MINUTES
Faculty Affairs Committee
Monday November 23, 2020, 3:30-5:00pm

Members Present: Beauvais Lyons, Julie Andsager, Thomas Berg, Cheryl Greenacre, Justin Jia Brian Krumm, and Mary McAlpin.

Members Absent: Elizabeth MacTavish (recurring conflict), Kai Sun, and Jessica Westerhold (conflict).

Note: Diane Kelly, Vice Provost for Faculty Affairs was not able to join the meeting.

Approval of the Minutes: October 26, 2020 meeting approved by consensus.

In advance (and shortly following) the meeting Vice Provost Kelly reported:

• Kirsten has marked-up Section VI of the Remaining Portion of the Manual for Faculty Evaluation so that it is clear what has been moved to Appendix II of the HTML version of the Faculty Handbook (and what we plan to add to the PDF version, assuming the committee approves). She sent this to the committee before the meeting.
ACTION: The committee agreed, and approved this.

• She has also been working with Provost Zomchick to incorporate Appendix A, "Faculty External Compensation …" and "Form A" into other standard processes. They plan to create fillable versions of these forms and an improved workflow, including integration of reporting into the Faculty Review System. Her office has also been creating fillable versions of all forms in Appendix B and will make them available via webpage. Brian was concerned that the appendix said it was not "legally binding" as it not approved by the Board of Trustees. He said Equal Opportunity Employment Policies have to be consistent with Federal Law.
ACTION: The committee agreed that the forms could be migrated and be fillable, while also recommending that the Office of General Counsel should address this question.

• Kirsten and Diane met with Lela Young to see if we can add the missing appendix about NTTF promotion to the PDF version of the Faculty Handbook (it is part of the HTML version and is/was Section VI of the Faculty Evaluation Manual). She said she did not see a problem with our adding this to the PDF version since presumably it was accidentally left-out of the FH and it is an the Appendix. She suggested we send a memo to her for documentation purposes. If the FA Committee supports this, then we can move forward with making this change.
ACTION: The committee agrees to align both the HTML and PDF versions.

• Diane asked John Zomchick about Appendix 2: Components of Effective Teaching. He suggested that this be something controlled by the Teaching and Learning Council and TLI. I am not sure when it was last updated, so we might ask the TLC to take this on. Diane asked that

Chris Lavan take Matthew Theriot's place on this Committee, which will hopefully facilitate this collaboration.

ACTION: The committee agreed that this is a good plan, but should involve the both Faculty Senate Teaching Council and TLC.

• Regarding Section VI of the *Manual for Faculty Evaluation*, Diane spoke with John Zomchick and he said this can be retired (so Kirsten will not send a marked-up version to the committee). The relevant bits were incorporated into new language for the *UTK-UTIA Faculty Handbook* which was approved by Faculty Senate last year, including Appendix II in the HTML version of the manual.
NO ACTION NEEDED.

Business:

1. **Review of the November 11 draft of the *UTK-UTIA Faculty Handbook*, 1.11 Other Useful University Policy Documents, and Appendixes I**
   Below are the handbook sections with proposed actions from the committee for presentation to the Faculty Senate:

   1.11 Other Useful University Policy Documents

   The Faculty Affairs Committee proposes the following changes to "1.11 Other Useful University Policy Documents." For ease of review, recommendations and comments are in **red text**.

   1.11 Other Useful University Policy Documents
   Faculty should be aware of university policy guidelines related to their work:
   - **Proposed addition: *Faculty Central*** (provides a number of helpful resources to campus and system documents, including sections on Diversity, Equity and Inclusion; Campus Systems; Handbooks, Manuals, and Policy Central; Teaching Tools and Resources; Faculty Success Resources; Research Resources; etc.)

   - **Proposed addition: *Faculty Affairs Section* of the *Office of the Provost website*** (provides a broad range of resources for faculty, including benefits and development resources, information on faculty evaluation processes, recruitment and hiring, etc.)

   - **Proposed addition: *UT Research Foundation*** (provides resources on the transfer and licensing of intellectual property created through UT Funds)

   - **Proposed deletion:** *Charter and By-laws of the University* (contains statement of legal establishment of the university, including charter provisions and by-laws)

     Note: added to Faculty Central and no longer needed to be listed here
   - **Proposed deletion:** *Manuals, Handbooks, and Guides*

Note: this link is broken. This is supposed to be the outdated "Manual for Faculty Evaluation," which has been incorporated into the Faculty Handbook. Faculty Central contains a link to the remaining portions of the "Manual for Faculty Evaluation" that have not been incorporated into the Faculty Handbook. However, that link on Faculty Central is broken. Suggest to fix the link on Faculty Central and remove the link from the Faculty handbook here.

