

General Faculty
Meeting Specifics

| Purpose | Frequency | Executive Sponsor |
|----------------------------|-----------------|-------------------|
| Informational | Annually | Dean DiPaola |
| Date | Time | Location |
| Thursday, January 23, 2020 | 12:00-1:00 p.m. | MN263 |

Faculty Council

| | | | | |
|--|--|--|--|--|
| <input checked="" type="checkbox"/> Chair: Wilcock, Donna | <input checked="" type="checkbox"/> Hatcher, April | <input checked="" type="checkbox"/> Whiteheart, Sidney | | |
| <input checked="" type="checkbox"/> Vice Chair: Ballard, Hubert | <input type="checkbox"/> Hays, Lon | | | |
| <input checked="" type="checkbox"/> Blonder, Lee | <input type="checkbox"/> Mellon, Isabel | | | |
| <input type="checkbox"/> Deep, Kristy | <input checked="" type="checkbox"/> Spear, Brett | | | |
| <input type="checkbox"/> Gabriel, Gaby | <input type="checkbox"/> Stevens, Julia | | | |

Agenda Topics Covered

| Topic | Agenda Item | Presenter/Facilitator |
|-------|--|-----------------------|
| 1 | Changes to the Rules of the Faculty and Administration | Dean DiPaola |
| 2 | Conflict of Interest & Overload/Form F Update | Lisa Tannock, MD |
| 3 | Research Equity and Compensation Analysis | Lisa Tannock, MD |

Notes

| Topic | Discussion |
|---|---|
| 1. Changes to the Rules of the Faculty and Administration | <ul style="list-style-type: none"> The Rules of the Faculty were created so that the College of Medicine would have the procedures and structure necessary to guide the most optimal performance of its mission in a framework of the University Governing Regulations, Administrative Regulations, Senate Rules and Rules of the Graduate Faculty. Proposed changed to Article I so that faculty bodies and administrators utilize the expertise of each other as we make decisions. The concepts of shared governance, academic freedom, and inclusion and diversity are closely aligned to our core values. Proposed changed to Article II to clearly define instruction, research and service in the College of Medicine, and updated policies to assure faculty have input into educational policy making. Once approved, two new at-large faculty council members to serve alongside the other members of the Faculty Council. These individuals will be the faculty's voice and liaison with the Dean's office and Executive Committee. Propose to add Article III to create areas for truly joint action by the Faculty and Dean, and to outline the process for unit review, performance evaluations, post-tenure review and the review of educational units. Proposed change to Article IV to outline the specific responsibilities of the Dean; ensure appropriate standing committees have faculty either elected or appointed by the Faculty Council. Each committee will post charge/membership/minutes. Propose to establish a new Instructional Vision Committee and Research Vision Committee. Proposed changes were sent to all faculty in advance of this meeting. |

| | |
|---|--|
| | <ul style="list-style-type: none"> • A faculty vote will be required to adopt these changes. It is anticipated the call to vote will occur in early February. When the call to vote goes out, a clean copy of the proposed changes and a set of summary points will be included. |
| <p>2. Conflict of Interest & Overload/Form F Update</p> | <ul style="list-style-type: none"> • Provided updates to clarify the three different review processes (University Research Conflict of Interest Committee, UK HealthCare Conflict of Interest Committee, and College of Medicine Facult Form F/Overload Committee) and filing procedures that apply to faculty (See attached slides 3-7.), and to clarify what and how to submit form F overload requests (See attached slide 9.). The approval process and timeline, as well as the appeals process and listing of relevant policies, were provided (See attached slides 11-17.). • A great benefit of the process is that UK Legal reviews contracts to ensure faculty protection. |
| <p>3. Research Equity and Compensation Analysis</p> | <ul style="list-style-type: none"> • L. Tannock and the former Associate Dean for Diversity & Inclusion were charged by Dean DiPaola to conduct the analysis. • Clinical Compensation Plan Equity Analysis (See attached slides 19-20.) <ul style="list-style-type: none"> ○ Reviewed data of 740 faculty participating in the clinical compensation plan. Faculty with assignments < 12 months were annualized, but part-time and post-retirement faculty were not included. ○ The data analyzed includes AAR and stipends for FY20, but no bonuses or incentive payments. • Research-Intensive Faculty Analysis (See attached slide 22.) <ul style="list-style-type: none"> ○ A comparison of compensation between sexes by rank (as done for the research intensive faculty) is not practical due to accepted and appropriate differences in compensation by specialty. Thus, the analysis compared the correlation between salary based on AAMC percentile (thus, adjusted to specialty) and clinical productivity (wRVU produced) based on FPSC benchmarks (adjusted to specialty). ○ This analysis found no differences between men and women overall. |

