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Faculty Senate Executive Committee Minutes, March 18, 2019

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FACULTY SENATE EXECUTIVE COMMITTEE MINUTES

March 18, 2019

3:30 – 5:00 p.m.

Old Main-Champ Hall

Present: Becki Lawver (President), President Noelle Cockett, Provost Frank Gale (Ex-Officio), Megan Coster for Michele Hillard (Exec. Sec.), Robert Wagner, Timothy Taylor, Bryce Fifield, Zsolt Ugray, Jessica Lucero, Erin Davis, Dennis Hassan for Nancy Hills, Rick Heflebower, Marilyn Cuch, David Brown, Ben George

Absent: Kimberly Lott (Past President), Jan Thornton

Guests: Ed Reeve, EPC
Jennifer Duncan, BFW
Larry Smith, Interim Vice President, Research
Jeanne Davidson, University Libraries
Todd Welch, University Libraries

Call to Order - Becki Lawver

[Approval of Minutes](#) – February 19, 2019

Minutes approved as distributed.

University Business - Noelle Cockett, President | Frank Gale, Provost

President Cockett gave an update on the legislative session and stated that USU is in high standing. The Legislature approved funding for performance (not for growth as USHE requested). All was put into Senator Ann Millner's bill which was funded based on number of degrees, research dollars, students on federal aid, etc. Allocation of funds will be up to USU. Will hold budget hearings with each Dean and Vice President in the next 45 days. Provost Gale and Larry Smith will distribute documents and then decisions will be made. Other requests included gains in the 4-H program (\$1.2 million ongoing), 18 more hires, six in Logan and 12 in other counties. Career and Technical Education (CTE) programs in Carbon, Emery, Grant and San Juan counties plus the Moab campus are covered under USU. Requested money added to budget to lower our tuition to get it in line with other technical colleges. There was also funding approved to expand programs. This turned out to be a very good legislative session. Salary compensation for all state employees was set at 2.5%. How we divide up that money will be discussed. Also received money to offset health benefit premium increases. This was distributed by a cash amount, not a percentage. The BFW recommended 1.5% across the board and the balance to the flex pool.

Provost Gale – The Promotion and Tenure Central Committee finished meeting about a week and a half ago. Currently working through committee's votes and comments now. President will take to the Board of Trustees for final approval on Friday, April 5. A task force has been put together to look at Women and Gender program, what they're doing for research, etc. What is the next phase of our support for the broadest impact? Sue Grayzel and Christy Glass are heading up that task force/committee and Janis Boettinger is the liaison for the faculty. Update on CCA dean's search – Three original candidates have been narrowed down to two. Those two candidates will be invited back for another campus visit. This time they will meet with the Caine College of the Arts faculty, staff, and department heads. Provost office will provide information. The question was asked: What success will look like on the Women and Gender task force? The information gathered by the task force will provide direction for the President and Provost as they chart the next iteration of the program. President

Cockett shared that one question is whether the program being housed under Ann Austin's Center for Women and Gender rather than an educational college is the best way to run the program.

President Cockett gave an update on the Mountain West basketball tournament. She shared how the support in the crowd kept growing at each game and the team is now going to the NCAA tournament. Bracket placement anti-climactic and Salt Lake home court advantage is not allowed. Last time USU won was 2006.

Information

[EPC Monthly Report](#) – March 7, 2019 - Edward Reeve

Three General Education designations were approved.

Academic Standards had no report since they did not meet in January.

Curriculum Committee approved 55 semester course approval forms.

Reviewed seven R401 proposals.

[2019-2020 Faculty Senate Calendar](#) - Becki Lawver

Discussion arose regarding the start time being at 3:00 pm or 3:30 pm and also whether Monday or Tuesdays are better. It was proposed that FSEC continues to meet at 3:30 pm on Mondays. It was proposed that they continue to meet at 3:30 pm on Mondays. The Tuesday meetings in January and February will stand even though they are outside of code.

Robert Wagner recommended including an Empowering Teaching Excellence (ETE) annual report. In addition to Student Success in November, and will also discuss Retention and Enrollment. These will be added to the 2019-2020 calendar.

Reports

[Budget and Faculty Welfare](#) Annual Report - Jennifer Duncan

The Price campus very happy with what is going on, but there are still some items that will need to be investigated further. Teaching loads in role percentages don't directly relate to a teaching load/number of courses. Concern there might be a significant shift in term faculty vs. tenure track faculty. Questions about how term faculty are handled (code vague), increase in numbers, term not allowed to serve in some specific capacities in code, impacts in code long-term. Timothy Taylor looking to pull numbers and historical data to identify how big this shift is. The committee wants to ensure consistency across USU campuses regarding course load, number of students interacting with, etc.

Motion to move to the Faculty Senate agenda made by Jessica Lucero. Seconded by Ben George. Moved to Faculty Senate agenda.

[Research and Graduate Studies](#) Annual Report - Larry Smith

Initially, due to the Government shutdown there were some issues getting relevant data. This year there was a 24% jump in sponsored awards. Larry spoke about how he is trying to create an environment of the Office of Research listening and taking to heart the feedback that is received. This includes becoming more inclusive and transparent. Some problems and dislikes of the Kualo system came up. Larry acknowledges that there are pockets of faculty who are having issues and some others who consider it an improvement. The university will not be dropping Kualo but will work with them to improve the system in any way possible. It would be helpful to get a detailed list of concerns so that they can be addressed. Questions, concerns or improvements regarding the system can be sent to Larry Smith.

Motion to move to the Faculty Senate agenda made by Bryce Fifield. Seconded by Timothy Taylor. Moved to Faculty Senate agenda.

Old Business

[405.11.2](#) Term Appointment Promotions (second reading) - Marilyn Cuch

Line 5 "a majority of whom are tenured" – does this make sense or need to be included. If you are a term faculty member, you would probably rather have more term faculty members on your committee. It was suggested to strike the phrase from the language. Brought up the conflicting language about annual requirement or meeting at the faculty member's request. It should be one or the other. What was the discussion that lead to putting the ball in the court of the faculty member? No one could answer that. Discussion ensued about faculty members either not knowing to request it or forgetting to request it. Discussion was to have it be an annual requirement for an annual meeting with the committee. Does this lead to a higher workload for higher rank faculty members. Should we leave the language as-is or

propose a change? Discussion moves to a mandatory three year promotion committee meeting, any additional meetings would be at the faculty member's request.

Motion to move to send back to PRPC made by Patrick Belmont. Seconded by Timothy Taylor. Moved to PRPC.

New Business

Library Discussion (Subscription Costs) - Jeanne Davidson | Todd Welch

Jeanne Davidson will provide a PowerPoint presentation to the Faculty Senate. The presentation was not ready for this meeting. There are five subscription packages that are of the biggest concern. Four of these come up for renewal in 2021. They are not necessarily looking at canceling the wholesale, but make changes to the bundles. 90% of the library budget is tied up in subscriptions. 59% percent of that is big deals and over the next five years the amount needed will compound. The question is, how do we collect data to determine what faculty members need? The library is looking at publishing, downloads, citations, etc. to put together a usage index. This is a huge amount of data to analyze. A faculty survey in April will help determine research practices, library services and materials. This will be a six-week open survey. The library will then spend time with faculty at fall roadshows and follow up interviews with those who have grant money at stake to help make decisions. Some big questions are how much does the University want to continue to provide to sustain subscriptions? How much traction do we get with faculty (how concerned are they)? Whole University of California system discontinued their use of the Elsevier System. We have a year plus to make our decision and we are in the data gathering mode, looking at options such as articles (pay per use). Dean Cole will reach out to Greater Western Library Association contacts and Jeanne Davidson will reach out to UC Irvine. Inflation rate averages approximately 4% and this is not going to be sustainable for USU.

Motion to move to Faculty Senate agenda made by Ben George. Seconded by Patrick Belmont. Moved to Faculty Senate agenda.

Koch Task force – vote on individual recommendations. This discussion will continue discussion at the Faculty Senate meeting on the April 1, 2019.

Call for Nominations – Faculty Senate President Elect - Becki Lawver

Faculty Senate President called for recommendations or self-nominations for the 2019-2020 Faculty Senate President Elect position. The current Faculty Senate President Elect, Patrick Belmont asked President Lawver to share the financial benefits of the position. No motion needed as this will be moved onto the Faculty Senate agenda.

Adjourned: 5:01 pm



FACULTY SENATE EXECUTIVE COMMITTEE MINUTES

February 19, 2019

3:30 – 5:00 p.m.

Old Main-Champ Hall

Present: Patrick Belmont (President Elect), Provost Frank Galey (Ex-Officio), Amber Summers-Graham for Michele Hillard (Exec. Sec.), Jan Thornton, John Mortensen for Robert Wagner, Timothy Taylor, Rick Heflebower, Erin Davis, Nancy Hills for Matt Omasta, Bryce Fifield, Zsolt Ugray, Marilyn Cuch

Absent: David Brown, Jessica Lucero, Becki Lawver (President), Ben George, Kimberly Lott (Past President)

Guests: James Nye, Parking
Renee Galliher, Calendar Committee
Alison Cook, Koch Task Force
Ed Reeve, EPC

Call to Order - Patrick Belmont

[Approval of Minutes](#) – January 22, 2019

Minutes approved as distributed.

University Business - Noelle Cockett, President | Frank Galey, Provost

The Provost had a follow up regarding a conversation that he had with Patrick, Becki, and Kim. We will be scheduling regular five-year reviews of administrators. Michael Torrens in AAA will pull together a report showing who has been reviewed and who needs to be reviewed. Will work with Michael Torrens to get surveys put together for Department Heads and Deans that are due for reviews. It is staggered and we tend to do reviews each spring. If there are too many to complete, we may divide them up between this year and next. We will be doing them and you should be seeing surveys. There are a couple of Department Heads and a Dean that will be leaving and so we will not bother with those. A task force that was formed to look at General Education assessment came up with a report that was submitted and adopted by the Gen Ed subcommittee. Harrison Kleiner will head up the task force. He and Lee Rickords are working well together. They will work on piloting the assessment program and will begin working to roll it out in the fall.

The President stated that she has been including faculty on several different task force and steering committees. Currently finalizing the Green House Gas Resolution steering committee and three working groups: 1) energy, 2) air traffic/transportation, and 3) education. As much as possible, we are seeking assignments for faculty on the working groups. Co-chairs are Chris Luecke and Lexie Lamb. Currently finalizing the charge to the committees.

Strategic Enrollment Management Plan kickoff was today. There are seven committees total and she is pleased to see the faculty involvement. This spans a plan of Awareness of USU through to Alumni management. Robert Wagner is leading this effort.

The President was also tasked by the Board of Regents to develop risks for the University. USU will be presenting a draft list of risks to the Board of Regents. She is happy to present these risks to the Faculty Senate Executive and Faculty Senate if they would like.

