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FACULTY SENATE MINUTES

April 1, 2019

3:00 – 4:30 pm

Merrill-Cazier Library, Room 154

Call to Order - Becki Lawver

[Approval of Minutes](#) – March 4, 2019

Minutes approved as distributed.

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

President Cockett briefed the committee on the legislative outcomes. USU focused and other state institutions were focused on the following: 1) growth; 2) student success; 3) access and affordability and 4) workforce. The state legislature did not focus on those four initiatives this year. Rather than getting funding that would come in and be allocated, USU was given dollars for specific items. \$2M ongoing funds was given for program development of CTE in Southeastern Utah in Carbon, Emery, Grand and San Juan counties. We are dropping the price of continuing CTE students enrolled in these programs. 4-H received \$1.2M to expand and hire 18 additional county and campus faculty. Also received funding through Utah Talent ready grants. Received \$500K ongoing and \$290K one time for GEO ITLS and programs at the Moab Regional Campus. Salary compensation awarded was 2.5% for all public employees. Higher Ed needs to collect 25% of what the state approved and this will be received through tuition. \$6.25M for all USU employees. Required to obtain another \$1.8M through tuition. Tuition will increase by 2.6% and will come from Logan and Regional Campus students. The students have agreed to and increase for the Logan and Regional Campus mathematics and statistics tutoring center. Currently USU is addressing General Education bottlenecks. One more position is being added to the AAEO office. This individual will work in the area of accommodations. Budget and Faculty Welfare committee, Staff Employee Associate, and the deans and department heads met to make recommendations on how to distribute the salary compensation. Recommendations were equal. Financial Officers and Budget Officers will receive the information soon. President Cockett announce the honorary degree recipients as well as the commencement speaker. Due to commencement being earlier and during the work week, parking and transportation will be working on the parking issue and information will be forthcoming.

Just wrapped up Central Committee - 74 cases reviewed. 68 case recommended to the Board of Trustees. Decisions will be coming out shortly. Bringing two Caine College of the Arts dean candidates back to campus this week. Lynne Aspnes will be here this week and Rachel Nardo will return next week.

A task force has been set up to look at the Center for Women and Gender studies. The President asked that group to reach out to focus groups. If individuals have an interest in meeting with the task force please contact Sue Grayzel or Christy Glass. Report should be to the President and Provost by June.

Information

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

Two General Education designations were approved. APEC 1400 (BSS); ELED 4041 (CI) Academic Standards – no meeting/report.

Curriculum – 55 semester course approval requests approved.

Seven R401 proposals submitted. 5 approved – 1 withdrawn – 1 rejected.

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

The Faculty Senate would like to look at moving next year's Faculty Senate meetings to Huntsman Hall. Will check on availability and let the Senate know. The FSEC meetings will continue to be held at 3:30 pm, with the Senate meetings being held at 3:00 pm. Senate leadership will look at possibly moving the Faculty Forum to earlier in the semester.

Reports

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

The main committee discussions took place in December after USU Eastern faculty voiced concerns about their teaching loads and compensation. That same afternoon President Cockett and Provost Galey met with Price faculty and let them know they are aware of the situation and are working on a solution. Also met with President Cockett to discuss compensation and legislative outcomes.

Motion to approved the Budget and Faculty Welfare Annual Report made by Ronda Callister. Seconded by Patrick Belmont. Report approved.

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

This report is structured and outlined with specific strategic goals and also discusses the accomplishments of each of those units. Lisa Berreau and Alexa Sand are the two new Research Office Vice Presidents. This report shows a positive trend in sponsored awards and a positive trend in USU funding. Since the Office of Research has split from the Office of Graduate Studies will the Senate need a separate report from the graduate school? The answer is yes and Richard Inouye will submit it. The IRB office has been fully staffed as of the last two weeks.

Motion to approve the Research and Graduate Studies Annual Report made by Bryce Fifield. Seconded by Kimberly Lott. Report approved.

Old Business

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

Need to match policy to be consistent with 405.8.2. The one part that was different was how to deal with term faculty. It is important to have two tenured faculty involved on the committee. Deans and Department Heads do not get to decide if a committee can be formed. Faculty code needs to be rewritten to look at term appointments. If there is an issue someone using improper power that issue needs to be looked at and resolved. Some groups may have a problem filling a committee like this. Make sure that the role statement and the policy match.

Motion to change "majority" to "at least 2 who are tenured" made by Patrick Belmont. Seconded by Ronda Callister. After further discussion, Patrick Belmont withdrew the motion.

