information related to consulting efforts required to develop grant applications or needed for compliance associated with grant funding and research activities.

The workflow software that had been used for consulting approvals through FY 22 is no longer in use at the University. This created some time pressure for InfoEd implementation. The annual cycle of the faculty consulting approval process, and the difficulty of moving data from one platform to another, means that significant work in spring 2022 was undertaken in partnership with OVPR to allow the form to be ready for use in June 2022. Training materials were developed and shared in presentations and via the faculty consulting website prior to the implementation of the system in early June 2022.

Integrated with the launch of InfoEd, updates were made to the Policy and Procedures on Consulting for Faculty and Members of the Bargaining Unit, as approved by the Board of Trustees on June 29, 2022. The key changes for FY23 that differ from FY22 include:

- The procedures provide greater flexibility for exceptions to sanctions for late requests. This expanded flexibility relates to consulting requests that are judged to be low conflict of interest risk, as long as these are reported promptly after they take place and are otherwise in compliance with the policy. This change to the procedures better aligned with our peers and aspirants, where straightforward academic activities (e.g., talks at other institutions, grant panels, peer reviews) are able to be reported after the fact.

- The Storrs and regional campus reporting year changed, transitioning into a year that runs from May 23 in one year to May 22 in the following year. May 23 is the first open day of effort in the summer for faculty on nine-month contracts. This change in reporting year eliminates a previous issue where summer consulting activities had to be split across two fiscal years. At the Health Center, where this contract year is not relevant, the fiscal year will remain July 1 through June 30 the following year.
- The procedures now state that all faculty members with identified faculty affiliated companies (FACs) are required to submit a request for each entity each fiscal year. In cases where no consulting effort is associated with a FAC in that reporting year, faculty are able to mark that they have no effort with the entity on the consulting form. Forms related to companies with no effort have an end stage of “FAC no effort.” This new requirement was intended to close ambiguity in the procedures where faculty were only required to submit consulting requests in relation to FACs where they had effort in a given year.

FACULTY CONSULTING OFFICE STAFFING AND SUPPORT

The departure of Dr. Jody Terranova as UCHC FCO resulted in an interim appointment of Dr. Carla Rash to the UConn Health FCO role. During FY23, the appointment of Dr. Rash to the FCO role was made permanent. The UConn Health Center Faculty Consulting Office consists of 0.25 FTE for the FCO role and 0.4 FTE for administrative support.² Together, they review, approve, or otherwise process over 700 consulting requests each year and support over 200 faculty.

For Storrs and regional campuses, the FCO role sits within the Office of the Provost and forms a portion of the Assistant Vice Provost for Academic Affairs role. The Storrs FCO reviews and processes almost 1,100 consulting requests each year and supports close to 500 unique faculty who are engaged in consulting activities.

The FCOs collaborate on wider projects related to continuous improvement of the consulting program, including the implementation of InfoEd, training materials for faculty, and the faculty consulting website.

The Office of the Provost and OVPR provided joint funding for the development of the faculty consulting form in InfoEd. Now that faculty consulting uses the InfoEd platform for all consulting requests, the FCOs also work with research IT services through the Electronic Research Support (eRA) help desk. The FCOs access eRA support to assist with individual faculty issues (e.g., routing, issues with a form submission for a faculty member) and on any ongoing updates or issues that arise more widely with the faculty consulting form.

² Although support is in place for 0.25 FTE for the FCO role, the FCO only currently has 0.1 FTE for their faculty consulting related work.

CONSULTING MANAGEMENT COMMITTEE

The Consulting Management Committee (CMC) has not been convened since the updating of the policy and procedures. Consulting approvals and oversight are highly technical. Complex issues are generally resolved through close work between multiple offices, including units in the Office for the Vice President of Research (Financial Conflicts of Interest in Research (FCOIR), Export Control, and Sponsored Program Services) and University Compliance. The issues addressed through this collaborative work require specialist support and are not appropriate for review by a non-specialist body.

The increasing regulatory compliance aspects and technical elements of support for faculty consulting, coupled with the maturity of the program from a day-to-day perspective, means that a general faculty committee is no longer appropriate to support the program. Approval of faculty consulting requests is an administrative process and there is nothing obvious that a faculty committee would currently contribute to the process. The committee did not meet in FY23 and there are no plans anticipated for the committee to meet in FY24. No report will be provided on this committee in future annual reports unless there is reason to reconvene the committee.