Currently in the middle of the legislative session. The Executive Appropriations Committee will come up with the list of what they expect to fund. There is a \$1.3 billion dollar increase in tax revenues per the Governor and he is telling everyone that they must put 50% of the reserves into the rainy day fund. Governor Herbert suggested 2.5 % compensation increase for all public state employees and it is still expected that higher education groups get 25% of that increase out of tuition. If this goes through, USU has already met with the student leadership about tuition increases. There are big bills for liability insurance coming up to USU. We are requesting help for bottleneck English courses, Math tutoring Center Coordinator, and help with some general education courses. Through all of this the students will be looking at a 2% tuition increase. Will need to do a hearing with Regents about the percentages and dollar amount and they will vote line by line. There has also been a change in how capital facilities will be organized. Known amount of money - if you did not have enough money to do your project, you could bank that money as you move forward. You can get money over time towards projects. USU requested a \$2M request for career and tech education in Southeastern Utah. There is also a \$1M request for 4H. We will also be adding 18 new extension faculty. Twelve would be in the county offices delivering 4H programs. We have been raising money for a new Moab campus building.

Number 1 ranked of the USHE budget is workforce development including computer science, coding, and health professions. If this goes forward we would have money for new positions in this area.

Information

[EPC Monthly Report](#) – February 7, 2019 - Edward Reeve

General Education approve one DHA designation for HIST 3340. Statement and Policy about Depth Courses Requirements – change catalog language to reflect what is being done.

Academic Standards – no January meeting.

63 Course requests approved.

Four R401 proposals approved – Three withdrawn pending further discussions/updates.

Motion to move the EPC monthly report to Faculty Senate made by Bryce Fifield. Seconded by Timothy Taylor. Moved to Faculty Senate agenda.

[Spring Break 2020 Calendar Update](#) - Renee Galliher

The Calendar Committee has met and recommended a series of calendars for the upcoming years and in doing going through this process, one item the calendar committee addressed was Spring break. A couple of years ago the Faculty Senate approved the aligning of spring break with the Mountain West Basketball Championship, but the Mountain West conference, in response to another large event in Las Vegas, moved the Championship up a week. The calendar no longer aligns with the championship. In accordance with the plan, we decided that it made sense to change our spring break and push it back a week. Checked with everyone we could think of and no one has said that it would be a huge problem for them. Calendar for 2019-2020 has already been approved. The other change on the upcoming academic calendar is the dates for commencement. The calendar was approved before the commencement change was implemented for the 2019-2020 academic calendar. This is a one-time shift in the calendar.

Motion to move to the Faculty Senate Agenda made by Zsolt Ugray. Seconded by Bryce Fifield. Moved to Faculty Senate agenda.

Reports

[Parking Committee](#) Annual Report - James Nye

James Nye read the highlights of his report and focused on upcoming plans. Discussions were held regarding the increasing in parking and also the cost of replacing buses with electric ones. The Faculty Senate Executive Committee would like James to bring costs and more information regarding electric buses to the upcoming Faculty Senate meeting.

Motion to move to the Faculty Senate agenda made by Erin Davis. Seconded by Timothy Taylor. Moved to Faculty Senate agenda.

Old Business

[Koch Task Force Resolution](#) - Alison Cook

What is here is what could be agreed upon by the task force. The task force with Frank Caliendo, Mica, and the President. One of the things that was asked is if we could move Center for Growth and Opportunity (CGO) off campus? The President stated that the CGO would not be moved off campus.

President Cockett confirmed that an audit has been done by USU's internal audit team. The audit came out fine and senators can get a copy of that audit. If there were financial irregularities the audit would be the way to find it. Internal audits reports directly to the President's office. As far of oversight it is the Dean of the Huntsman school and the President. The President and Board of Trustees dictate the timing and order of the audit. We don't have any contact with the auditors until the report is presented.

Motion to move to the Faculty Senate agenda made by Zsolt Ugray. Seconded by Erin Davis. Moved to the Faculty Senate agenda.

405.11.2 Term Appointment Promotions (second reading) - Marilyn Cuch

Raise this for discussion at the full senate to see what they want to do with the language about majority of committee members to be tenured? Also, language allows the Department Head to be a member of the committee and should not be allowed to serve.

Withdraw and bring this back next week.

New Business

2019-2020 Faculty Senate Calendar - Patrick Belmont

No discussion ran out of time. This item will be brought back at next month's Faculty Senate Executive Committee meeting.

405.12.2 Review of Faculty (first reading) - Marilyn Cuch

Motion to return to PRPC for second reading made by Timothy Taylor. Seconded by Bryce Fifield. Moved to PRPC.

Adjourn: 4:59 PM

Report from the Educational Policies Committee March 7, 2019

The Educational Policies Committee (EPC) met on March 7, 2019. The agenda and minutes of the meeting are posted on the Educational Policies Committee web page (www.usu.edu/epc).

During the March 7, 2019 meeting of the EPC, the following actions were taken:

1. **General Education Subcommittee**

- Designation Approvals: APEC 1400 (BSS); ELED 4041 (CI);

2. **Academic Standards Subcommittee**

- No January Meeting – No Report.

3. **Curriculum Subcommittee**

- Approval of 55-course requests.
- Approval of the request from the School of Applied Science, Technology, and Education in the College of Agriculture and Applied Sciences to establish a **Division of Career and Technical Education**.
- Approval of the request from the Department of Economics and Finance in the Jon M. Huntsman School of Business to offer a **BA/BS in Finance with emphasis**.
- **Withdraw:** Request from the Department of Instructional Technology and Learning Sciences in the Emma Eccles Jones College of Education and Human Services to offer an online **BS degree in Technology, Design, and Interaction**.
- Approval of the request from the Department of Kinesiology and Health Science in the Emma Eccles Jones College of Education and Human Services to change the name from Parks and Recreation to **Recreation Administration**.
- Approval of the request from the College of Humanities and Social Sciences to offer an undergraduate **Anticipatory Intelligence Minor**.
- Approval of the request from the Department of English in the College of Humanities and Social Sciences to change the name from English: Professional and Technical Writing Emphasis to **English: Technical Communication and Rhetoric Emphasis**.

4. **EPC Committee**

- **Motion Not Approved:** Request from the Department of Geology in the College of Science to change the department name from **Geology** to **Earth Sciences**.

FACULTY SENATE

2019-2020 Session

UtahState
UNIVERSITY

Calendar of Meetings and Committee Reports

Executive Committee Meeting Champ Hall - Main 136 3:00 – 4:30 pm	Senate Meeting Merrill-Cazier Library Room 154 3:00 – 4:30 pm	Senate Committee Annual Reports	University Council and Committee Reports
August 26, 2019	September 9, 2019		
September 23, 2019	October 7, 2019	Educational Policies Committee (EPC) – Edward Reeve	Honors Program – Kristine Miller
October 21, 2019 Immediately following FSEC Mtg. - Faculty Forum Planning	November 4, 2019	Academic Freedom and Tenure Committee (AFT) -	Athletic Council – Ed Heath Libraries Advisory Council – Bryce Fifield
November 11, 2019 - FACULTY FORUM Merrill-Cazier Library - 154 3:00 – 4:30 p.m.			
November 18, 2019	December 2, 2019	Faculty Evaluation Committee (FEC) – Josi Russell	USUSA – Retention and Student Success – Heidi Kesler
December 16, 2019	January 6, 2020	Professional Responsibilities and Procedures Committee (PRPC) –	Council on Teacher Education – Sylvia Read Scholarship Advisory Board – Taya Flores
January 21, 2020 (Tuesday)	February 3, 2020	Faculty Diversity, Development, & Equity Committee (FDDE) –	Research & Graduate Studies – Larry Smith
February 18, 2020 (Tuesday)	March 9, 2020		Parking Committee – James Nye Sustainability Council – Alexi Lamm
March 16, 2020	March 30, 2020	Budget and Faculty Welfare Committee (BFW) – Jennifer Duncan	Honorary Degrees and Awards - Sydney Peterson
April 13, 2020	April 27, 2020	Committee on Committees – Victor Lee	Calendar Committee – Renee Galliher

Budget and Faculty Welfare Committee Spring 2019 Summary Report

Agriculture and Applied Sciences – Ralph Meyer
Arts – Nancy Hills
Business – Alison Cook
Education and Human Services – Bryce Fifield
Engineering – Timothy Taylor
Humanities and Social Sciences – Molly Cannon
Natural Resources – Patrick Belmont
Science – Bob Brown
Libraries – Jennifer Duncan (Chair)
Extension – Shawn Olsen
Regional Campuses – David Law
USU Eastern – Scott Henrie
Senate – Bryce Fifield
Senate – Scott Henrie
Senate – Ralph Meyer

The duties of the Budget and Faculty Welfare Committee are to (1) participate in the budget preparation process, (2) periodically evaluate and report to the Senate on matters relating to faculty salaries, insurance programs, retirement benefits, sabbatical leaves, consulting policies, and other faculty benefits; (3) review the financial and budgetary implications of proposals for changes in academic degrees and programs, and report to the Senate prior to Senate action relating to such proposals; and (4) report to the Senate significant fiscal and budgetary trends which may affect the academic programs of the University. (Policy 402.12.4)

Meetings and Discussions of the BFW Committee

This report covers activities of the BFW committee for the Winter of 2019
The committee convened on December 11, 2019 in Library 249.

- Faculty on the Price Regional Campus expressed a concern to the BFW that there were inequities in teaching load and compensation. The committee had a vigorous discussion regarding these issues and noted that USHE has guidelines related to faculty workloads specified in Policy R485-3. Later in the day, Eastern faculty met with President Cockett who indicated that there would be a substantial review of these issues and colleagues on the Price campus asked the BFW to hold back before pursuing this matter further.
- The committee discussed the general issue of how faculty teaching loads are represented in role statements. While practices vary throughout the University, many role statements simply refer to a percentage of the weight that teaching is to receive for the purpose of tenure and promotion decisions. However, there is no system to translate percent weights into actual teaching assignments, in terms of courses or credit hours. It was discussed that this creates considerable ambiguity for faculty members. The BFW committee will follow up with the Provost to discuss how to represent teaching loads in role statements in such a way that provides more clarity.
- The committee discussed apparent increases in the proportion of term versus tenure-track faculty on campus. Timothy Taylor agreed to look into the issue and will report back to the committee by the end of the spring semester.
- Jennifer Duncan attended the Benefits Advisory Committee on November 14th on behalf of the BFW and reported back to committee members the following two changes to faculty benefits:
 1. Waiver of Premium for Life Insurance - When an employee transitions from Short-Term Disability (STD) to Long-Term Disability (LTD), he/she may be eligible for the Waiver of Premium benefit on their life insurance policy. A Waiver of Premium allows an employee, while on LTD, to keep their life insurance benefit with zero premium (after a nine (9) month waiting period). To be eligible, The Hartford reviews the claim to confirm if the employee was under age 65 when he/she became disabled and that he/she has a medical condition that prevents him/her from working in any capacity or is terminal. To assist employees in this situation, effective August 2018, The Hartford (Life and Disability vendor) began communicating directly with eligible employees on steps to take

to minimize risk of premiums going unpaid during the waiting period so they can maintain eligibility for a Waiver of Premium.

2. Recurrent Disability (Short Term Disability (STD) change) – A recurrent disability means an employee has been out on STD, attempts to return to work and is unable due to the same cause; a related cause; and, within 14 consecutive calendar days of the return to work. Effective 1/1/2019, the recurrent disability will change from 14 consecutive calendar days to 30 consecutive calendar days. This should allow an employee time to see if they are really able to return to work without jeopardizing their option to move into LTD if needed.
- The BFW Committee will next meet with President Cockett on Monday, March 18th for a legislative update (after the due date of this report) and to discuss the proportion of the salary increase provided by the legislature that should be used for across-the-board raises versus flex pool (distributed based on merit, or to rectify gender inequity, salary compression, etc.). The committee discussed whether this issue should be decided on an annual basis, or if there should be a longer-term philosophy that guides the allocation of the salary increase for across-the-board versus flex pool. This issue will be discussed with President Cockett at the upcoming meeting. BFW was not involved in any other aspects of the budget preparation process.