Strike majority from the code and state that they can be filled by any higher rank positions. Address the feel of inequality of term and tenured faculty. May be a recommendation rather than a requirement of having tenured track.

Motion to strike "majority of who are tenured" made by Bryce Fifield. Seconded by Carol Kochan. Moved to President Cockett and Executive Committee.

405 – Community Engagement Policy Change

Motion to approve code made by Timothy Taylor. Seconded by David Farrelly. Moved to President Cockett and Executive Committee.

New Business

[Library Discussion \(Subscription Costs\)](#) - Jeanne Davidson | Todd Welch

Provide background on where the Library budget is currently and what needs to be looked at in the future. Also need to decide how/where to move forward. Publishers accounts for 59% of the subscription budget and a number of contracts end in 2021. How do we proceed before we get to that point? USU would have to put in \$1.1M to keep up with the cost of subscription inflation. Options for cost savings are: 1) unbundle big deals; 2) open access and 3) firm negotiation tactics. The library would like to use the following guidelines to make informed decisions on how to move forward: 1) 1SCIENCE usage analysis; 2) Ithaca S&R Faculty Survey; 3) Library Roadshows (fall 2019) and 4) Possible follow-up interviews.

Call for Nominations – Faculty Senate President Elect - Becki Lawver
Patrick Belmont nominated Timothy Taylor. Tim accepted the nomination.

The Koch Resolution is still tabled.

Adjourn 4:40 pm



FACULTY SENATE MINUTES

March 4, 2019

3:00 – 4:30 pm

Huntsman Hall, Room 326

Call to Order - Rebecca Lawver

[Approval of Minutes](#) – February 4, 2019

Minutes approved as distributed.

University Business - Frank Galey, Provost

The Provost expressed appreciation to the Faculty Senate for the Greenhouse Gas Resolution. President Cockett has appointed a task force to work on this issue and address the resolutions. The task force will consist of three subcommittees: 1) energy, 2) transportation, and 3) education. The President set a January 2020 deadline for recommendations from the task force. President Cockett is currently attending the legislative session. There are a lot of things going on but not a lot that she is involved in right now. USU is watching a number of bills that could have an impact and the President has already outlined those. General Education assessment is moving forward and Harrison Kleiner has been asked to spearhead this work. Harrison is coming up with ideas/solutions to review and update our General Education program at large. This committee is very busy right now. The Provost reminded the senate of the desire to get performance reviews completed and submitted. This is a good university practice and it is part of policy.

Information

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

One General Education Designation approved. Change catalog language to reflect what is being done in practice.

63 Semester course approvals approved.

Academic Standards – had no meeting (no report).

Five R401 proposals approved. Three withdrawn.

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

Committee met for the year and has a full report that will be given next month. It was felt that the Spring break issue was time sensitive and needed to be brought forward before that meeting. The Spring break week is being moved to align with the MountainWest Championship. The committee has checked with various entities that might be affected and there is no indication that this will be problematic.

Reports

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

Installing traffic/pedestrian lights on 700 North to reduce pedestrian/bus conflicts.

Due to the Biology and Natural Resources remodel the orange parking lot will be used as a construction site for storing materials. Looking at the design and construction of a new parking structure in Orange North which will result in a loss of 154 stalls. Potential construction of a new Business Services building in the Blue/Green parking lot north of Nutrition and Food Science will result in a loss of 128 stalls.

Planning and design of new housing complex in the Gray 2 parking lot, west of the tennis courts will result in a loss of 212 stalls. Exact timing of these projects remains unknown and most parking changes will impact students. Student parking should open up for Commencement on Thursday and Friday. The terraces will also be open. Decisions on new buses on campus. Currently running 11 compressed gas buses. These buses cost approximately \$225K and student fees pay for this cost. Would have to raise student fees from \$21.90 to \$26.00. Electric buses takes 2 years to building may get 2-4 buses per year.

They cost of these buses is \$850K per bus and would require that a increase in student fees to \$59. Life cycle replacement would be every 12 year. There doesn't seem to be a huge savings in moving to electric buses.

Motion to approve the Parking Committee Annual Report made by Timothy Taylor. Seconded by Becky Blais. Report approved.