Conflict of Interest Committee Update

January 23, 2020



College of Medicine Conflict of Interest Committee

Name Change

The College of Medicine

Faculty Form F/Overload Committee

Three Conflict of Interest Committees

**Research
Conflict of Interest
Committee
(University)**

**Conflict of Interest
Committee
(UK HealthCare)**

**College of Medicine
Faculty Form F/
Overload Committee**

- Based on University and/or Enterprise Policies and Procedures
 - Governing Regulations: GR X; XIV B. 9 & 10
 - Administrative Regulations: AR 3:14; 3:9, 7:2; 7:6; 7:9
 - UKHC Policy Numbers: A01-030; A01-105; A01-155; A01-160

Conflict of Interest Committee

UK HealthCare

Who: All full-time faculty, regardless of title series, in any of the six health care colleges

When: Annually (opens each March)

- Required Disclosures
 - All professional income from sources other than the University of Kentucky
 - Any travel paid for by an entity other than UK or KMSF
 - All outside employment and consulting agreements
 - Relationships with vendors, including research support, vendor boards, and advisory boards
 - Participation in vendor sponsored or supported educational or informational programs
 - All other relationships with vendors

Research Conflict of Interest Committee

University

Who: All full-time faculty in the College of Medicine that receive extramural research funding of any kind or serve as a sub-investigator on any human subjects research

When: Within 30 days of acquiring an interest or of travelling

- Required Disclosures:
 - Ownership in, positions held, and any income from, any publicly or non-publicly traded company
 - Income from intellectual property from sources other than UK
- Human subjects research participation
- Participation in research funded by a Public Health Service agency
- Travel sponsored or reimbursed by any non-UK entity
- Relationships (awards, positions, incentives, gifts, or money) with foreign universities, companies, governments, hospitals, or other foreign groups

The College of Medicine Faculty Form F/Overload Committee

Who: All College of Medicine Faculty, regardless of title series

When: *Prior* to the commencement of overload activity, as required by AR 3:9

- Required Disclosures*:
 - Any work outside the usual assignment, internal or external
 - Professional or educational outside activities
 - Services on boards, committees, or commissions
 - Speeches or lectures (paid/unpaid external or paid internal)
 - Federal study section participation (e.g., NIH, DOD, NSF, VA) **only if it exceeds more than four times in a year**; however, all study section reporting is required for annual Conflict of Interest Committee (UK HealthCare) disclosure.

Note: Due to the relationship between health care and the college, some College of Medicine requirements are more strict than are required by the Provost, see AR 3:9 for authorization

The College of Medicine Faculty Form F/Overload Committee

- Oversight, supervision, or other participation with any entity or person involved with education, research, health, or medical care **outside the Distribution of Effort (DOE)**
 - Submission of the faculty form f/overload form serves as faculty member confirmation that scope of work is outside DOE
 - Department Chair approval indicates confirmation that scope of work is outside faculty member's DOE
- Beginning this fiscal year (FY20) department chairs are receiving quarterly departmental faculty form f/overload submission reports