RESEARCH *and*
GRADUATE STUDIES
UtahStateUniversity

ANNUAL REPORT 2018

MISSION STATEMENT

The mission of USU's Office of Research and Graduate Studies is to facilitate a culture of excellence in research, scholarship and creative activity that spans the lifecycle of faculty and students through operational, training, funding and compliance support.

OFFICE VALUES

Seven core values guide the way in which RGS executes its mission and formulates its key strategic goals and strategies. In the way a mission statement informs what RGS does, these values define how it is best accomplished.

INDIVIDUAL CAPACITY DEVELOPMENT

Faculty and graduate students should continue to grow their understanding of how to best propose, conduct and report research and scholarly activities.

INTEGRITY & SAFETY

Scholarship should be conducted with top consideration toward exceeding ethical and regulatory standards.

STUDENT ENGAGEMENT

Students are a core focus of a land-grant institution. They can have better educational experiences when they engage in research opportunities.

INTERDISCIPLINARY INTEGRATION

Research should not live within silos; all scholars can benefit from interdisciplinary learning.

APPLICATION

Research and scholarship should embrace the land-grant mission of providing meaningful impact for the state, nation and world.

INNOVATION

All activities should undergo constant evaluation for improvement in effectiveness and efficiency, and those opportunities should be implemented whenever possible.

TRANSPARENCY

As a public institution, all USU stakeholders should have access to a clear understanding of RGS functions and Operations.

The background image shows a university campus scene. In the foreground, there are large trees with green and yellowing leaves. A black lamppost with two white globe lights is visible. In the background, a multi-story brick building with a prominent gabled roof and a small window is visible. The sky is overcast.

Executive Summary

Fiscal year 2018 and the first half of 2019 have created significant changes within the Office of Research and Graduate Studies. In August 2018, Larry Smith was named interim vice president for research and dean of graduate studies, succeeding Mark McLellan, who had served in that role since 2011. Additionally, there were changes in two of the three associate vice presidents and associate deans positions: Lisa Berreau succeeded Jeff Broadbent, and Alexa Sand succeeded Scott Bates. In January 2019, USU's Office of Research and Graduate Studies was split into two separate units: the Office of Research and the School of Graduate Studies. Although the offices are now separate and the leadership has almost universally changed, this report reflects the activities of the combined office and previous leadership during FY 2018.



CHAPTER 1

Strategic Planning and Implementation

RGS GOALS AND STRATEGIES

- Enhance Researcher Capacity & Productivity.
- Champion a culture of safety, compliance and integrity.
- Support Technology Transfer efforts.
- Enhance quality, quantity and inclusiveness of USU's Graduate Students and Programs.
- Enhance USU's Undergraduate Research Program.

RGS ORGANIZATIONS AND DIVISIONS

RGS oversees nine divisions: Animal Care and Use, Environmental Health and Safety, Graduate and Undergraduate Research, Integrity and Compliance, the Institutional Review Board, Research Development, the School of Graduate Studies, Sponsored Programs and Technology Transfer Services. Each of these divisions works to support the RGS mission and strategic goals. The office also coordinates the USU Research and Graduate Councils.

STRATEGIC GOAL 1

Enhance Researcher Capacity & Productivity

KUALI IMPLEMENTATION

In January of 2018 USU started using Kuali to submit its conflict of interest disclosures. The annual disclosure process prior to using Kuali was done both on paper and an electronic system that lead to confusion by the Conflict of Interest office.

The Kuali system allows users to easily add, review and amend their disclosure and then administrators can review and approve them in the system. This leads to a more efficient process and allows the COI office to manage these in one place. The new system also allows the disclosure process to change from a static date to a rolling date, meaning any newly-updated disclosure is good for one year. This reduces the burden of collecting all disclosures in July as was done previously.

In April the Institutional Animal Care and Use Committee (IACUC) successfully transitioned from using PROTIS to the new Kuali Protocol module. With PROTIS aging and becoming unstable, the move to Kuali was a much-needed upgrade. The new system allows for an easy to use template that can be modified at any time by the administrator to meet the needs of USU and any regulatory agency. The application is easy to follow and

was implemented with only a few trainings. Because of its intuitive and easy to use interface, we have not had many incidents with the system.

Aaron Olsen, the director of the IACUC, has done an outstanding job in administering this change and implementing any process changes to his office and the committee. USU was instrumental in the design of the new Protocol module. We participated in design meetings and tested new features as they were being developed. This approach allowed us to voice our needs and wants for the application. Kuali Protocols will completely replace PROTIS soon, as the Institutional Review Board (IRB) will also be transitioning to Kuali in the coming year.

FY18 also saw the negotiation of a new contract with Kuali. This new contract will keep the cost of Kuali at current levels and helps us build to the future. We see USU using Kuali for many years and this new contract allows us to look to them for solutions in the future.

NEW RESEARCH DEVELOPMENT STAFF

In FY2018, Research Development partnered with the College of Science to rehire a proposal development specialist. This individual began

working with CoS faculty in July 2018.

Additionally, RD partnered with Extension to hire two proposal development specialists. One was a replacement in an existing position and the second was a new position. Both individuals began working with Extension faculty in July 2018.

RD partnered with the College of Humanities and Social Sciences and the Caine College of the Arts to advertise for a proposal development specialist to assist faculty in the two colleges. Unfortunately, the search failed and reposting discussions continue.

The RD Division currently consists of a director, a part-time program assistant, and six proposal development specialists: one each for agriculture, education, engineering, and science, and two for extension.

SPECIALIZED SUPPORT

The office structure in Sponsored Programs was reorganized in FY2018 to provide more efficient, improved, and specialized support to campus while utilizing existing resources. Sponsored Programs is now organized with three teams to provide campus with support throughout the life cycle of a grant: Preaward Team, Award Management Team, and Subaward/Closeout Team.

The Preaward Team supports faculty in the proposal preparation process to ensure compliance with sponsor requirements, federal and state regulations, and USU policies. The Preaward Team consists of three Preaward Grant and Contract Officers who

review sponsor guidelines and identify key requirements, assist with budget preparation and proposal submission forms, ensure that all USU information included within the proposal is accurate and complete, assure all regulatory requirements are identified, review the final proposal package to ensure it is compliant, provide assistance with Kuali, obtain academic approvals of proposal and internal documents, provide the official institutional approval for the proposal, complete the final submission package and submit it to the sponsor. During FY2018, the Preaward Team submitted 1194 proposals, which is 45 less than the number of proposals submitted in FY2017. The amount of proposed dollars in FY18 is \$244.7 million. The majority of proposals submitted to grants.gov utilized USU's Kuali system-to-system capabilities.

The Award Management Team maintains responsibility to protect USU interests during award set up. The Award Management Team consists of 3.25 Grant and Contract Officers who are charged with drafting agreements and amendments, negotiating agreement and modification language, finalizing and setting up awards and amendments, helping faculty understand contractual obligations, negotiating export control language, preparing confidentiality and material transfer agreements, processing internal forms such as the PI Acceptance Form and Guarantee of Expenditures Form, assisting with data management compliance, ensuring COI, IRB, and IACUC approval before award set up, and assisting with the award closeout process.

During FY18 the Award Management Team processed 1096 award actions for \$111.7

million in award funding. The \$111.7 million in award funding is 3% more than the \$108.5 million received in FY17 and represents the highest non-ARRA (American Recovery and Reinvestment Act) award year for campus.

The Subaward/Closeout Team consists of 2 Grant and Contract Administrators who issue and administer subawards in compliance with USU policies, the applicable sponsor regulations, and the terms and conditions for the prime award. Grant and Contract Administrators ensure that the subawardee provides USU with the necessary information to conduct risk assessments and that the PI is aware of subaward monitoring requirements.

In FY2018, Grant and Contract Administrators issued over 150 new subawards or subaward modifications while managing a portfolio of over 250 active subawards. The Grant and Contract Administrators also continue to facilitate the closeout process for sponsored awards with faculty, sponsors, and other campus units. During FY2018, Grant and Contract Administrators closed out over 1,400 awards.

TRAINING FOR RESEARCH FACULTY

TRF is a workshop series that features training on topics of special interest to USU researchers, helping to enhance individual capacity development of USU faculty. Based on feedback received, the number of offered workshops was lowered from seven to four, while streaming broadcasts and online materials were added to provide increased access to the training information. As in past years, workshop topics were selected based on

feedback from interested faculty. In 2017 and 2018, RGS offered the following workshops to faculty:

Private foundation and residency opportunities and how to find them

For faculty looking to identify a perfect artist-in-residence or sabbatical experience, getting the most out of these experiences requires planning and foresight. This session helped faculty learn to launch their searches for those opportunities, secure them, and maximize the potential opportunities that come from them. Participants heard from faculty colleagues who have been successful at doing that very thing.

Major proposal blunders and how to avoid them

The ability to attract extramural funding is essential to the efforts of most faculty to build and maintain an internationally recognized research program. However, winning grant support has never been more challenging. Fortunately, proposal-writing is a skill that can be developed and refined. This workshop helped USU researchers hone their grant-writing skills by learning how to avoid common — and painful — proposal blunders from a panel of highly successful and experienced grant writers and reviewers.

Getting the most out of your professional society

For faculty researchers, gaining fellowship in their discipline is an achievement many regard as a career topping event. To achieve fellowship requires excellence in three areas: (1) A successful, transformative research program that is well documented in the literature (2) Leadership engagement in one's

discipline on a local, national and international level (3) Acknowledgement among peers in their discipline, often taking the form of recognition awards for scholarship. This workshop hosted a number of faculty fellows who shared their experience achieving excellence in these areas and their path to being named a fellow of their discipline.

Managing your scholarly presence online

In an increasingly digital world, promoting, preserving, and claiming research is more complicated and more hectic. In this Training For Research Faculty, library staff explored managing online scholarly presences, including the creation of profiles with Academia.edu, ResearchGate, and Selected Works as well as setting up ORCIDs and Google Scholar profiles.

SUNRISE SESSIONS

As part of its effort to share Utah State University research along the Wasatch Front, while also providing presentation opportunities to USU faculty, RGS continued to run the Sunrise Sessions event. Four USU faculty members presented during FY18: Craig Jessop, Dean of the Caine College of the Arts, introduced USU's Year of the Arts; Jed Hancock discussed how to protect our planet and map our future with USU space technology; Lisa Berreau shared her findings on carbon monoxide and its potential as a therapeutic device in low doses; and Silvia Martini presented a new approach for structuring healthy, edible fats. The program, which is also supported by Regence, typically sees about 150 people attend each session, and talks are recorded and posted to YouTube and podcast

In November 2017, Jed Hancock featured work being done by USU's Space Dynamics Laboratory to a Sunrise Session audience of 150 in Salt Lake City.





USU's final TEDxUSU drew a crowd of more than 1,100 to hear faculty talks on Movement in their research. TEDxUSU talks have been viewed more than 1.3 million times on YouTube.

services. More information is available at sunrise.usu.edu.