PERFORMANCE NUMBERS: STORRS AND REGIONAL CAMPUS FACULTY

In FY23, the UConn Storrs FCO received 1,084 consulting requests from 486 individuals, accounting for approximately 31% of the full-time faculty eligible to consult³ (Table 1). Of these, 771 were approved and reconciled (71% of the total), 182 were delayed in processing at the FCO stage due to administrative capacity, and received exceptions for slow processing (17%), 79 (7%) were provided exceptions as low conflict of interest risk activities submitted after the fact or for slow processing as they worked through the approval process, 25 (2%) were withdrawn,⁴ three requests related to FACs with no effort (0.3%), 10 received sanctions (1%) and 14 requests were stuck in the consulting system (1%).⁵ Sanctions were recorded in the consulting system and sanction log. Sanctions included seven requests that were not reconciled on time where faculty did not engage with FCO reminder emails and were not attempting reconciliation by the deadline.⁶ There were no other known cases related to noncompliance with the consulting policy.

The mean amount of time faculty spent consulting during normal work time was 2.75 days. Twenty-three faculty members (5% of those who consulted) indicated in reconciliation that they used more time during the normal work hours than originally estimated (Table 2), with a

³ The total number eligible faculty was obtained from the UConn 2023 Fact Sheet.

⁴ A withdrawal is usually at the request of the faculty member (e.g., duplicates, something has changed), or a request is withdrawn after discussion with a faculty member makes clear that the work is not consulting. For instance, faculty sometimes submit requests where there is no remuneration and they may be directed to report necessary expenses or gifts to the State as the appropriate pathway for their activity.

⁵ InfoEd now sends automated reminders when requests are awaiting approval. However, some requests remain with an approver or returned to the faculty for modification and then not resubmitted.

⁶ During the first year of operation of InfoEd, exceptions were granted for faculty who were attempting reconciliation by the deadline, were engaging with the FCO and encountered a technical issue or other problem with the first InfoEd reconciliation cycle.

mean of 3.8 days. Of reconciled requests indicating additional time, 18 used two days or less additional time, 12 used between 3 and 9 additional days, and two used additional days in the range of 14-16 days. In no request was the variance sufficient that the original request would not have been approved. Faculty who indicate more than two days of additional “normal work time” spent consulting than originally estimated are counseled upon reconciliation. This process ensures they are aware the information they should provide to correctly estimate time on initial requests and that an additional request should be submitted if they anticipate significant variance in time for their consulting activity than that approved in the original request.

PERFORMANCE NUMBERS: UCONN HEALTH FACULTY

In FY23, the UConn Health FCO received 707 consulting requests from 227 individuals (Table 3): 655 of these were approved (92.8% of the total), 25 (3.5%) were withdrawn or system errors, 2 (0.3%) were Provost Exceptions, and 18 (2.5%) Faculty Affiliated Companies with No Effort, one (0.1%) was denied, and six (0.8%) were sanctioned. In addition, two requests were test submissions. In FY22, the FCO received 752 requests from 224 individuals, with 719 (95.6%) approved and 15 (2.0%) denied.

Reconciliation reports were received on time from all those who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Three faculty individuals left employment with UConn Health and therefore six approved activities were withdrawn.

Of the 657 approved activities (Approved and Provost Exceptions), 615 occurred (93.6%) and 42 (6.4%) did not occur. As noted above, five (0.7%) approved activities from three separate faculty were not reconciled (and withdrawn from the system) due to faculty leaving UConn employment. All other consulting requests were reconciled. There were 227 unique members who performed at least one consulting activity during the fiscal year.

The mean amount of time spent consulting during normal work time per faculty member was 2.95 days with a maximum of 26 days and a median of one day. The UConn Health FCO issued verbal or written counseling (sanctions) to six faculty members. These were for late submissions or unanticipated compensation received after the activity occurred. The FCO determined that five of these requests would have been approved had they been submitted on time. In addition, one request was denied as the faculty did not have control of the content of his presentation.

Nine faculty members used more time during the normal work hours than originally estimated and approved (Table 4). Two of these faculty were contacted and clarified that the information was an entry error; however, the entries could not be corrected in the system.

Excluding these two, the maximum number of additional days of normal work time was 3 days and the mean was 1.4.

AUDIT FINDINGS

By State statute, the consulting program must be audited by the internal audit office of each constituent unit which is currently the Office of Audit and Management Advisory Services. The original audit schedule was twice a year but starting in FY 13 the requirement was revised to once each year⁷.

The audit covering FY22 (July 1, 2021 - June 30, 2022) was issued on March 23, 2023. The auditors' overall conclusions were that the University is in compliance with CGS 1-84(r) and the University's Policy on Consulting. The auditors also concluded that the FY22 Annual Report of the Faculty Consulting Office was materially correct.