Note: The College of Medicine developed the Faculty Form F/Overload Committee to more quickly review overload submissions. Representation includes the Dean's Designee, UK HealthCare Corporate Compliance, UK Legal, and Faculty Council nominated faculty

Navigating Conflict of Interest Reporting

Conflict of Interest Committee (UK HealthCare)

Research Conflict of Interest Committee (University)

College of Medicine Faculty Form F/ Overload Committee

The screenshot shows the myUK portal interface. At the top, the 'myUK' logo is displayed. Below it, a navigation bar contains 'Employee Self Service', 'Student Services', and 'Enterprise Services' (highlighted with a red box). Under 'Enterprise Services', 'Workflow' is highlighted with a red box. A 'Detailed Navigation' menu is open, listing several items: 'Workflow Items', 'eCats Report', 'Travel Document Workflow Tracking', 'OSPA eIAF Form', 'Financial Disclosure' (circled in green), 'Graduate School Appt Form', and 'Faculty Overload Form' (circled in red). To the right, there are sections for 'Tasks', 'Alerts', and 'Notifications', with a 'Show:' dropdown set to 'New and In Progress Tasks'.

Navigating Conflict of Interest Reporting

**Conflict of Interest
Committee
(UK HealthCare)**

Annual Reporting Required – open 365 days a year
For Each Activity

Note: New reporting year begins March 1, annually, for previous 12 month period

**Research
Conflict of Interest
Committee
(University)**

30 Day Reporting Required – open 365 days a year
For Each Activity

Note: New reporting year begins March 1, annually, for previous 12 month period

**College of Medicine
Faculty Form F/
Overload Committee**

Prior Approval Required – open 365 days a year
For Each Activity

Benefits of Faculty Form F/Overload Submission

- Convenient guided form assists faculty members remain compliant with [AR 3:9 Faculty Consulting and Other Overload Employment](#) (requires prior approval of an overload commitment)
- Mechanism to approve scholarly activity as professional rather than vacation leave
- Approves faculty member to directly receive honoraria, in most cases
- Free legal review of contracts related to outside review

Faculty Form F/Overload Review Process

- Three levels of review always occur within workflow
 - Department Chair Review
 - Dean or Dean’s Designee Review
 - Provost’s Office Review
- Any level may deny the overload
 - System-generated email will notify faculty member and each down-level approver
- System-generated approval message will only be released after the Provost’s Office approval
 - No correlation between system-generated approval message and other Conflict of Interest Committees (or overload-related contract review)

| Faculty Overload Processing Time FY 19 – FY 20 (08/23/2019) | | |
|--|------------|-----------|
| Process Time | Approved | Rejected |
| 1 - 2 Days | 16 | 3 |
| 3 - Less Than 7 Days | 85 | 3 |
| 1 - 2 Weeks | 81 | 19 |
| 2 - 3 Weeks | 30 | 3 |
| 3 - 4 Weeks | 23 | 3 |
| 4 - 6 Weeks | 12 | 3 |
| 6 - 8 Weeks | 5 | 0 |
| 8 - 10 Weeks | 2 | 2 |
| 10 - 16 Weeks | 3 | 2 |
| 16 - 24 Weeks | 1 | 0 |
| 24 - 38 Weeks | 2 | 0 |
| 38 - 52 Weeks | 0 | 0 |
| More Than 1 Year | 0 | 1 |
| Totals: | 260 | 39 |

College of Medicine Faculty Form F/Overload Appeal Process

- Faculty may appeal a form f/overload denial
 - Step 1: If the faculty member chooses to appeal a denial; the faculty member discusses an appeal with the Department Chair
 - Step 2: If Department Chair supports the appeal, the Department Chair must write a letter of justification addressed to the College of Medicine Dean
 - Step 3: Provided sufficient detail is provided when filing an appeal, the College of Medicine Dean will make a decision and notify the faculty member and the department chair, usually within five (5) business days
- An appeal denied by the College of Medicine Dean, may be appealed at the Provost level
- Provost decision is final