TEDxUSU 2017

RGS put on its sixth annual independently organized TED event, TEDxUSU, with the theme Movement on October 27, 2017. The event was held in the newly-renovated Daines Concert Hall to accommodate the increased demand for tickets. This change of venue from the Manon Caine Russel Kathryn Caine Wanlass

Concert Hall allowed for an unprecedented 1,100 TEDxUSU attendees, nearly tripling the audience from previous years.

The nine speakers spoke on movement that was physical, social, geographical, and artistic. The talks covered a wide range of topics within these categories, from the importance of vigilance while using the Internet, to the impact that "ordinary trauma" in our childhood has on the rest of our lives. Dr. Curt Radford, an American Sign Language professor and

former football player at Utah State, gave his entire talk in sign language, on the literal and abstract meaning that physical movement carries.

Overall, TEDxUSU has been one of the most successful and well-known events at Utah State. Before moving to the much larger venue, it was a sold-out event, and the content of the talks has reached a very broad audience. Over the event's six-year tenure, TEDxUSU talks have been viewed over 1.3 million times on YouTube.

RESEARCH WEEK

In 2018, RGS hosted its 14th annual Research Week, showcasing the best in undergraduate, graduate and faculty research.

Events from the week included the last faculty Research Awards Gala (to be replaced by an

on-campus Research Awards Ceremony), last Ignite USU speaking event, which featured eight student researchers giving five-minute talks about their projects, and last D. Wynne Thorne breakfast, which pairs previous D. Wynne Thorne Career Research Awardees with current Presidential Doctoral Research Fellows, as they shared wisdom and experience from their personal lives and professional careers. In total, these events have drawn hundreds of participants across the disciplines to better understand the excellent and diverse work being done by USU's researchers.

USU's Student Research Symposium drew nearly 400 student presenters to give oral and poster presentations in the library. In 2018, the Caine College of the Arts participated more visibly through their Research in the Arts Day, which added pop-up art exhibits and a piano recital to the SRS lineup.





Above: Research Week 2018 featured USU's final Ignite talks event, with eight student research presenters.

Below: Student Research Symposium added Research in the Arts Day (RAD) to its programming of oral and poster presentations.



STRATEGIC GOAL 2

Champion a Culture of Safety, Integrity & Compliance

UNIVERSITY SAFETY COMMITTEE

The University Safety Committee has continued to mature and develop into a functional entity that is improving the culture of safety across all facets of the university. Two significant changes were made in the sub-committees:

1 — We successfully combined the Institutional Biosafety Committee and the Biological Hazards Committee into a single committee that will retain the title of Institutional Biosafety Committee, chaired by John Morrey, with Brian Gowen as the Vice Chair.

2 — The University Safety Committee proposed and approved the formation of a committee to address specifically risk and safety in field research, teaching and activities. This new committee is chaired by Matt Bunnell from the College of Agriculture and Applied Sciences. The Field Safety Committee is a temporary subcommittee with a two-year charge comprised of eight members from the College of Agriculture, the College of Engineering, the College of Humanities and Social Sciences,

the College of Natural Resources, the College of Science and Outdoor Recreation/Student Services.

INSITUTIONAL REVIEW BOARD

Fiscal Year 2018 saw continued growth in the number and complexity of human subjects research protocol reviews.

The Institutional Review Board received 50 additional requests for exemption and 20 additional expedited reviews over the last year, which itself was a record year.

While the IRB typically receives two or three protocols requiring initial review by the convened IRB each year, last year the convened IRB reviewed 10 protocols — demonstrating that USU's human subjects research portfolio is growing in terms of the complexity and risk level. The number of Reliance Agreements initiated has tripled over the course of the last two years — a number that will continue to grow as new regulations come into effect which mandate single IRB review.

STRATEGIC GOAL 3

Support Technology Transfer Efforts

Technology Transfer Services (TTS) has been under the direction of USU's Office of Research and Graduate Studies since September 2016. During this time TTS has been focused on shepherding USU innovations from concept to the market. Our continued goal is to provide faculty, staff and students training, consultation, business services, strategic protection and commercialization of USU discoveries and inventions.

To achieve our goal, we focus on three strategies:

1. Communication with USU faculty and administration
2. Commercialization of inventions, including intellectual property protection and transfer
3. Promotion and outreach to university stakeholders and outside parties

STRATEGY 1: Communication with USU faculty and administration

Gaining the trust and cooperation of faculty and educating researchers regarding commercialization challenges is key to TTS's mission and success. TTS is focused on serving and connecting with university administration

and stakeholders as well as all actual and potential USU inventors, and establishing faculty relationships.

STRATEGY 2: Commercialization of inventions, including intellectual property protection and transfer

Much of TTS's everyday work is related to this strategy and is a significant part of the office's core activity. Key elements include: 1) reaching out to potential licensees and partners; 2) working with inventors in furtherance of commercialization; 3) coordinating with and assisting USU's Office of General Counsel with regard to patent and other protection, contract negotiation, and contract drafting (including licenses, non-disclosure agreements, material transfer agreements, and inter-institutional agreements); and 4) related activities. Much of this activity is well-established, but there are areas for growth and improvement.

STRATEGY 3: Promotion and outreach to university stakeholders and outside parties

While all university technology

commercialization offices reach out to potential licensees with regard to particular technologies, they vary in their approach to general marketing and promotion; larger offices usually conduct more, smaller offices usually conduct less. TTS is a small office, but nonetheless we have resources available for promotion and outreach.

TECHNOLOGY TRANSFER TEAM

Christian Iverson, director

Christian provides leadership and strategic direction to the team and manages USU's life sciences technologies.

Alan Edwards, manager

Alan manages USU's engineering and physical sciences technologies.

With the departure of Kate Astle, Alan and Christian have been tasked to also manage USU's software and social sciences technologies.

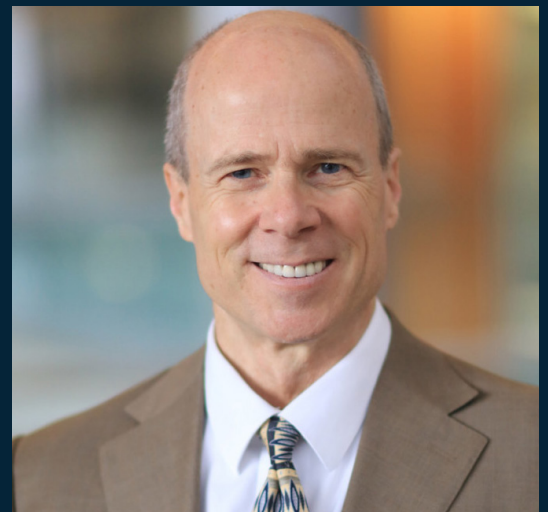
Student Analysts

At any one time, TTS employs two or three part-time undergraduate students to conduct market analyses and IP searches of newly disclosed technologies. In addition to directly assisting the office, the students develop research and analytic skills that can be translated to their fields of study.

The TTS team is dedicated to providing the services and support to protect and promote the commercialization of discoveries and technologies invented at Utah State University that positively impact the world. Being a small team, out of necessity TTS focuses its time and effort on the most impactful opportunities and tasks.



CHRISTIAN IVERSON
Director



ALAN EDWARDS
Technology Transfer Manager

Support from other offices

USU's Office of General Counsel works hand in glove with TTS to provide patent, trademark, copyright, or other intellectual property protection for USU technologies, and the Office of Research & Graduate Studies provides invaluable leadership, business services, and strategic and administrative support. While we are a small team, our access

to and support from other offices gives us the resources needed to execute our mission.

USU's long history and continued level of innovation and ground breaking research translate into lasting impact in the world. TTS will continue to serve our university community to assist moving these innovations from concept to the market. TTS looks forward to another productive year.



STRATEGIC GOAL 4

Enhance Quality, Quantity & Inclusiveness of USU's Graduate Student Programs

RECRUITMENT WEEKEND

The Recruitment Weekend Visit event was started in 2017 in response to the annual Utah State University New Student Survey finding that 34% of candidate students who visited campus were more likely to enroll because of their visit. Additionally, 22% of candidate students who participated in the 2018 recruitment weekend felt that they could not make an acceptance decision prior to visiting campus.

The second Graduate Recruitment Weekend was held February 15-17, 2018. Ten departments participated, bringing a total of 53 students to campus to get to know the programs and opportunities available to them at USU.

Centralized programming for the event was provided by RGS and included a welcome breakfast, campus tours, a small social with current graduate students, optional





Graduate Student Recruitment Weekend brought 53 prospective students from 10 department for a two-day campus visit. The weekend is designed to support graduate programs with centralized hosting and programming, making this effective recruitment tactic much easier to implement.



Graduate Student Recruitment Bootcamp provided nine months of hands-on training to Graduate Program Coordinators and other staff in best practices in communication with potential students.

recreational activities such as skiing or a folklore tour of Logan, and several meals. The social was a new addition this year, based on participant feedback indicating that opportunities to meet current graduate students is a priority.

After the event, participants were asked to share their impression of Utah State University on a scale of 1 to 10. Ninety-five percent of participants rated USU as an 8 or higher, and 30% of participants rated USU as highly as possible, at a 10. When asked to rate their satisfaction with activities they participated in during the weekend, 100% of participants rated that they were satisfied or very satisfied with the social, department visit, and optional recreational activities; 98% indicated that they were satisfied or very satisfied with the morning welcome breakfast. Of the candidates accepted for admittance, 42% enrolled at USU.

RECRUITMENT BOOTCAMP

Bootcamp is a nine-month graduate student recruitment program designed to help departments meet goals of increasing their quantity, quality, and diversity of enrolling students. The program uses fundamental marketing principles and a guided learning approach to improve the recruitment process, train personnel in charge of recruitment at the department level, and move students towards enrollment. It consisted of a series of workshops moving through the stages of the recruitment funnel – awareness, interest, consideration, and yield.

Thirty-one departments participated in Bootcamp. After the end of the nine-month program, participants were sent an evaluation survey. Of those that responded, 86% would recommend Bootcamp to a colleague and 100% would attend an advanced Bootcamp course. When asked to rank the helpfulness

of each topic, the highest rated topics were, in order, Gradschoolmatch.com, Search Engine Optimization (SEO), Website Optimization, and Messaging/Creating Content.

SGS WEBSITE REDESIGN

In the summer of 2017, RGS built a new website for the School of Graduate Studies. The new site was built to be user-centered, with distinct routes of behavior flow for each main audience: prospective students, current students, Graduate Program Coordinators, and faculty.

Improvements were based on web analytics, best practices, and usability testing. Usability testing involved hands-on interviews with incoming graduate students, current graduate students, international students, faculty, GPCs, and SGS staff. Feedback was used to decide page content, navigation, and design.

The Graduate Training Series, now in its fifth year, provides centralized training opportunities in mentoring, career development, and life management to all interested graduate students.

GRADUATE TRAINING SERIES

The Graduate Training Series (GrTS) provides monthly opportunities for graduate students to augment their studies with professional development that will prepare them for the next steps in their career paths. Drawing from experts across campus, GrTS provides graduate students from across disciplines skillsets that will set them apart as strong professionals in their fields.

In addition to the workshops, resources were made available online (grts.usu.edu) to those who were not able to attend.