The auditors rated all of their observations as low risk. The auditors identified a small number of cases in which faculty submitted requests after the expected start date or with insufficient lead time for review and timely approval, and approvals received after the expected start date. Now that transition to InfoEd is complete, while addressing issues from the new consulting form, the FCOs continue to work on ensuring the accuracy of the approval process and that late requests are handled with appropriate sanctions, or exceptions where this is allowable under the low conflict of interest risk procedural steps.

Consulting with foreign entities was raised as an area of potential risk, with the audit report noting that these requests may, "require additional information from faculty members beyond the data disclosed." During FY 23 and into FY 24 the FCOs have worked closely with Export Control and have a procedural step to identify any consulting requests that involve entities in high-risk countries. These requests are sent to Export Control for review and approval, and this step will be embedded in the InfoEd workflow to ensure such requests are routed through this additional approval.

The audit also raised a query as to whether any faculty were overlapping any university-supported travel and consulting without clearly identifying any consulting time as personal travel. The FCOs have been highlighting this issue to faculty in training sessions and are revising the question related to the use of University resources on the consulting form. This question will be updated to specify that University resources include support for travel.

ISSUES FOR FY 25

- In our continued efforts to approach faculty consulting in a risk-based manner, we will continue to work with OVPR to better delineate responsibility for FACs so that the FCOs can appropriately support the consulting request process for these faculty.

⁷ All finalized audit reports, FCO annual reports, and Oversight Committee annual reports are posted on the University's consulting web site: <https://consulting.uconn.edu/>

- The FCOs will work with eRA support in OVPR to continue to improve the faculty consulting form. Planned updates include routing requests with high-risk countries to Export Control within the workflow, clarifying the question related to resources so that it is clear such resources include travel support, ensuring the date of approval for requests submitted as “start on approval” for the next fiscal year is set as the first date in that next year, and adding a question to indicate when a request is late that ensures late requests that are eligible for low conflict of interest routing are moved to the FCO to evaluate for sanctions or exceptions.

G Kersaint
S. Croucher
C. Rash
January 24, 2024

Table 1: Storrs and Regional Campuses, Total Number of Submitting Consulting Requests, FY23

Requests	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other ⁸
#	1084	10	52	76	344	104	130	142	21	65	77	9	54
%	100%	0.9%	4.8%	7.0%	31.7%	9.6%	12.0%	13.1%	1.9%	6.0%	7.1%	0.8%	5.0%
Unique Faculty	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	486	2	33	28	167	41	61	44	17	27	24	6	36
%	100%	0.4%	6.8%	5.8%	34.4%	8.4%	12.6%	9.1%	3.5%	5.6%	4.9%	1.2%	7.4%
Requests/faculty	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
mean	2.2	5.0	1.6	2.7	2.1	2.5	2.1	3.2	1.2	2.4	3.2	1.5	1.5
10 or more requests	6	0	0	1	1	0	1	3	0	0	0	0	0

Table 2: Storrs and Regional Campuses Reconciliation Report Variance for Time During “Normal Work Time”

Effort During “Normal Work Time”	
# of faculty with extra days	23
% of faculty with extra days	5%
Minimum variance	0.1
Maximum variance	16

⁸ “Other” includes faculty affiliated with the Provost’s Office, the Center for Excellence in Teaching and Learning, and the Vice President for Research. Four UConn Health employees who report through Storrs are not included on this table, as InfoEd holds data separately for each campus.

Table 3: UConn Health Requests to Consult

Requests	Total	SoDM	SoM	Storrs ^{9*}
#	706	87	614	5
%		12.32%	86.97%	0.71%
Individual faculty	Total	SoDM	SoM	Storrs
#	226	34	189	3
%		15.04%	83.63%	1.33%
Requests/faculty	Total	SoDM	SoM	Storrs
mean	3.1	2.6	3.2	1.7
median	2	2	2	1
10 or more requests	9	1	8	0

Table 4: UConn Health Reconciliation Report Variance for Time During “Normal Work Time”

Effort During “Normal Work Time”	
# of faculty with extra days	9
% of faculty with extra days	4%
Minimum variance	0.1
Maximum variance	3

⁹ These Storrs cases (n = 5) indicate requests that were withdrawn; faculty were directed to resubmit in the Storrs portal

**REPORT ON THE UNIVERSITY OF CONNECTICUT'S
COMPLIANCE WITH CGS 1-84(r)
FACULTY CONSULTING PROGRAM**

February 20, 2024

Report Issued by the Faculty Consulting Oversight Committee

SUMMARY

Pursuant to a change in the Connecticut State Statutes and action by the University of Connecticut Board of Trustees, new policies and procedures for approving consulting activities for the Faculty and members of the AAUP bargaining unit were implemented in December 2007. The Board of Trustees approved the latest revisions to these policies in June 2022.