College of Medicine Protocol Update

Vacation vs. Professional Leave

Previous protocol: All paid overload work required vacation time utilization during working hours

Protocol update: At the discretion of the Senior Associate Dean for Faculty Affairs and Development, in consultation with the Department Chair, a faculty member may utilize professional leave rather than vacation leave to fulfill paid overload work, occurring during regular working hours, if the overload can be classified as:

- An activity done in support of promotion and tenure effort
- Benefiting a department or the institution
- E.g., invited grand rounds presenter, professional organization/conference involvement, study section participation

Reminders

- When in doubt, disclose
- “Faculty employees engaged in consulting and other overload activities must not use the name of the University of Kentucky in such a manner as to suggest institutional endorsement or support of a non-University enterprise” (AR 3:9)
- Speaker’s Bureau participation is not permitted

Reminders

- Overload activities should not interrupt patient-care and teaching responsibilities, must follow University & UK HealthCare policies
- Any clinical work, outside the University of Kentucky, is included in the practice plan agreement that all billing providers sign
 - All clinical revenue must go through KMSF
- While employed by the University of Kentucky, a clinician's non-compete clause is in effect regardless of distance from Lexington, Kentucky
- Internal (UK) moonlighting, as approved by the department, is exempt

Tools

- Governing Regulations
 - [GR X Regulations Affecting Employment](#)
 - [GR XIV B. 9 & 10 Conflicts of Commitment](#) and [Conflict of Interest](#)
- Administrative Regulations
 - [AR 3:14 Practice Plans for Health Sciences Colleges and University Health Services](#)
 - [AR 3:9 Faculty Consulting and Other Overload Employment](#)
 - [AR 7:2 Financial Conflict of Interest Involving Research](#)
 - [AR 7:6 Intellectual Properties Policy and Procedures](#)
 - [AR 7:9 Institutional Conflicts of Interest Involving Research](#)

Tools

- UK HealthCare Policy and Procedures
 - [A01-030 Conflicts on Interest](#)
 - [A01-105 Industry Representatives](#)
 - A01-155 Interaction with Industry Representatives
 - A01-160 Annual Disclosures of Conflict of Interest
- Upcoming Tools
 - Faculty User's Guide
 - Department Chair User's Guide