Sessions for 2017-18 included:

- Tips for Teaching Undergraduate Courses
- Common Grad School Mistakes and How to Avoid Them
- Resilience Lite: Strategies for Staying



Emotionally Healthy

- Best Practices for Conference Presentation
- Prepare for Your Career Outside Academia
- Your Path to Maintaining a Professional Online Presence

WORKSHOP SUPPORT

In addition to RGS-sponsored events, the office periodically supports other central programs for graduate students. In November and January, RGS helped support a negotiations skills class for graduate students. Both sessions filled up, with wait lists.

Although the Presidential Doctoral Research Fellows program recruitment was paused for 2018, programming for exisiting fellows continued, with well-attended socials and professional development opportunities

provided throughout the year.

GRADUATE SOCIALS

Monthly graduate student socials held during the 2017-18 academic year provided many opportunities for students to meet with peers outside of their programs. Held at a country club, each social included free food and entertainment, which created an informal and friendly setting. In addition to RGS support, the socials were co-hosted by one or more of the university's colleges. Some colleges chose to host games, such as trivia, or supply live music.

The 2017-18 academic year featured eight student socials with an average attendance of 125 students. At the beginning of the year, average attendance was around 100 students,

RGS provided support and programming for a variety of training events for graduate students.





but by the end of the year the average had climbed to nearly 150. Based on feedback from students who attended the socials, five events are scheduled for 2018-19 with a focus on providing a variety of activity options in different venues.

COMMENCEMENT

In 2018, USU made significant changes to its commencement plans and structure. As a result, the graduate student commencement ceremony held in May 2018 is the final one, as the colleges are now responsible for the commencement of their graduate students.



2018 marked the final year of a dedicated graduate student commencement ceremony.

STRATEGIC GOAL 5

Enhance USU's Undergraduate Research Program

Last year continued to see growth to USU's undergraduate research program, with high levels of student participation in presentation opportunities. In 2017-2018:

47 STUDENTS PRESENTED AT THE ANNUAL UTAH CONFERENCE ON UNDERGRADUATE RESEARCH

The Utah Conference on Undergraduate Research (UCUR) is modeled after the National Conference on Undergraduate Research (NCUR) and organized by a committee of representatives from educational institutions across the state. The conference celebrates academic, professional, and personal achievements resulting from undergraduate research projects or creative endeavors.

32 STUDENTS PRESENTED AT RESEARCH ON CAPITOL HILL (ROCH)

Utah's Research on Capitol Hill is an annual celebration of undergraduate research held in the Rotunda of the State Capitol. Organized by USU, it features the two public research universities' students and their research projects. Students of all disciplines from around the state share the results of their

investigations with legislators.

24 STUDENTS PRESENTED AT THE FALL STUDENT RESEARCH SYMPOSIUM

The Fall Undergraduate Research Symposium offers an opportunity for Undergraduate Researchers of all backgrounds and experience to present their research in an open and friendly environment.

45 STUDENTS PRESENTED AT THE NATIONAL CONFERENCE ON UNDERGRADUATE RESEARCH (NCUR).

With travel support provided by RGS, students presented at this annual conference, a unique environment for the celebration and promotion of undergraduate student achievement. The conference provides models of exemplary research and scholarship, and helps to improve the state of undergraduate education. NCUR has become a major annual event drawing more than 2,000 undergraduates, faculty and administrators to hear and discuss undergraduate creative and scholarly work.



USU students had the opportunity to present at a variety of conferences and events, including the Fall Student Research Symposium (above) and Research on Capitol Hill (below).



80 USU UNDERGRADUATES PRESENTED AT OTHER CONFERENCES

Students received funding from our office to travel to present their work at regional, national, and international professional conferences (other than NCUR)

345 STUDENTS PRESENTED AT THE STUDENT RESEARCH SYMPOSIUM (SRS) AS PART OF RESEARCH WEEK

Each April during Research Week, Student Research Symposium provides space and resources for over 300 graduate and undergraduate presenters to share their research with peers, faculty judges and the campus community. In cooperation with Year of the Arts, 2018's SRS incorporated performance and pop-up gallery presentations. RAD offered, and will continue to offer, a unique opportunity for students in the Caine College of the Arts to share passion for research and creative activity with the wider community and show that art also has a place in research.

67 STUDENTS RECEIVED URCO GRANTS

We funded independent student research projects with the Undergraduate Research and Creative Opportunities Grant (out of 105 applications). The awards provide a one semester, \$1,000 scholarship, to support original research, scholarship, or creative work by USU undergraduates with the guidance of a faculty member. Proposals may also include requests for additional funds to cover the

costs of equipment, supplies, and project-related travel.

28 NEW UNDERGRADUATE RESEARCH FELLOWS WERE NAMED

The Undergraduate Research Fellowship provides an opportunity for Utah State University students to be directly involved in research throughout all four years of their collegiate career. Undergraduate Research Fellows are given an annual \$1,000 stipend, renewable upon performance and are paired with a mentor who will discuss and assist students with their research. This new cohort of students began their journeys of vigorous research involvement as undergraduates at USU

124 STUDENTS RECEIVED THE RESEARCH SCHOLAR TRANSCRIPT DESIGNATION

The Undergraduate Research Scholar Transcript Designation is given to more fully recognize the accomplishments of USU's undergraduate researchers.

One of our URFs, David Maughan, earned an Honorable Mention for the Goldwater Scholarship.

In addition to these accomplishments, Scott Bates wrapped up a seven-year term as director of USU's Undergraduate Research Programs, during which time the scope and impact of UGR at USU grew notably in terms of participation across the disciplines, and also in terms of national reputation.



CHAPTER 2

Research Council

Actions of Research Council in FY 2018

USU Safety Committee

RGS held a department head forum in August and campus safety questions were raised about individual responsibilities. Mark McLellan relayed to Research Council that the USU Safety Policy references that if a department has a program, activity or space under your supervision, you are required to know about hazards that might exist and bring awareness to those who use/work in these areas.

RGS FY2018 Budget Overview Presented

An overview of the F&A allocations and the programs/expenses supported are as follows:

- Direct college support 32.9%
- Commercialization (USTAR O&M, USTAR

- bond and TTS operating exp) 26.7%
- Central Admin Functions 11.2%
- Core/Central Laboratories 9.7%
- Research Services and Programs 6.3%
- Direct Student Support 5.5% (Graduate and Undergraduate)
- Compliance Personnel Support 5%
- Support for Education & Training 2.8%

Safety Committee Review of Research Data

USU compared information on how peer institutions are handling research data. As data becomes public, some data components within studies should not be made public and are considered illegal to make public. USU has developed a "Deposit Agreement" form that has been approved by USU legal counsel. This form complies with USU Policy 588: Research Data.

The purpose of the agreement is to provide necessary assurance from the PI regarding the Research Data prior to depositing the Research Data into USU's Open Access Institutional Repository (Digital Measures). This information also includes recombinant DNA that must also be tracked.

Qualtrics Contract Update

The renewal of USU's contract was negotiated at a three-year fixed rate, and 5% cap. College of Agriculture and Applied Sciences has generously agreed to help support the cost.

Tuition Expenditures on Contracts & Grants

President Cockett requested that the RGS Office extract a report of actual tuition expenditures on contracts and grants, by college, for the past three years. A positive trend resulted in the College of Science, and the President asked that colleges continue to focus on this effort to ensure that where possible, tuition should be put on grants versus the central pool.

Responsible Conduct of Research (RCR) Training

In reviewing training records, RGS found that less than 50% of students completed this training as required by NIFA, NIH and NSF. Mark reminded the Council that undergraduate students hired on grants must complete this training. NIH also has a requirement that "face-to-face" training is necessary. RGS offered a Spring Forum on April 3 in the Library, to assist with students meeting this requirement. The remaining requirements can be done online and resolved by the end of the Spring 2018 semester. Most do not know this is required training, so RGS compiled a list of students that need the training and sent reminders to department heads with information about the

Spring Forum. RGS now includes this reminder in New Faculty Orientation each fall, and SPO also assists with this action when new grants are awarded.

Conflict of Interest

All those involved with Sponsored Research are notified annually to complete a Conflict of Interest (CoI) form. Kualii also generates an automatic notification on new grant submissions, however, RGS is working on an approach to streamline the annual forms, with input from the college and possible integration of this form within Kualii.

F&A Budget Overview

RGS F&A draft budget summary for FY2019 was shared with Research Council. The primary change from previous years will include returning the balance of F&A funds back to the colleges instead of holding them centrally in RGS. Mark commented that changes in FY2019 include a four-year phase-out of the PDRF initiative, no allocation for TEDxUSU, IGNITE, Research Awards Gala, USU's Herbarium, Center for Women and Gender, and USU Get Away Special. It was referenced that MOUs have special allocations with firm timelines and Faculty Startup funding referenced in the budget includes the gap years.

Possible Reporting Change (ONR to HHS)

Discussions continue with the Office of Naval Research (ONR) about a potential campus reporting switch to the Office of Health and Human Services (HHS). Preliminary approval has been relayed to USU, which will enable USU to negotiate a fixed rate for 4-5 years. Implementing this reporting shift will take 1-2 years.



CHAPTER 3

By the Numbers

Utah State University Profile

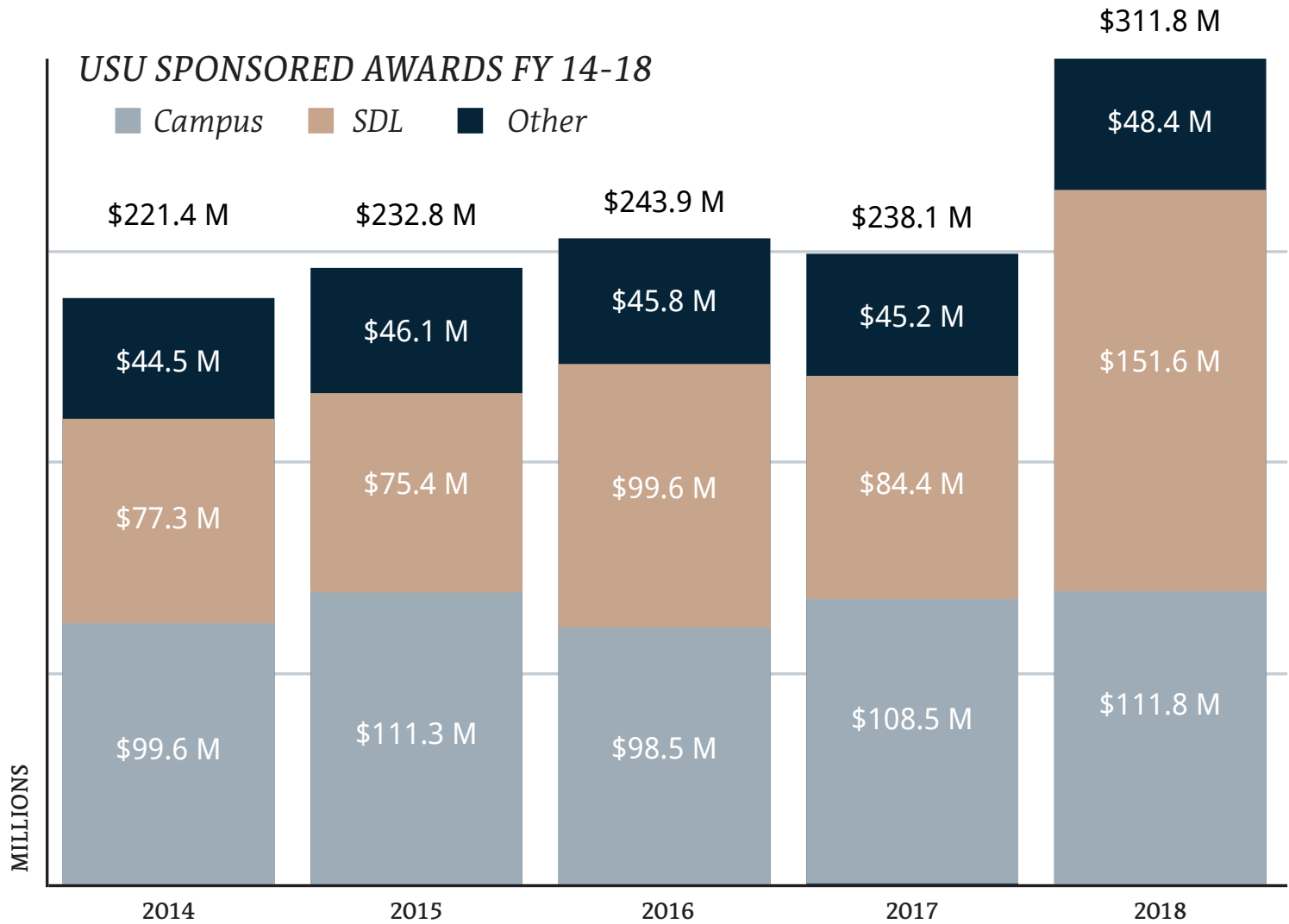
Utah State University is Utah's land-grant and space grant institution. Its Carnegie classification is RU/H, a research university with high research activity. USU consists of the Logan Campus, a regional college (USU-Eastern) and four regional campuses (Brigham City, Moab, Tooele, Uintah Basin).