Old Business

[Koch Task Force Resolution](#) - Rebecca Lawver

This resolution is similar to the Greenhouse Gas resolution. This is another resolution that is being presented as support and is not a binding document. If passed this will go to the President for her to take to the appropriate individuals. The last year was spent putting together this resolution. Six recommendations to move forward. There were a number of questions that arose regarding this resolution. It was recommended that faculty take some time to really review and research the Koch donation. Some thought that there might be a problem with freedom of speech and this couldn't be implemented. Also, it opens up other colleges on campus to this kind of scrutiny and oversight. Without this gift students wouldn't receive any money and it would be a detriment to their continuing education. Item #1 cannot be implemented due to dictating how when or where the Center for Growth Opportunity distributes its research. Item #3 poses a problem with external reviewers. It was agreed to take this back to faculty and get recommendations and feedback. Get this feedback in writing (email) and send it to the Faculty Senate President. Make sure that everyone understands the agreement and not hearsay.

Motion to table until April meeting made by Steve Daniels. Seconded by Spencer Wendel. This amount of time will allow senators and faculty to review the information.

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

No reading of Code due to FSEC needing revisions from PRPC.

New Business

[405.12.2](#) Review of Faculty (first reading) - Marilyn Cuch

Motion to approve to send PRPC for second reading made by Vonda Jump. Seconded by Spencer Wendel. Moved to PRPC.

Adjourn 3:59 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 of the page is a photograph of a university campus. In the foreground, there are large trees with green and yellowing leaves. In the background, a brick building with a prominent gabled roof is visible. A white rectangular box with rounded corners is overlaid on the image, containing the title and text.

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

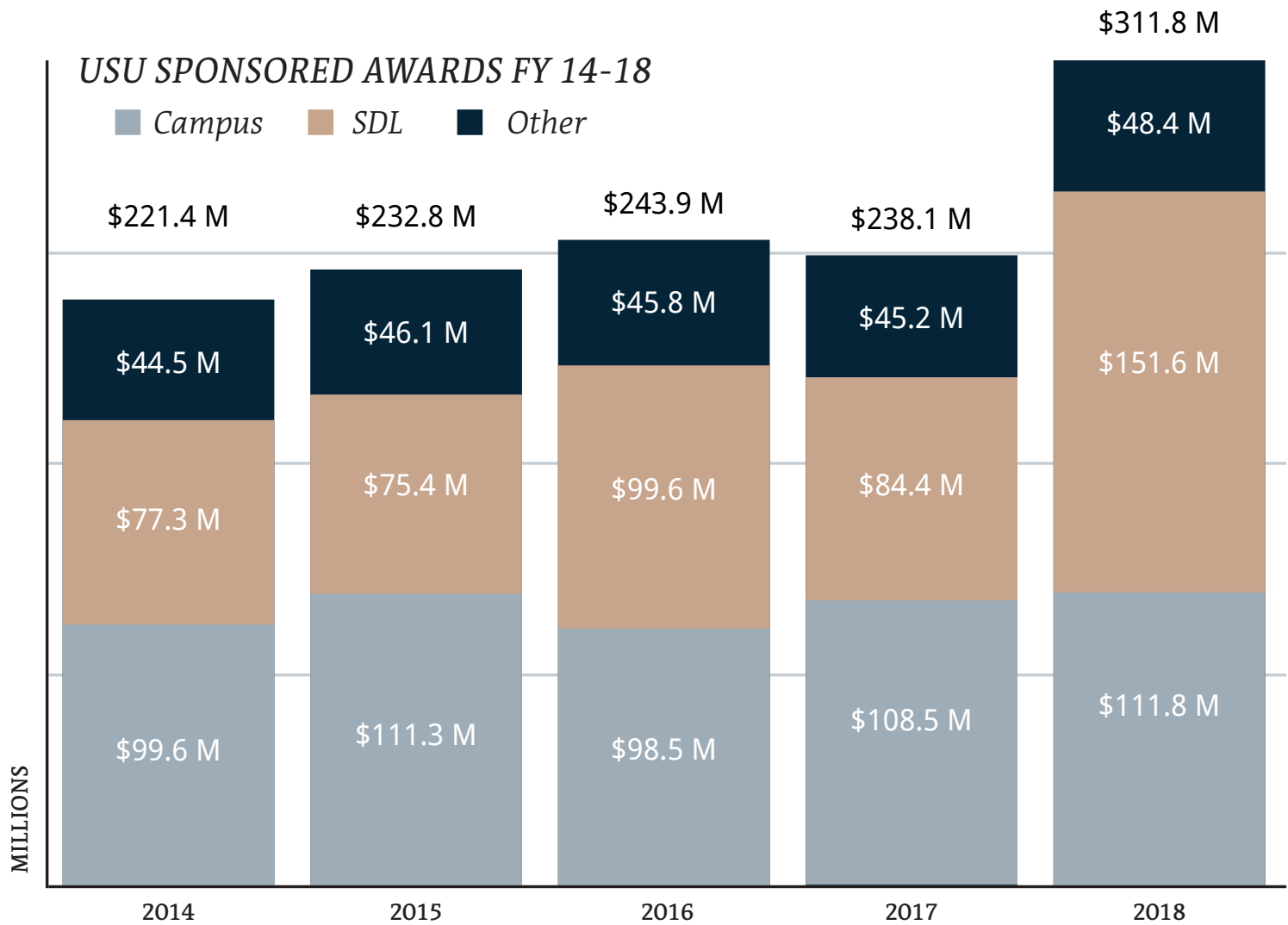
Utah State University is Utah's land-grant and space grant institution. Its Carnegie classification is RU/H, a research university with high research activity. USU consists of the Logan Campus, a regional college (USU-Eastern) and four regional campuses (Brigham City, Moab, Tooele, Uintah Basin).