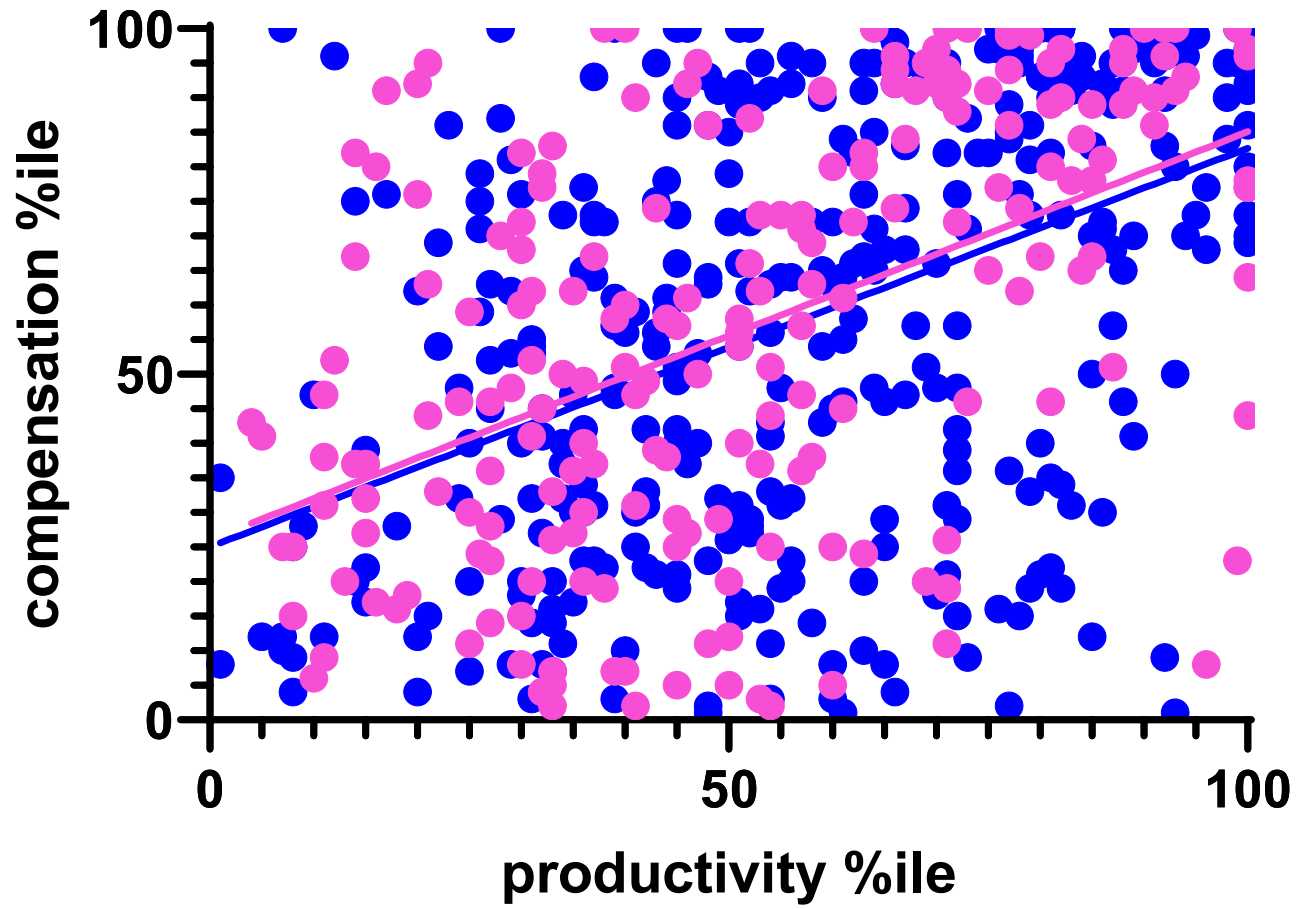
Clinical Compensation Plan Equity Analysis