USU has eight academic colleges: Caine College of the Arts, College of Agriculture and Applied Sciences, Jon M. Huntsman School of Business, Emma Eccles Jones College of Education and Human Services, College of Engineering, College of Humanities and Social

Sciences, S.J. and Jessie E. Quinney College of Natural Resources, and the College of Science. USU also has a highly productive Extension program, that operates in 28 of Utah's 29 counties.

Including the regional campuses and distance education system, Utah State has an enrollment just under 28,000, with just more than 3,000 of those as graduate students. USU is consistently ranked highly as a high value university for graduate students and undergraduates.

Sponsored Awards



USU SPONSORED AWARDS FY 14-18

	FY14	FY15	FY16	FY17	FY18	Change over LY
Campus	\$99,626,736	\$111,297,272	\$98,540,187	\$108,500,244	\$111,772,405	3%
SDL	\$77,297,145	\$75,352,922	\$99,581,109	\$84,372,932	\$151,558,668	44%
Other	\$44,491,652	\$46,144,128	\$45,812,584	\$45,241,795	\$48,448,656	7%

USU Grand Total	\$221,415,533	\$232,794,322	\$243,933,880	\$238,114,971	\$311,779,729	24%
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COMPARATIVE DATA

	(\$M) Research Expenditures		Research Expenditures Ranking		Tenured Faculty		Tenure-Track Faculty	
	FY 16	FY 17	2016	2017	2016	2017	2016	2017
Colorado State University	331.9	338.4	71	70	759	756	759	756
Kansas State University	193.2	196.5	107	109	527	537	527	537
Montana State University	112.1	129.6	143	140	333	339	333	339
New Mexico State University	114.6	106.0	142	148	385	378	385	378
Oregon State University	254.3	267.1	87	87	593	614	593	614
University of Nebraska—Lincoln	294.9	302.2	80	77	768	761	768	761
University of Nevada—Reno	95.5	105.9	152	149	378	377	378	377
University of Wyoming	112.1	125.0	144	142	413	386	413	386
Washington State University	334.1	356.9	70	66	639	624	639	624
Utah State University	180.6	187.3	114	116	482	488	482	488

Undergrad Enrollment		Grad Enrollment		% Grad Enrollment		Grad Students per Faculty		Total Faculty		Expenditures per Tenured Faculty (\$K)	
2016	2017	2016	2017	2016	2017	2016	2017	2016	2017	FY 16	FY 17
25,177	25,523	6,679	7,560	21.0%	22.9%	6.5	7.3	1,026	1,035	437	448
19,472	18,488	4,307	4,307	18.1%	18.9%	5.5	5.5	788	780	367	366
14,340	14,652	2,019	1,961	12.3%	11.8%	4.1	3.9	495	500	337	382
12,027	11,713	2,825	2,719	19.0%	18.8%	5.3	5.2	533	521	298	280
25,327	25,838	5,027	5,058	16.6%	16.4%	5.4	5.5	930	914	429	435
20,833	20,954	5,064	5,125	19.6%	19.7%	4.7	4.7	1,088	1,080	384	397
18,191	18,348	3,162	3,309	14.8%	15.3%	5.2	5.1	613	645	253	281
9,788	9,791	2,578	2,606	20.8%	21.0%	4.4	4.9	583	532	271	324
24,904	25,277	5,238	5,337	17.4%	17.4%	5.9	6.0	886	883	523	572
24,838	24,618	3,280	3,061	11.7%	11.1%	4.7	4.2	704	721	375	384

Carnegie Ranking		F&A Rate		Doctorates Awarded		MS Awarded	
2015	2018	FY 18	FY 19	2016	2017	2016	2017
R1	R1	52.0%	52.0%	377	378	1,745	1,751
R1	R1	52.0%	52.0%	303	294	1,109	990
R2	R1	44.0%	44.0%	79	60	528	470
R2	R2	48.0%	48.0%	131	120	794	746
R1	R1	47.0%	47.0%	351	361	871	942
R1	R1		55.5%	464	442	859	852
R2	R1	44.0%	44.0%	179	195	622	661
R2	R2	44.5%	44.5%	222	216	463	425
R1	R1	53.0%	53.0%	464	560	741	892
R2	R2	42.6%	45.0%	108	102	904	830

Performance Metrics

This page will be
updated when the
information is available.

RGS Program Reports and Metrics

RGS PORTION OF NEW FACULTY STARTUP COMMITMENTS

College	Total	Average		FY 14	FY 15	FY 16	FY 17	FY 18
College of the Arts	\$10,152	\$2,538	Yearly Total	\$10,152				
			Yearly Average	\$2,538				
College of Agriculture	\$1,544,923	\$73,568	Yearly Total	\$149,628	\$159,334	\$177,596	\$382,200	\$676,165
			Yearly Average	\$74,814	\$39,834	\$44,399	\$76,440	\$112,694
School of Business	\$3,908	\$1,954	Yearly Total	\$1,954	\$1,954			
			Yearly Average	\$1,954	\$1,954			
College of Education & Human Services	\$1,956,868	\$45,509	Yearly Total	\$84,571	\$239,505	\$215,562	\$857,560	\$559,669
			Yearly Average	\$21,143	\$47,901	\$35,927	\$45,135	\$62,185
College of Engineering	\$3,414,031	\$111,130	Yearly Total	\$1,544,389	\$413,287	\$312,985	\$419,606	\$723,764
			Yearly Average	\$118,799	\$137,762	\$78,246	\$104,902	\$103,395
College of Humanities and Social Sciences	\$417,852	\$13,479	Yearly Total	\$213,026	\$48,157	\$81,644		\$75,025
			Yearly Average	\$19,366	\$8,026	\$10,205		\$12,504
College of Natural Resources	\$1,405,962	\$93,731	Yearly Total	\$165,400	\$481,395	\$424,131	\$87,616	\$247,420
			Yearly Average	\$82,700	\$120,349	\$84,826	\$87,616	\$82,473
College of Science	\$3,666,165	\$174,579	Yearly Total	\$923,599	\$173,000	\$305,550	\$843,162	\$1,420,854
			Yearly Average	\$230,900	\$57,667	\$152,775	\$210,790	\$177,607
Utah State University	\$12,419,861	\$75,731	RGS Total Commitments	\$3,092,719	\$1,516,633	\$1,517,468	\$2,590,144	\$3,702,897
			Average Commitment/Total Startups	\$75,432/41	\$58,364/26	\$56,938/27	\$78,489/33	\$94,946/39

SEED GRANTS

Grant Experience for Mentorship (GEM) Grants

Researcher	Dept	College	Project Title	Co-PIs	(\$) Amount
Alyson Lavigne	TEAL	College of Education and Human Services	The Effective Feedback Project	Mentor; Thomas L. Good	\$10,000.00
Melissa Vigneault	ARTID	College of the Arts	Sugar Giver: Hannah Wilke and the Visual/Cultural Legacy of New York City		\$7,754.20

Research Catalyst (RC) Grants

Researcher	Dept	College	Project Title	Co-PIs	(\$) Amount
Patrick Belmont	WATS	College of Natural Resources	Developing a generalizable model to predict post-wildfire erosion impacts on downstream fish habitat conditions		\$20,253.76
Emily Burchfield	ENVS	College of Natural Resources	Finding Balance: The Relationship Between Diversity and Agricultural Production		\$19,899.00
Jody Clark-Midura	ITLS	College of Education and Human Services	Coding in Kindergarten: An Exploratory Study of Coding Toys in Kindergarten Classrooms	Jessica Shumway, Victor Lee	\$19,960.88
JH Francois Dengah	SSWA	College of Humanities and Social Sciences	The Origins and Effects of Sociocultural Stress: A Pilot Study on the Psychological and Physiological Outcomes of Secular and Religious Gender Role Negotiations in Urban Brazil		\$19,998.20
Stephanie Knollhoff	CDDE	College of Education and Human Services	Cortical Activation of the Pharyngeal Swallowing using fNIRS	Ron Gillam	\$20,000.00
Andrew Kulmatiski	WILD	College of Natural Resources	A protocol for finding plant growth promoting and suppressing soil organisms		\$19,922.00
Anne Larson	SPER	College of Education and Human Services	Exploring Early Language Screening and Progress Monitoring Tools for Use with Spanish-English Bilinguals		\$19,993.87
Amy Odum	PSY	College of Education and Human Services	Discounting of Delayed Rewards and Nicotine Taking in a Rat Model of Impulsivity		\$19,933.28

Jennifer MacAdam	PSC/ NDFS	College of Agriculture & Applied Sciences	Understanding the Increased Omega-3 Fatty Acid Concentration in Legume-Fed Beef	Korry Hintze, Robert Ward	\$20,000.00
Andrea Hawkman	TEAL	College of Education and Human Services	Understanding the Influence of Race Based Stress on Pedagogical Decision Making	Ryan Knowles	\$20,000.00
Yin Liu	FCHD	College of Education and Human Services	A Preliminary Study to Test the Impact of HPA Axis and ANS Synchrony on Mental Health in Dementia Family Caregivers	Beth Fauth, Christian Geiser	\$19,989.00
Kristin Searle	ITLS	College of Education and Human Services	Constructing Tools for Data-Driven Science	Colby Tofel- Grehl	\$20,000.00
Areti Kiara	MAE	College of Engineering	Projectile Impact with Cavity Control		\$20,000.00
Karen Beard	WILD	College of Natural Resources	Plant Community and Greenhouse Gas Flux Response to Competing Effects of Climate Change in the Arctic		\$20,000.00
Soren Brothers	WATS	College of Natural Resources	Assessing the Effects of Climate Change on the Net Metabolism and Carbon Cycling of Arctic Lakes	Trisha Atwood, Janice Brahney, Phaedra Budy	\$19,913.00
Jia Zhao	Math & Stats	College of Science	Modeling and Simulation of Cell Migration on Patterned Substrates		\$19,200.00

