

Title	Delegate and Proxy Approvals of Faculty Consulting Requests, Guidance on
Policy Owner	Office of the Provost
Applies to	Supervisors (e.g., department/unit heads, deans, administrators)
Campus Applicability	All campuses, including UConn Health
Approval Date	February 22, 2025
For More Information Contact	Faculty Consulting Office
Contact Information	UConn Storrs/Regional: FCO@uconn.edu ; UConn Health: facultyconsulting@uchc.edu
Official Website	https://consulting.uconn.edu

PURPOSE

To provide guidance regarding the use of delegate and proxy delegates as part of the Faculty Consulting review and approval process as outlined in the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit.

APPLIES TO

Any supervisor (e.g., department head/director, dean, administrator) or staff responsible for reviewing or approving 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 carried out by the authorized approver for that review stage. This means that:

- For Faculty:
 - Consulting requests requiring full approval will be reviewed by their department head, dean, the FCO, and Provost's designee.
 - Low COI risk requests will only be reviewed by the department head.
- For Academic Department/Unit Heads:
 - Consulting requests requiring full approval will be reviewed by their dean, the FCO, and Provost's designee.
 - Low COI risk requests will only be reviewed by the dean.
- For Faculty in Administrative Positions:
 - 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.
- For All Other Eligible Personnel
 - Consulting requests will be reviewed by the relevant approvers as per the supervisory structure of the faculty member or AAUP-eligible staff member.

Delegates

Delegates may be assigned to provide support for consulting approvals on either a short- or long-term basis, depending on the needs of the academic unit. The assignment of faculty consulting approval delegate must be authorized by the dean of an academic unit or Provost's designee, as appropriate. Long-term delegates must hold a position that allows them to question external activities and have the effective authority to deny or approval a request.

- Only deans assign long-term delegates, typically an associate dean.

- A short-term delegate assignment should be given when the regular approver is absent, such as during medical leave, or in situations like leadership transitions.

Proxy Approvers

Proxy approvers support the administrative needs of approvers. They differ from a delegate in the fact that they do not have the authority to act independently to approve or deny consulting requests. In most cases, proxy approvers support senior administrators (e.g., deans) to ensure effective processing of consulting requests.

In some circumstances, the assigned approver of a consulting request may be unavailable (e.g., the approver is on vacation). In consultation with the Faculty Consulting Office, Provost's designee, or dean, a proxy may be requested to approve a request to move it through the system. In this scenario, the approval authority is limited to time-sensitive requests and the senior administrator authorizing the proxy approval should be noted in comments on the form.

Proxy approvers may include staff in administrative support roles.

Proxy approvers must:

- Execute approvals or denials of requests solely under the direction of the authorized approver.
- Independently take action to request modifications (e.g., additional information, corrections) to the consulting form to ensure that accurate and sufficient detail is available for review by the authorized approver
- Indicate the name of the individual who provided the approval decision in the comments section of the faculty consulting workflow when approving a request on behalf of an authorized approver.

Requirements for Assigned Approvers Working with Proxy Approvers

Assigned approvers are responsible for the actions taken by their proxy on their behalf. When working with a proxy, all authorized approvers must:

- Ensure that they have sufficient information in relation to the consulting request before directing their proxy to take any action,
- If sufficient information is not included in the consulting request, the assigned approver must direct the proxy to request additional information, with clear comments for the proxy regarding the additional information needed.

Assignment of Roles in InfoEd

The system used to review and approve faculty consulting requests, InfoEd, uses the term “delegate” to indicate authorization of one individual (the delegate) to access the records of another. The terminology used by the software system is independent of the definitions detailed in this guideline that are used in relation to faculty consulting requests approvals.

InfoEd delegate permission may be assigned to allow administrative staff to track submitted requests on behalf of a department head or dean. This allows them to ensure that requests are reviewed in a timely manner and supports the administrative functions of academic units. However, an assigned InfoEd delegate does not have any authority to act on requests unless they are formally designated as a delegate or proxy approver. Actions taken by any individual other than the authorized approver in InfoEd must follow this guideline.

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

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