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% |
|------------------------|---------------|---------------|---------------|---------------|---------------|-----|

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

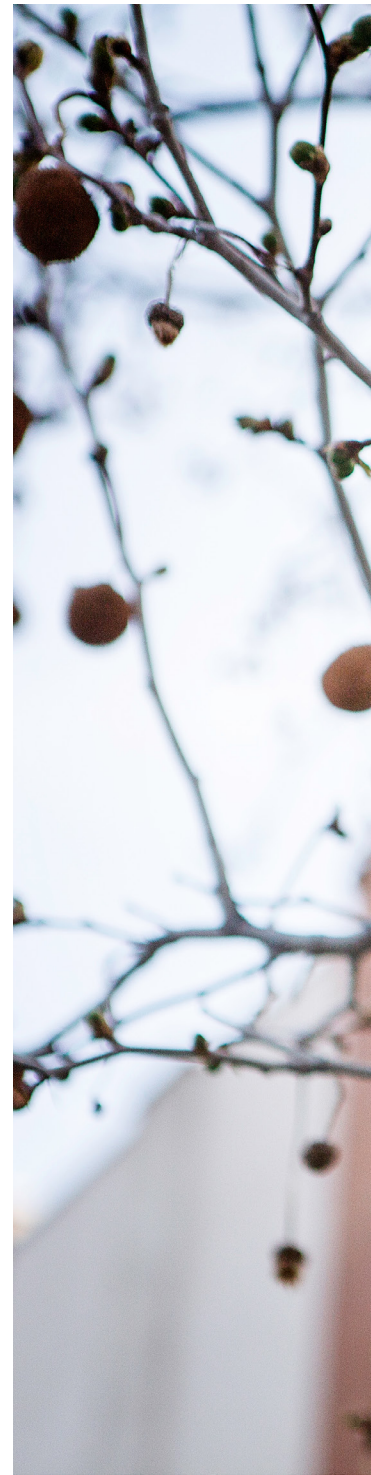
The Office for Human Research Protections in the Department of Health and Human Services released a new regulatory rule governing the operations of IRBs in 2017.

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, 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 at least every three years during fall semester, or more regularly 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.

405.2 TENURE AND PROMOTION: CRITERIA FOR CORE FACULTY RANKS

2.1 Criteria for the Award of Tenure and for Promotion from Assistant to Associate Professor

The foregoing criteria are to be applied to the following areas:

(1) Teaching.

Teaching includes but is not limited to all forms of instructional activities: classroom performance, broadcast and online instruction, mentoring students inside and outside the classroom, student advising and supervision, thesis and dissertation direction, and curriculum development. Documentation supporting teaching performance must include student and peer evaluations, and may include, but is not restricted to: proficiency in curriculum development as demonstrated through imaginative or creative use of instructional materials such as syllabi, instructional manuals, edited readings, case studies, media packages and computer programs; authorship of textbooks; teaching and/or advising awards; authorship of refereed articles on teaching; success of students in post-graduate endeavors; evidence of mentoring inside and outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, applicants for major scholarships or grants, implementation of high impact practices such as community-engaged teaching, first-year seminars, or strategies that promote student retention, and Honors or other independent study work; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; and invited lectures or panel participation.

(2) Research or Creative Endeavors.