TECHNOLOGY TRANSFER FY 14-18

	<i>FY18</i>	<i>FY17</i>	<i>FY16</i>	<i>FY15</i>	<i>FY14</i>
Disclosures:	71	43	59	45	68
First Time Faculty Disclosures:	8	11			
IP Applications:					
Non-Provisional	15	12	13	26	17
Provisional	13	11	8	16	31
Trademark	5			2	
Copyright	2			1	1
Biological Material	13	3	14		
Plant Cultivar	5				
Foreign		1	1	9	16
PCT	2	2	5	9	
PVP					
Patents Issued:	14	14	27	17	12
New Licenses:	33	29			
Revenue:	\$1,443,674.35	\$1,783,600.00	\$1,117,014.00	\$969,769.00	\$1,012,412.05
Distributions					
Department	\$1,013,578.13	\$989,288.08			
USU	\$148,528.13	\$505,226.85			
Inventor	\$163,619.83	\$167,403.15			
TTS	\$80,424.67	\$94,081.54			
Offset Expenses	\$37,523.61	\$27,601.05			

FACILITIES AND ADMINISTRATION ALLOCATION (IN THOUSANDS)

F&A Revenue	FY2018 Budget	% of Total Allocation	FY 2018 Actuals	% of Total Budget
USU Eastern Revenues — 100% Returned	145.0		174.2	
30% to USU Colleges/Dept/P.I.s	3,749.5		3,666.1	
70% to Central F&A Pool	8,923.8		8,554.2	
Total F&A Generated	12,818.3		12,394.5	
Funds Available for Distribution by RGS				
F&A Revenues in Central Pool (70%)	8,923.8		8,554.2	
Unused Prior Period Allocations Returned to Central Pool	50.0		182.7	
Carry Forward	14.7		77.6	
Total F&A Available for Distribution	8,988.5		8,814.5	
RGS Allocations from Central Pool (70% of Central F&A pool)				
Discovery				
Direct College Support	2,888.3		2,912.7	
Support for Commercialization	1,835.9		1,677.9	
Core/Central Laboratories	872.2		811.7	
Support for Research Services and Programs	401.3		398.3	
Total Discovery	5,997.7	66.73%	5,800.6	65.81%
Administration				
Support for Central Administration Functions	1,022.7		1,031.3	
Support for Research Services and Programs	116.0		130.3	
Compliance Personnel Support	452.5		394.3	
Support for Education and Training	30.0		30.0	
Total Administration	1,621.1	18.04%	1,585.9	17.99%
Engagement				
Support for Commercialization	561.0		546.3	
Support for Education and Training	167.4		141.0	
Total Engagement	728.4	8.10%	687.3	7.80%
Learning				
Direct College Support	36.0		36.0	
Direct Student Support	490.0		438.0	
Support for Research Services and Programs	45.9		38.1	
Support for Education and Training	68.9		68.9	
Total Learning	640.8	7.13%	581.0	6.59%
Total F&A Allocations	8,998.0	99.99%	8,654.8	98.19%
FY2018 (Over)/Under Allocated	0.5	0.01%	159.6	1.81%



CHAPTER 4

Division Reports

Environmental Health & Safety

ADMINISTRATION

The Environmental Health and Safety Office has had a successful year with an excellent team of professionals. Cameron Mix, the safety professional working on the USU Eastern campus, announced that he would be taking a position with Nevada Power. The search for his replacement, chaired by the EH&S office with representation from the Price, Moab and Blanding campuses, is underway and we hope to have a person in place by the beginning of 2019.

Chemical Hygiene

The EH&S Office has developed and published a hybrid online/face-to-face training program for initial laboratory safety training. During the fiscal year ending in 2018, this course trained 403 people in 22 separate day-long classes through the traditional face-to-face format. As the new on-line version becomes available to students and faculty early in 2019, we hope to significantly reduce EH&S staff time commitments.

The EH&S Office responded to 42 emergency indoor air quality issues. The majority were resolved within a few hours. Six of the problems involved natural gas leaks that required facility maintenance to shut down the gas and effect corrective action. Five exposure assessments of ventilation systems in laboratories and the arts studios were conducted to determine if preventive corrective action was warranted. The exposure assessment of the Photography Studio in Fine Arts was used to justify a major ventilation upgrade.

Biological Safety

The EH&S Office personnel visited all areas where select agent were used and conducted 16 formal inspections of Select Agent areas and BSL 2/3 laboratories. There were a total of 327 people trained to work with select agents and biological hazards.

Industrial Hygiene

The EH&S Office continued oversight for OSHA-required occupational safety programs, and coordinated with safety representatives within USU Facilities and the Space Dynamics Laboratory. EH&S provided 261 people with OSHA-required training in forklift operation, lock-out-tag-out,

confined space, respiratory protection, hazard communication and electrical safety training.

OSHA inspectors visited USU to review our 300 Log, a record of all reportable accidents occurring at USU or in activities directly related to employment at USU.

Accident Investigation

In FY18, the EH&S Office investigated 71 minor accidents where injured employees simply needed to be reminded of safety protocols already in place. Departments were asked to be diligent in initial training and assure that every employee is aware of and following safety practices.

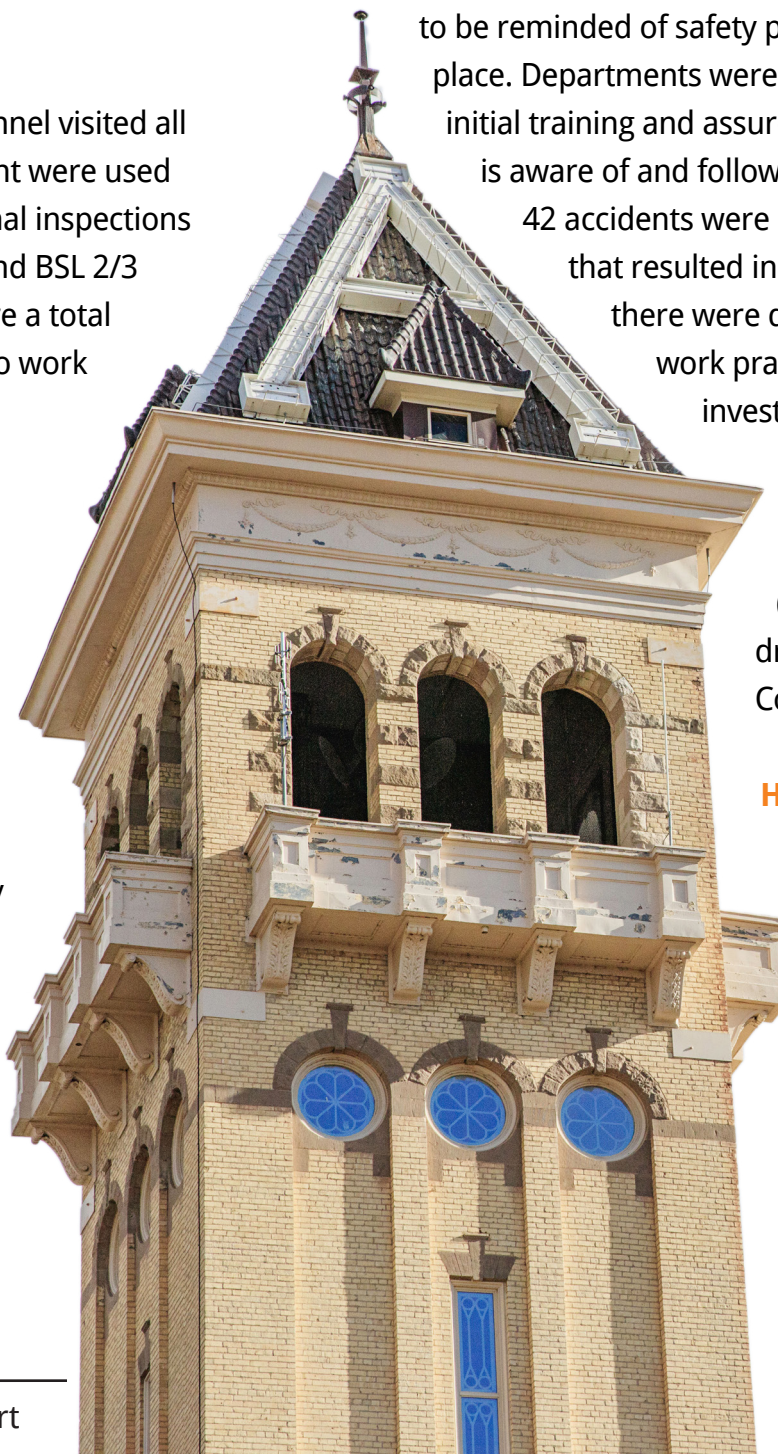
42 accidents were investigated by EH&S

that resulted in serious injuries or there were deficiencies in existing work practices. These accident investigations have led to

a number of new policies such as the Off-Road-Vehicle (OHV) policy currently in draft with the Field Safety Committee.

Hazardous Waste

The EH&S Office collected 7,562 containers from 476 locations across campus. This waste was consolidated into 460 drums of waste totaling 70,861 pounds. Members from the EH&S staff conduct



weekly and monthly inspections of hazardous waste operations to maintain full compliance with all local, state and federal regulations.

Asbestos

EH&S personnel developed, monitored and managed two major asbestos abatement projects totaling \$310,000 and 22 minor asbestos abatement projects totaling \$70,000. Projects occurred on the Logan campus and in university buildings throughout the state.

Radiation

All 29 radioactive material areas on campus were inspected and re-certified for safe use of isotopes. The 42 existing research personnel working in these areas received annual refresher training and 29 new investigators received the initial training.

Every isotope on campus was inventoried and recorded in the radioactive isotope inventory. 18 shipments of new isotopes were received during the fiscal year while the removal and disposal of decayed and unwanted isotopes continued. The continual decreases in radioisotope inventory will continue to reduce the regulatory burden and increase the overall safety of the program.

Phase I Site Assessments

The EH&S Office investigated four properties that were purchased or donated to the university for levels of environmental liability. The sites were scattered across the state and included a residential area, two agricultural plots, and a recreational parcel.

Air Quality

The EH&S Office compiled the annual emission inventory for all of the priority pollutants (NO_x, SO_x, particulates, CO, and VOCs) released by university activities. The report was submitted to the State DAQ. The greenhouse gas (CO₂, methane, Freon, etc.) emissions were reported to the Environmental Protection Agency (EPA) and the Association for the Advancement of Sustainability in Higher Education in Compliance with the President's Climate Commitment.

Water Quality

The stormwater drainage system on the Logan campus was mapped and a commission was initiated to investigate the extent and current status. The EH&S Office was instrumental in the mapping and understanding the potential for emergency response to spills leaks and releases from chemical storage areas on campus. EH&S personnel continued the yearly inspection of all chemical storage areas that could impact stormwater.