- **Proposed deletion:** *Vol Vision:* ~~Journey to the Top 25: Knoxville campus strategic plan~~

  Note: added to Faculty Central and no longer needed to be listed here

- **Proposed deletion:** *UT Policies* ~~(all current official Board, Fiscal, HR, IT, and Safety policies, including the~~ *University Code of Conduct* ~~and the~~ *Conflict of Interest Policy*~~)~~

  Note: This policy link, as well as the link to Policy Central (policycentral.utk.edu) which includes a number of UTK policies, has been added to Faculty Central and no longer needed to be listed here.

- **Proposed deletion:** *Affirmative Action Plan* ~~(describes the comprehensive plan for ensuring equal employment opportunity and appropriate affirmative measures for all UT employees; also contains procedures for presenting and investigating complaints of discrimination)~~

  Note: broken link, page cannot be found. Given that Faculty Central already includes a section of resources on "Diversity, Equity & Inclusion," which should reflect our new diversity plan, suggest to remove it here.

- **Proposed deletion:** *Policies on Research and Intellectual Property*

  Note: added to Faculty Central and no longer needed to be listed here

- **Proposed deletion:** *Benefits and Services* ~~(benefits and insurance plans available to university employees)~~

  Note: added to Faculty Central and no longer needed to be listed here.

- **Proposed deletion:** *Course Catalogs*

  Note: already available on Faculty Central and no longer needed to be listed here

- **Proposed deletion:** *Hilltopics:* ~~UT student handbook (includes statements of rights, responsibilities, appeals procedures, and rules governing student organizations)~~

  Note: already available on Faculty Central and no longer needed to be listed here.

- **Proposed deletion:** *Traffic and Parking Regulations* ~~(describes rules, regulations, procedures, and penalties relating to parking and traffic on the university campus)~~

Note: added to Faculty Central and no longer needed to be listed here.

- **Proposed corrections:** *UT Search Procedures: Guidelines for Conducting Upper-Level Faculty ~~and Staff-Exempt~~ Searche~~s~~* (describes procedures for conducting upper-level faculty ~~and staff-exempt~~ searches)

  Note: the link only directs to the upper-level faculty search. Suggest to remove the "Staff-Exempts" words.

- **Proposed deletion:** *~~UT Family Care Policies for Faculty~~*

  Note: added to Faculty Central and no longer needed to be listed here

Appendices I:

For clarity, the committee proposes that the appendices the UTK-UTIA Faculty Handbook be organized in a table format as shown below, with links to the most current policy text as reflected in the document assembled for the committee by Kirsten Schroeder from the Office of the Provost. This will replace the current listing of nine appendices (note current Appendix 7 will be removed). In addition, the introductory text should be revised as listed below:

The appendices contain administrative policies approved by the Chancellor of The University of Tennessee, Knoxville. They are not approved by the Board of Trustees, are not legally binding upon The University of Tennessee, and are superseded by any policies of the Board of Trustees with which they may conflict. <u>These policies are provided here through the Office of the Provost, and in some cases, are drafted through other campus offices as indicated below:</u> ~~These policies are subject to change without notice, and a copy of the most recent versions of each appendix may be obtained from the following offices:~~

All current policies from these offices need to be linked below to be enforceable, and faculty should not have to request a current copy, and the Office of the Provost should be expected to inform the Faculty Senate of changes and post these in a timely manner.

Appendix	Policy	Responsible Office/Committee
Appendix 1	Equal Employment Opportunity	Office of Equity and Diversity
Link to the updated UT System HR policy pasted below.		

Appendix 1 - HR Policy 220 Equal Employment Opportunity
https://policy.tennessee.edu/wp-content/uploads//policytech/system-wide/hr/HR0220-Equal-Employment-Opportunity.pdf

Appendix	Policy	Responsible Office/Committee
Appendix 2	[Components of Effective Teaching](#)	Office of the Provost (Teaching and Learning Center) working with the Faculty Senate (Teaching Council)
Retain link to current policy, but this needs review by TLI and the Faculty Senate Teaching Council.		

Appendix	Policy	Responsible Office/Committee
Appendix 3	Disability Services	~~Dean of Admissions and Records~~ Student Disability Services
The responsible office currently listed needs be changed as it is now under the authority of the Office of Student Disability Services. Below is the current policy from David Ndiaye, Director of SDS, which should replace the current posted policy. This is also on Faculty Central.		