Research or creative endeavors encompass a wide variety of scholarly activities that lead to the advancement of knowledge and/or to original contributions in the arts and humanities. Documentation supporting such activities must include peer recognition of their value and may include, but is not restricted to: publication of books, or monographs, or articles in peer reviewed media; intellectual contributions represented by patents, inventions and other intellectual property; effective community engagement as part of the effort; participation in symposia and authorship of chapters in review volumes; creative work in the arts and humanities that receives regional and national recognition; success in competition for extramural funding.

(3) Extension.

Extension provides the public, primarily within the state, with research-based information and other university resources. Documentation supporting extension performance must include peer evaluation and may include, but is not restricted to: active programs with various extension constituents; recognition by extension clients for an effective effort; effective community engagement; innovative techniques; effective use of the media; publications appropriate to the assignment; responses to requests from private and government entities for advisory help and consulting; publications in peer-reviewed and/or professional media; service

on professional committees, panels and task forces; and peer recognition of the value of the extension effort.

405.3 TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS

(2) Research or Creative Endeavors.

Research or creative endeavors encompass a wide variety of scholarly activities that lead to the advancement of knowledge. Documentation supporting such activities must include peer recognition of their value and may include, but is not restricted to: publication of books, or monographs, or articles in peer reviewed media; intellectual contributions represented by patents, inventions and other intellectual property; community-engaged scholarship; participation in symposia and authorship of chapters in state-of-the-art review volumes; creative work using computer/telecommunication technology which receives regional and national recognition; success in competition for extra-mural funding.

(3) Extension.

Extension provides the public, primarily within the state, with research-based information and other university resources. Documentation supporting extension performance may include, but is not restricted to: active library/information support with various extension constituents; recognition by extension clients for an effective effort; effective community engagement; innovative techniques; effective use of the media; publications appropriate to the assignment; responses to requests from private and government entities for advisory help and consulting; publications in peer-reviewed and/or professional media; service on professional committees, panels and task forces; and peer recognition of the value of the extension effort.

405.5 TENURE AND PROMOTION: CRITERIA FOR PROFESSIONAL CAREER AND TECHNICAL EDUCATION FACULTY RANKS

5.1 Criteria for the Award of Tenure and for Promotion from Professional Career and Technical Education Assistant Professor to Professional Career and Technical Education Associate Professor

The foregoing criteria are to be applied to the following areas:

(1) Teaching.

Teaching includes, but is not limited to, all forms of career and technical education instructional activities: classroom performance, student advising and supervision, oversight of independent learning, mentoring students inside and outside the classroom, and curriculum development.

Documentation supporting teaching performance must include student and peer evaluations,

and may include, but is not restricted to: proficiency in identifying the needs of the identified audience; curriculum development as demonstrated through imaginative or creative use of up-to-date instructional methods materials such as workshops, conferences, classes, lectures, newsletters, syllabi, instructional manuals, assigned readings, case studies, media presentations, packages and computer-assisted instruction, programs; authorship of extension bulletins, self-instruction textbooks or other instructional materials; program development teaching and/or advising awards; authorship of refereed articles on teaching; evidence of mentoring inside and outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, applicants for major scholarships or grants, implementation of high impact practices such as community-engaged teaching, first-year seminars, or strategies that promote student retention, and Honors or other independent study work; success of students in post-instructional licensing procedures or employment placements; service on professional committees, panels and task forces; and invited presentations or panel participation and professional lectures or consultations.

405.9 TERM APPOINTMENTS AND PROMOTION: CRITERIA

10.1 Criteria for Promotion to the Penultimate Ranks:

(1) Teaching.

Teaching includes all forms of instructional activities: classroom performance, mentoring students inside and outside the classroom, student advising, clinical supervision, thesis and dissertation direction, and curriculum development. Evidence supporting teaching performance must include student and peer evaluations where appropriate, and may include, but is not restricted to: proficiency in curriculum development as demonstrated through imaginative or creative use of up-to-date instructional materials such as syllabi, instructional manuals, edited readings, case studies, media packages, and computer programs; authorship of textbooks; teaching and/or advising awards; authorship of refereed articles on teaching; success of students in post-graduate endeavors; evidence of mentoring inside or outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, applicants for major scholarships or grants, implementation of high impact practices such as community-engaged teaching, first-year seminars, or strategies that promote student retention, and Honors or other independent study work; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; invited lectures or panel participation.

(2) Research or Creative Endeavors.

Research encompasses a wide variety of scholarly activities that lead to the advancement of knowledge. Evidence supporting such activities must include peer recognition of their value and may include, but is not restricted to: publication of books, monographs, or articles in peer-reviewed media; invitations to participate in symposia and to write chapters in state-of-the-art review volumes; community-engaged scholarship; and success in competition for extramural funding.