Emergency Response

EH&S personnel responded to, contained and cleaned up two mercury spills inside laboratories and four fuel/oil spills in parking lots and roadways. EH&S personnel assisted laboratory personnel in the cleanup and containerization of general chemical spills on six separate occasions. 'Midnight Dumping' has become an increasing problem on campus that has required EH&S Personnel to identify and remove containers of hazardous waste abandoned at various locations on three separate occasions.

Institutional Review Board

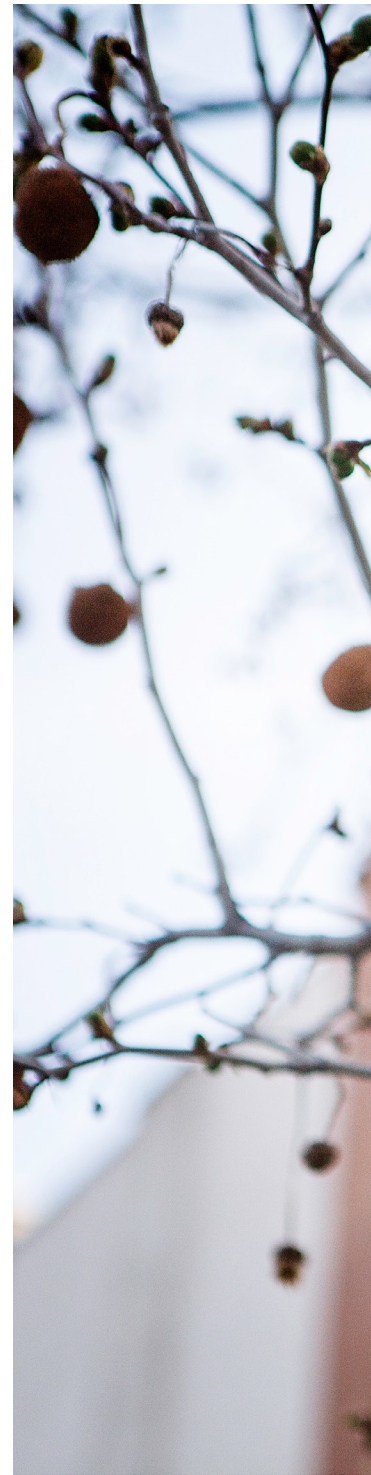
The Office for Human Research Protections in the Department of Health and Human Services released a new regulatory rule governing the operations of IRBs in 2017.

The updated Federal Policy for the Protection of Human Subjects substantially broadens the categories of exempt research, brings identifiable bio-specimens under the purview of the federal rule, updates requirements for documenting informed consent, requires single IRB review, and removes the need for annual approval of many expedited research projects. The Department of Health and Human Services has twice delayed implementation of the new policy, known as the Revised Common Rule. IRBs across the country expect that they will be permitted to implement this new rule in January 2019. The USU IRB has already made many updates consistent with the requirements relating to informed consent, single IRB review, and expanded exemption categories, and looks forward to making the remaining changes as the rule comes into effect over the course of the next academic year.

One of the changes the IRB has put in place in anticipation of the Revised Common Rule implementation is the adoption of SMART IRB. SMART IRB is an online Reliance Agreement portal which allows investigators to oversee the process of engaging in reliance agreements across the country, thus removing the need for two IRBs to review the same project. Utah State University was one of the earliest adopters of SMART IRB, which has now

grown to include over 500 institutions. Paper-based reliance agreements are still available for investigators working with colleagues whose institutions have not adopted SMART IRB.

The IRB recently welcomed new temporary staff to its office, following the extended absence of one of its permanent staff members. Reina Forsythe and Gonca Soyer both joined the IRB office on a part-time temporary basis during the fall of 2018, and have been assisting with pre-reviews, exempt reviews, and continuation reviews. The IRB was very grateful to receive funding from President Cockett for a new IRB coordinator position, which will be posted in the coming weeks. That position's funding comes alongside funding for IRB member incentives, community member incentives, and the creation of a second IRB Chair position to account for the increased need for convened IRB reviews of protocols. According to recent numbers from Public Responsibility in Medicine



and Research (PRIM&R), the USU IRB's staffing is in the bottom 35th percentile of IRBs across the nation; these new funding opportunities will bring the IRB more in line with other IRBs carrying similar workloads.

Finally, the IRB will be rolling out a new online protocol management system within Kuali. The adoption, originally scheduled for the 2016-2017 academic year, was delayed while Kuali worked to put the finishing touches on

the protocols module and while the federal government delayed an implementation date for its Revised Common Rule. Soon, USU researchers will be able to complete their sponsored programs, conflict of interest, and protocols work all within the same interface. Trainings and rollout will occur fall 2018 into spring 2019, and information related to the transition will be disseminated on the IRB website and Ascend.



Research Development

Grantsmanship Training Program

The general grant writing seminar tailored to faculty was offered once in FY2018. In addition, a specialized grant writing seminar tailored to arts and humanities faculty was offered.

The general seminar, offered in the fall semester, was attended by 72 faculty and research support staff. The specialized arts and humanities seminar held during the spring semester had 19 faculty and research support staff attendees.

The grant writing seminar tailored to graduate students was also offered once in FY2018. The session was held in the fall and attended by 91 graduate and/or postdoc students.

All seminars were presented by AtKisson Training Group (<https://atg.consulting/>). The RGS office covered seminar expenses for participants, including material costs, lunch, and breaks.

Proposal Writing Institute

The Proposal Writing Institute completed training its tenth cohort in FY2018. Twelve faculty members were selected via a competitive application process to participate in this four-week, intensive proposal writing training opportunity.

Including this most recent cohort, the Proposal Writing Institute has trained 126 faculty over the past 10 years.

RGS Seed Grant Program

In FY2018 the RGS seed grant program received 41 applications and made 25 awards through its biannual competition cycles.

GEM received three applications and made two awards, RC received 32 applications with 16 awards, and SPARC received 0 applications and made 0 awards.



Sponsored Programs

Transition to electronic files, forms, and signatures

Sponsored Programs promotes electronic research administration and uses Kuali to maintain proposal, award, subaward, negotiation, and closeout documents and data. Proposal documents are uploaded into Kuali, reviewed, and then routed through Kuali for cognizant academic and institutional approvals. When a proposal is required to be submitted through grants.gov, Kuali's system-to-system capabilities are used to submit the proposal from Kuali to grants.gov. When an award, subaward, or internal form requires a signature, Sponsored Programs staff utilize DocuSign to gather electronic signatures.

Reports

Sponsored Programs continues to maintain a granular report of sponsored program proposals and awards which is accessible to college deans and updated monthly. The granular report allows

deans to see proposal and award numbers at the college, department, and individual faculty levels. In FY2019, utilizing Kuali, Sponsored Programs anticipates automating the reports process so that College Deans and Department Heads will receive monthly and annual reports via email of sponsored proposals submitted and sponsored awards received by their faculty.

Sponsored Programs and Sponsored Program Accounting

Sponsored Programs and Sponsored Program Accounting continue to work closely together on a number of issues, including timely set up of award accounts, award management, closeout of awards, audit concerns, fixed price residuals, nonpayment sponsors, and allowability of budgeted funds. The Director of Sponsored Programs and Manager of Sponsored Program Accounting continue to meet every other week to discuss concerns and improve internal processes.





2018 ANNUAL REPORT

**PREPARED BY
LARRY SMITH**
Vice President for Research

11.2 Promotion Advisory Committee (original)

When a faculty member with term appointment is being considered for promotion, the department head or supervisor shall, in consultation with the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean appoint a promotion advisory committee of at least five faculty members who have higher rank than does the candidate for promotion, a majority of whom are tenured. The department head or supervisor shall appoint a chair other than him or herself. The promotion advisory committee shall be appointed during the fall semester of the year upon the request of the faculty member who seeks promotion.

At least one member shall be chosen from outside the academic unit. If there are fewer than five qualified faculty members in the academic unit, the department head or supervisor shall, in consultation with the academic dean, or vice president for extension, and, where applicable, the chancellor or regional campus dean, fill the vacancies with qualified faculty of related academic units.

The department head or supervisor for each committee shall fill vacancies on the committee. The department head or supervisor may, with the approval of the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, replace members of the promotion advisory committee. The candidate may request removal of committee members subject to the approval of the department head or supervisor and the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean.

(Paragraph breaks not in the original)

11.2 Promotion Advisory Committee Formation and Meeting (track changes)

When a faculty member with term appointment is hired, , the department head or supervisor shall, in mutual agreement with the faculty member, the academic dean or vice president for extension, and, where applicable, the chancellor appoint a promotion advisory committee. The committee shall consist of at least five faculty members who have higher rank than does the candidate for promotion, a majority of whom are tenured, at least one of whom is a faculty member with a term appointment of higher rank than the candidate, and at least one member shall be chosen from outside the academic unit. Neither the Department Head nor supervisor may serve as the chair of the committee or as a member of the committee. The department head or supervisor shall appoint a chair of the committee other than themselves. The promotion advisory committee shall be appointed no later than the fall semester of the first year following the faculty member's hire date and the committee will meet at this time. The committee will meet annually during fall semester, at the faculty member's request, until promotion occurs.

Should there be fewer than five qualified faculty members in the academic unit, the department head or supervisor shall, in mutual agreement with the faculty member, the academic dean, or vice president for extension, and, where applicable, the chancellor fill the vacancies with qualified faculty members from closely related academic units.

The department head or supervisor may, with the approval of the academic dean or vice president for extension, and, where applicable, the chancellor, replace members of the promotion advisory committee provided that this is done in mutual agreement with the faculty member. The candidate may request removal of committee members subject to the approval of the department head or supervisor and the academic dean or vice president for extension, and, where applicable, the chancellor.

(Paragraph breaks not in the original)

405.11.2(2) Promotion Advisory Committee Meeting

In no more than three years following initial promotion to the next academic rank, the department head or supervisor will ensure a promotion advisory committee is in place or form a new one adhering to the process described in 405.11.2, to advise the faculty member in regard to aspects of promotion to the next academic rank. After the first meeting, subsequent meetings will be held at the request of the faculty member to provide counsel and guidance on promotion to the next academic rank. The promotion advisory committee shall meet at any time upon request of the faculty member, and in no case, later than the third year following the most recent promotion.

All promotion advisory committee members, including the faculty member, shall participate in all committee meetings, either physically or by electronic conferencing. An ombudsperson must be present in person or by electronic conferencing. At each meeting

the promotion advisory committee will ensure that the faculty member has an up-to-date and duly signed role statement. The committee will discuss with the faculty member their performance relative to their role statement in the context of meeting criteria required for achieving promotion to the next academic rank. When the faculty member wishes to be considered for promotion to the next academic rank, the promotion advisory committee shall meet upon request of the faculty member during the spring semester of the academic year prior to the academic year when the candidate's dossier will be reviewed for promotion.

Within 30 days after any meeting with the faculty member and their promotion advisory committee, the committee chair shall write a report on the guidance given to the faculty member based on the committee's discussion. All members of the promotion advisory committee and the ombudsperson shall read and sign the final draft of the report. The report will then be sent to the faculty member and their department head or supervisor, the academic dean or vice president for extension, and, where applicable, the chancellor.