January 23, 2020



Clinical Compensation Plan Equity Analysis

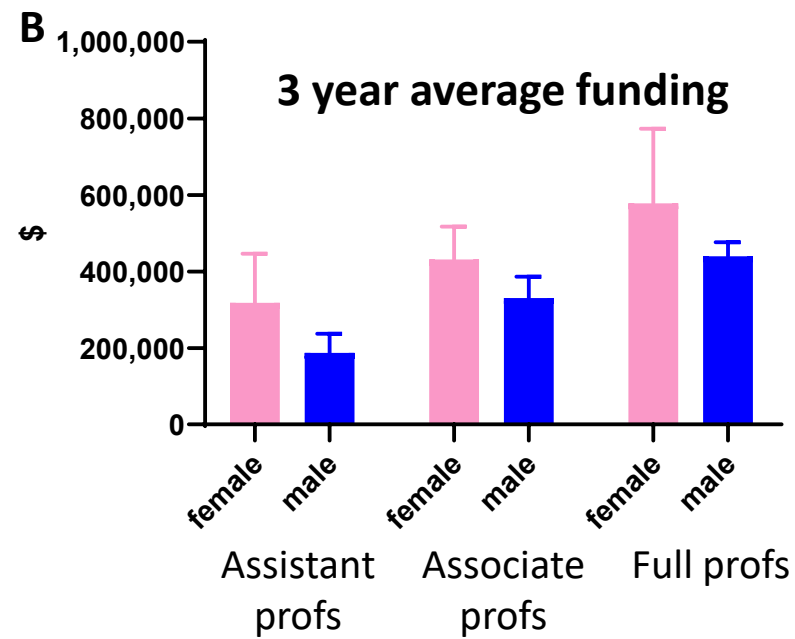
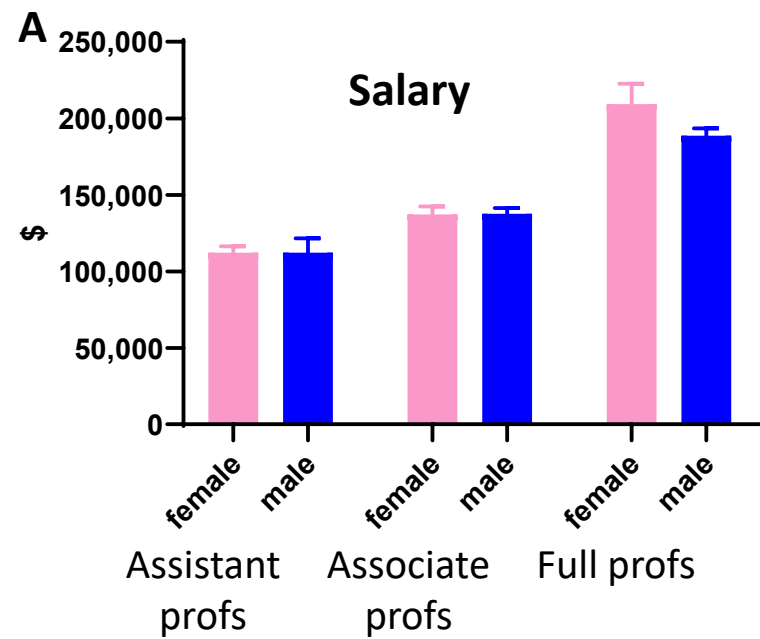
- 740 faculty
- All AAR annualized to 12 month FTE
- Part-time and post-retirement faculty eliminated
- Comp analyzed includes AAR + stipends, but no incentives or supplements
- FY20 data