Faculty Consulting Offices (FCOs) were established in Storrs and at UConn Health to oversee the consulting request and approval process and provide training to those who consult and for those who must participate in the consulting approval process, such as department heads and deans. A University-wide Consulting Management Committee (CMC) was convened to provide recommendations regarding the identification and management of potential Conflicts of Interest arising from consulting activities.

As required by CGS 1-84(r), the Faculty Consulting Oversight Committee was convened including members appointed by the Legislature/Executive branch and from the Citizens' Ethics Advisory Board. This Committee has met on a regular basis to review the implementation of the consulting program and to review audits of the program conducted by the University's Office of Audit, Compliance and Ethics.

Implementing this program required development of policies, procedures, forms and databases; identification and training of staff; and awareness and training of faculty, department heads, and deans. The Office of Audit and Management Advisory Services has carried out annual (and previously semiannual) audits as required and as expected, have identified areas in which clarifications and improvements have been recommended. The University has developed procedures to address all identified issues in a timely and appropriate manner.

The Faculty Consulting Oversight Committee has determined that the University of Connecticut complies with CGS 1-84(r). The oversight required by the Act, including the Faculty Consulting Oversight Committee itself and the audits, has and will continue to perform ongoing review, assessment and improvements to the program.

The Oversight Committee has no explicit recommendations for improvement of the program at the current time and has concluded that the University has made a committed effort to oversee the process and implement improvements, as necessary.

To date, the program, with its policies, procedures, and implementation, have resulted in a system that proactively identifies and manages potential conflicts of interest. Any individual who does not

participate with the program is subject to sanctions by the University and may also be subject to additional sanctions by the Office of State Ethics.

BACKGROUND

Public Act (PA) 07-166 (Section 12)¹, approved on June 19, 2007, created a carve-out from the portion of the State Ethics Code dealing with consulting. Participating in appropriate consulting activities is viewed as being mutually beneficial for the University and its faculty and the intent of the Act is to enable such activities.

This carve-out applies to faculty and members of the faculty bargaining unit (herein fore referenced as “faculty”) of a constituent unit of the State system of higher education. In the context of the Act, “consulting” represents situations in which faculty are compensated for services rendered while not acting as a State employee. The request to consult must be based on the faculty member’s expertise in a field or prominence in such field and not due to the State position held. Faculty must receive prior approval before such consulting begins. No other State agency requires prior approval or any such mandated disclosure of outside employment activities.

The Act transfers final authority for approval of such activities to the University and it allows management plans to be implemented for addressing perceived conflicts of interest. Specifically, the legislation allowed these individuals to enter into a consulting agreement with a public or private entity, provided such agreement or project does not conflict with the individual’s employment as determined by policies established by the Board of Trustees for such constituent unit.

This carve-out from the State Ethics Code is predicated on a set of requirements being met including significant institutional oversight. The University of Connecticut Board of Trustees (BOT) approved the University’s “Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit,” and reviewed the operational procedures for implementation, on September 25, 2007. The Policy and Procedures define a consistent set of rules for consulting for all the faculty of the University. These documents have been reviewed and revised by the BOT several times since 2007 in order to make improvements to the program.² The most recent updates to the policy and procedures were approved on June 29, 2022. These changes ensured that the language is clear and easy to read and coincided with the implementation of the InfoEd system for consulting approvals.

The new consulting system became fully operational on December 15, 2007. Since that time, both the Storrs Campus and UConn Health campus have each established a Faculty Consulting Office (FCO) with reporting lines and staffing. All faculty consulting requests are submitted through an online request system, which is updated regularly. Beginning in fiscal year 2023, the system has moved to the same system used by the Office for the Vice President for Research (InfoEd), with the intent of continued improvements for data sharing.

Requests to consult must be reviewed and approved by each faculty member’s department head, dean, and the provost’s designees (one for each campus). A subset of consulting activities with very

¹ See <http://consulting.uconn.edu/state-statutes/>

² The policy and procedures governing consulting may be found at: <http://consulting.uconn.edu/consulting-policies-procedures/>

low risk of conflict of interest are eligible for an accelerated approval process that only requires the approval of the department head.

At the end of the fiscal year, each faculty member must submit a reconciliation report indicating variances from the requested time spent consulting during the normal work time and confirming any and all appropriate reimbursements for use of University resources, if any.