JOURNAL ACQUISITIONS

Jeanne Davidson
Associate Dean,
Collections

Todd Welch
Associate Dean, Special
Collections & Archives

UtahStateUniversity.
UNIVERSITY LIBRARIES

AGENDA

Background on the “Big Deals”
and our budget

Data we plan to collect and use

Decision-making process

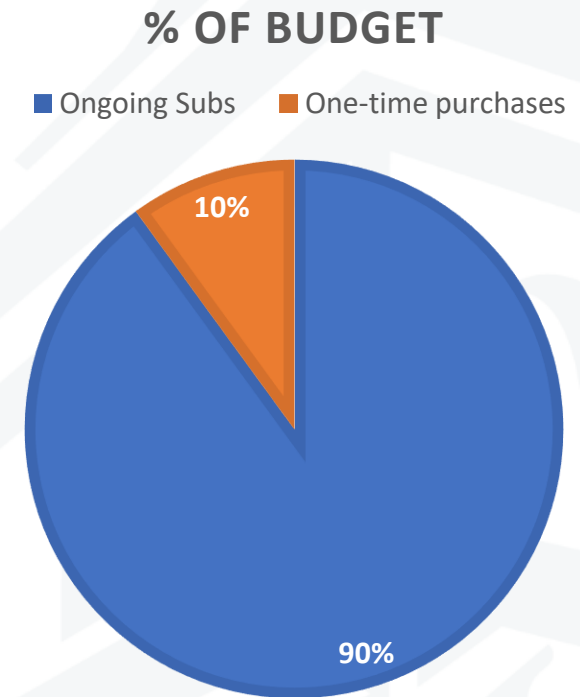
Moving forward



Total collections budget = \$5.9 million

Ongoing subscriptions = **\$5.3 million**
(90%) with **3-6% yearly inflation**

One-time purchases =
\$717 thousand (10%)



CONSEQUENCES OF INFLATION

At current inflation rates, our collections budget will **soon operate in the red.**

Thus, we cannot maintain our subscriptions at projected costs.



8 “BIG DEAL” PUBLISHERS = 59% OF ONGOING SUBSCRIPTIONS BUDGET

| Publisher | Core Titles | Total Titles | Cost (2018) | Contract Ends |
|-----------------------------|-------------|--------------|--------------------|---------------|
| Elsevier Freedom Collection | 269 | 2381 | \$1,262,660 | 2021 |
| Wiley | 324 | 1185 | \$593,027 | 2021 |
| Springer | 133 | 1500 | \$359,226 | 2019 |
| Taylor & Francis | 207 | 2018 | \$291,390 | 2021 |
| IEEE Xplore | NA | 3089 | \$185,000 | Yearly |
| Sage | 60 | 837 | \$96,878 | 2021 |
| Cambridge University Press | 53 | 403 | \$59,712 | yearly |
| American Chemical Society | NA | 63 | \$78,600 | yearly |
| TOTAL | | | \$2,741,678 | |

INFLATION OF “BIG DEAL” SUBSCRIPTIONS

| Year | Base Cost of Subscriptions (compounded with inflation) | Cost of 4% Inflation |
|--|---|----------------------|
| 2019 | \$5,303,531 | \$212,141 |
| 2020 | \$5,515,673 | \$220,627 |
| 2021 | \$5,736,300 | \$229,452 |
| 2022 | \$5,965,752 | \$238,630 |
| 2023 | \$6,204,382 | \$248,175 |
| Total compound inflation over 5 years | | \$1,149,025 |

**Vendor inflation of ongoing
subscriptions is not
sustainable for academic
budgets.**

Sustainable Collections Opportunities

Investigated by Academic Libraries



Unbundle Big Deals

And subscribe to “ala-carte” options



Open Access

Adopt resolutions that support publishing within these venues



Firm Negotiation Tactics

The least successful avenue.

DATA DRIVEN DECISIONS

We will use the following to inform decisions

1. 1SCIENCE usage analysis
2. Ithaka S&R Faculty Survey
3. Library Roadshows Fall 2019
4. Possible Follow-up Interviews

UP IN THE AIR...

- Longevity of University monetary support to cover inflation
- Campus adaptation to alternative collection models (i.e. open access resolutions)
- UC System vs. Elsevier: who will give in?

QUESTIONS?

jeanne.davidson@usu.edu