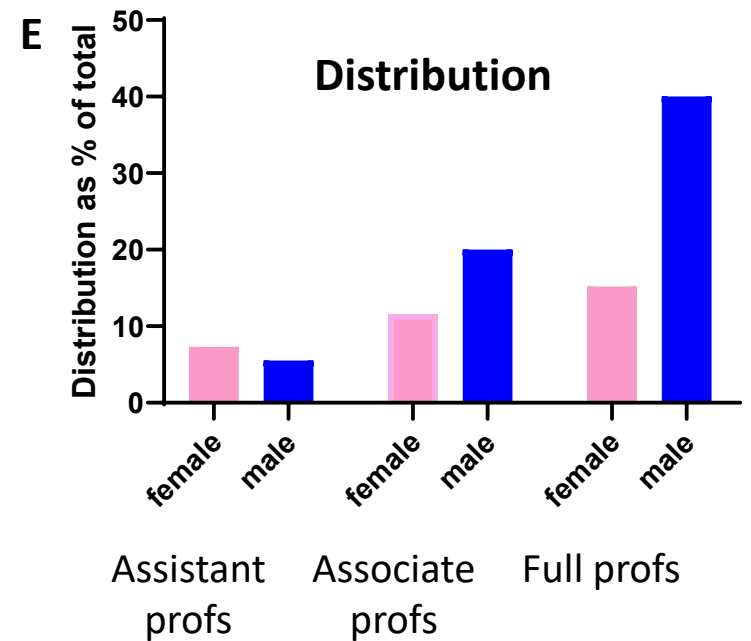
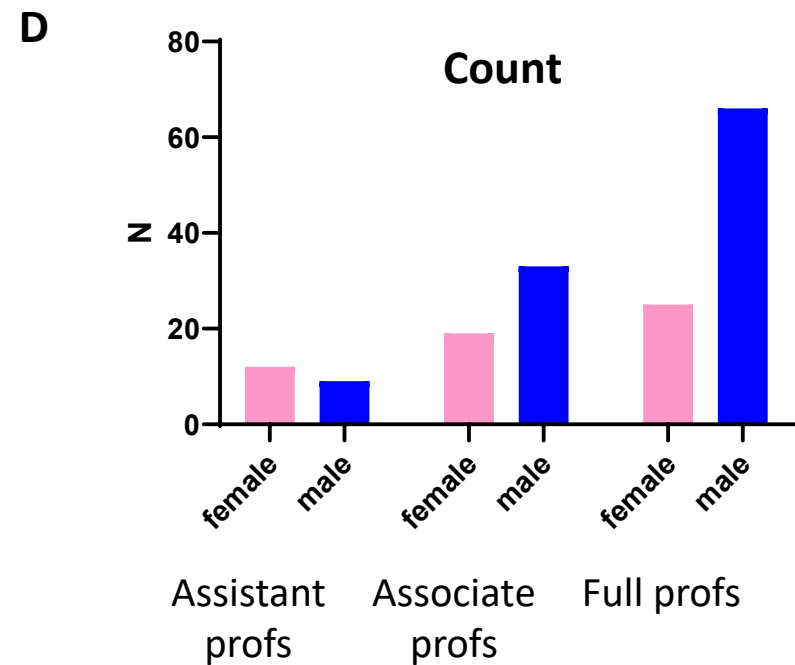
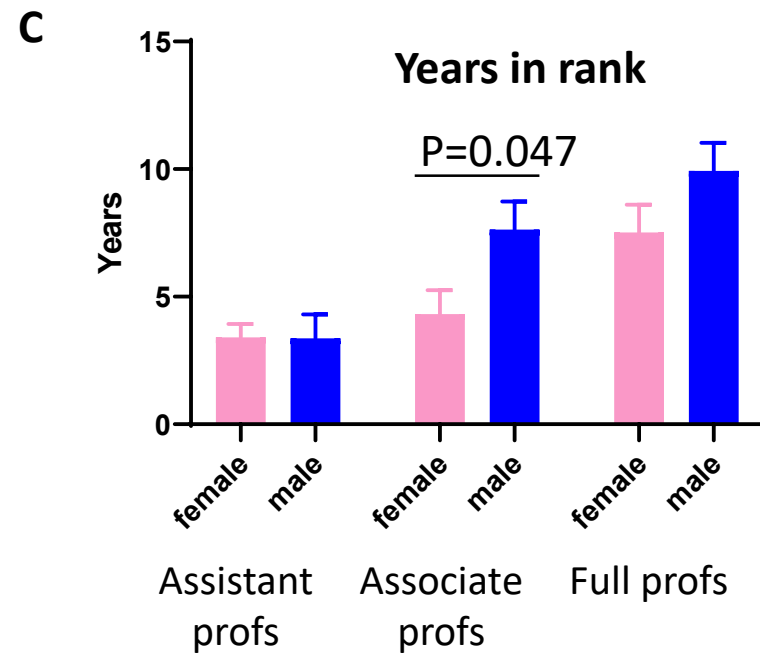
Research-Intensive Faculty Analysis