Student Disability Services (SDS) seeks to eliminate the barriers students with disabilities encounter while enrolled at the University of Tennessee, Knoxville. The program's primary objective is to partner with the campus community in providing equitable access to eligible students while promoting disability-inclusive diversity. The staff works with each student to develop the appropriate accommodation plan and assist instructors in providing them in their course. SDS is also available as a resource to departments to discuss the accessibility of programs and events in collaboration with the Office of Equity and Diversity. Please visit the SDS website for more information.

Appendix	Policy	Responsible Office/Committee
Appendix 4	[Non-Sexist Language Guidelines](#)	Office of Equity and Diversity working with the Commission for Women
Retain link to current policy, but this needs review by both the Commission for Women (which originally authored the policy) and the Faculty Senate Diversity and Inclusion Committee.		

Appendix	Policy	Responsible Office/Committee
Appendix 5	[Part-time Appointments: Illustrative General Situations and Particular Stipulations](#)	Office of the Provost
It would seem to be appropriate to properly integrate this policy into chapter 4 of the UTK-UTIA Faculty Handbook. The Task Force on NTTF might look at this language and propose incorporation into Chapter 4. Until then, it can be retained		

in place.

Appendix	Policy	Responsible Office/Committee
Appendix 6	[Financial Exigency Plan](#)	Office of Chancellor (or UT System)
The Office of General Council has reviewed. While nothing needs to change in the text for now, OGC is looking at options to possibly make this a system wide policy. Each campus has their own version, but it is something that likely needs to be the same for the whole system.		

Appendix	Policy	Responsible Office/Committee
Appendix 7	Policy on Misconduct in Research and Service	University of Tennessee System
Current text is outdated. Remove text and link to board approved Policy Number: RE0001 The University of Tennessee Policy and Procedures on Responsible Conduct in Research and Scholarly Activities. https://universitytennessee.policytech.com/dotNet/documents/?docid=175&public=true		

Appendix	Policy	Responsible Office/Committee
Appendix 8	General Policy: Conflict of Interest University of Tennessee System	University of Tennessee System
Current text is outdated. Remove text and link to University Policy Conflict of Interest: https://universitytennessee.policytech.com/dotNet/documents/?docid=36&public=true		

2. **Discussion and Disposition of a White Paper: "**Crediting Faculty for Open, Public Access to Research and Scholarship as Outreach Service in APPR" from the Faculty Senate Library & Information Technology Committee. The draft document is posted here.

The committee agreed that incentivizing engaged research that can be a resource for the general public has value, citing an open-access policy at Penn State University. A paper found here on engaged scholarship was also cited by a committee member:

However, a number of concerns were expressed, including:
• Concern expressed by faculty about having anything other than the final published product available online.
• Concern about the legal obligations of a faculty member in relation to their publisher, as well as their relationships for future publications.

• Not all faculty produce or should be attempting to produce material that will be widely understood by the public.
• Concern that the overall quality of scholarship at UT will be negatively affected if there is a general push to reward less technical or advanced scholarship.
• Concern that new/junior faculty will be encouraged to produce less technical or advanced scholarship in the belief that reaching the general reading public should be one of their primary goals.
• Concern about predatory ("pay to play") publishers who present themselves as open access.
• Interest in how this question relates to efforts to make the resources of the university more broadly accessible as part of our strategic plan.
• How this proposal relates to the SSRN eLibrary.
• Concern that a faculty member might be penalized if their publisher did not allow for open access publishing through TRACE.
• There was concern about the amount of administrative burden that would be placed on the publishing faculty to clear their publications with the publisher to be put in TRACE. The perception is that books would be impossible to get cleared and depending upon the publisher, articles might be able to be linked in TRACE to the original journal.
• As a practical matter, there is concern about the cost of this effort would justify the benefit to the consuming public.

Beauvais said he would share the concerns with the paper's authors Rachel Caldwell and Michelle Brannen to discuss next steps involving a dedicated meeting, or maybe encouraging the UT Library to host a specialist for a virtual seminar on the topic.

3. **Proposed Meeting Dates for Spring 2021:**
   Beauvais noted that at least one of these meetings might involve a conversation to Ombudsperson Lisa Yamagata-Lynch about policies related to her annual report.
   Meetings for the spring are planned as follows:
   > Monday February 8, 3:30-5:00pm
   > Monday March 8, 3:30-5:00pm
   > Monday April 12, 3:30-5:00pm

4. **Adjournment** at 4:50pm