If a faculty member does not adhere to the provisions described in the Act or the University’s Consulting Policy and Procedures, the Office of State Ethics retains jurisdiction over the activity and has the responsibility for assessing compliance with the State Code of Ethics and whether additional sanctions are justified. Violations of the University’s Consulting Policy and Procedures will in addition be subject to sanctions issued by the University, the most serious of which may result in termination.

AUDITS

As required in CGS 1-84(r), the University’s Office of Audit and Management Advisory Services has conducted audits on the University’s faculty consulting program³. Per standard practice, management has had the opportunity to provide responses to each audit finding and recommendation. These audits are reviewed by the Joint Audit and Compliance Committee of the Board of Trustees as well as by the Faculty Consulting Oversight Committee.⁴

FACULTY CONSULTING OVERSIGHT COMMITTEE

As required in CGS 1-84(r), the Faculty Consulting Oversight committee meets on an on-going basis to review the University’s compliance with CGS 1-84(r), and to file annual reports regarding such compliance with the University’s Board of Trustees and to the Legislature. This document is the fourteenth in a series of such reports.⁵ The Committee’s responsibility is to ensure that the University complies with the provisions of the Act and the University’s policies and procedures on consulting. It may also make recommendation for improvements to the consulting program.

The membership of the Faculty Consulting Oversight Committee is:

Name	Background
Cobb, C.	Professor, School of Education
Dennis-Lavigne, A	Member, Board of Trustees
Chiusano, C.	Citizen’s Ethics Advisory Board Member
Fox, K.	Professor Emerita, School of Business
Freedman, J. (chair)	Former Legislator
Krist, I.	Former UConn Administrator
Siegle, D.	Professor, School of Education

³ Initially, audits were required twice a year but the legislature changed this to a once a year audit schedule starting in FY 12.

⁴ Copies of past audits may be found at: <https://consulting.uconn.edu/policy-oversight-and-archives/audits/>

⁵ Past reports may be found at: <https://consulting.uconn.edu/policy-oversight-and-archives/audits/>

The Committee last met on January 31, 2024 and reviewed and approved this annual report by email on February 20, 2024. It has reviewed the FY 22 final internal audit report and the FY 2023 annual report of the Faculty Consulting Offices (attached⁶). This report from the Oversight Committee will be reviewed by the Board of Trustees.

The Committee believes the program was effectively initiated and through ongoing revisions has been improved. In fact, in many regards the program is more rigorous than those governing other State employees not covered by CGS 1-84(r), especially through the requirement for approval prior to the consulting activities taking place.

Annual audits have led to improvements to the Consulting Program including revisions to the consulting request form, enhancements to the training program, improving the clarity and predictability of decision making, and assuring sufficient information is available to inform the decision making of the approvers. As described above, an online request form/approval process has been operational since FY 12. This was updated in FY 13, FY 14, FY 15, FY 20 and moved to the InfoEd system in June 2022. This system has successfully addressed its objectives. All these actions assure compliance with CGS 1-84(r).

Implementation of the consulting program, both in terms of logistics and compliance, has consistently met or exceeded expectations. During the 16 years that the faculty consulting program has been in place, there have been occasional differences in interpretations regarding the requirements of CGS 1-84(r) and the University's Policy and Procedures. However, the audit processes in place have consistently identified any such areas and have reported them to senior management and to the Faculty Consulting Oversight Committee. Audit findings have always been willingly addressed by management, consistent with their full support and keen awareness of the need to fully comply with CGS 1-84(r). Proactive continuous improvements are in place to the extent that only low risk issues, to be monitored in the new implementation of the InfoEd system, were issued from the FY22 audit.

The Committee takes note that the number and severity of audit finding has decreased over time and this demonstrates management's commitment to operate the program optimally and in full compliance with the Legislature's intent for the program. The Committee also takes notes that the two Faculty Consulting Offices (Storrs/regional campuses and at UConn Health) work together exceedingly well and thus present a consistent and reliable approach to consulting across all the units of the University.

The Oversight Committee did not issue recommendations for improvement based on the audit from FY 2022.

VOLUME OF CONSULTING ACTIVITIES

In FY 23, the fifteenth full year of operations, the Faculty Consulting Office on the Storrs Campus received 1,084 consulting requests from 486 individuals. The UConn Health office received 707 consulting requests from 227 individuals. The FY 23 annual report of the University's Faculty Consulting Program is attached.

⁶ The Office of Audit and Managerial Services has found this report to be materially correct.