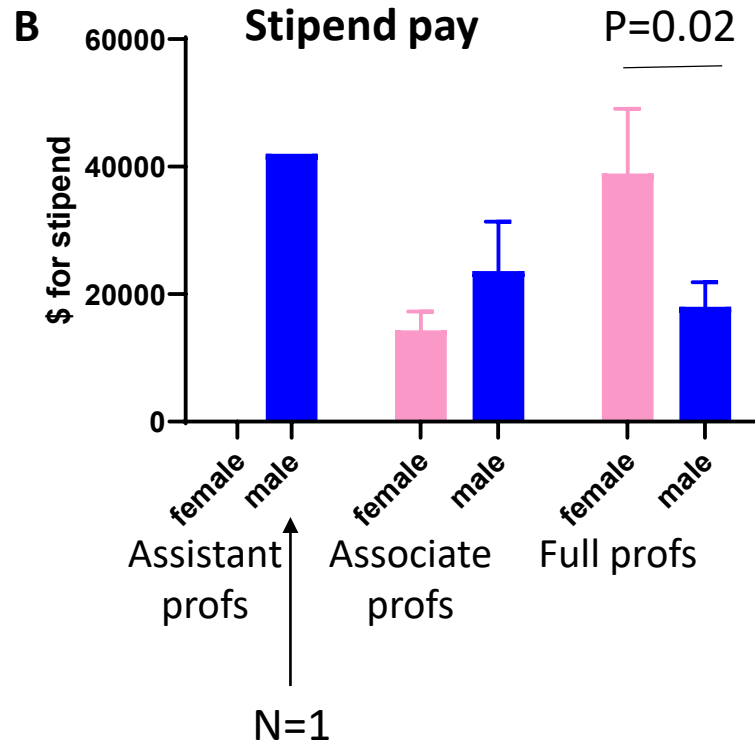
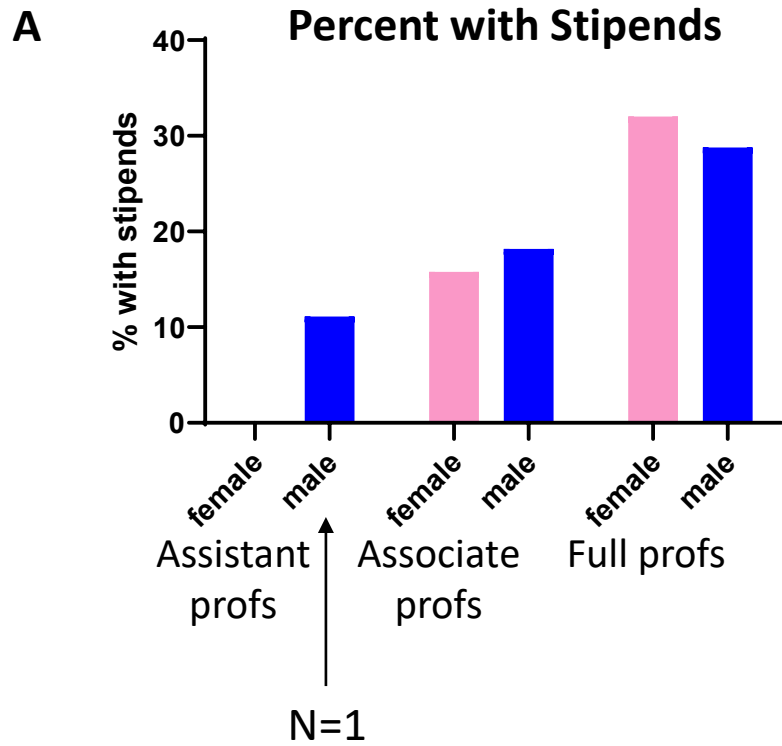
January 23, 2020





The FY20 AAR (Anticipated Annual Remuneration) for faculty participating in the Research Compensation plan (PhD non-clinical faculty with <40% DOE in instruction) was compared between sexes by academic rank. A. Total salary (annualized for those with < 12 month appointments). B. Past 3 years average grant funding. C. Years in current rank. D. Number of faculty. E. Distribution of faculty. Data shown is mean±SEM. T-tests were used to compare between sexes at each rank, a P value is shown for any significant differences.





The FY20 AAR (Anticipated Annual Remuneration) for faculty participating in the Research Compensation plan (PhD non-clinical faculty with <40% DOE in instruction) includes stipends for assigned roles. A. The percent of faculty by sex and rank holding stipends for roles. B. The annual amount of the stipend. Data shown is mean±SEM. T-tests were used to compare between sexes at each rank, a P value is shown for any significant differences. Note, there is only one male assistant professor holding a role with a stipend (and no female assistant professors).

Note: Stipends are for roles such as Research Directorships, DGS positions, vice chair positions, etc