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Faculty Senate Agenda, September 14, 2015

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FACULTY SENATE MEETING

September 14, 2015

Merrill-Cazier Library, Room 154

3:00 – 4:30 p.m.

Agenda

- 3:00 Call to Order**.....Ronda Callister
- Approval of Minutes April 27, 2015
- 3:05 University Business**.....Stan Albrecht
Noelle Cockett, Provost
- 3:20 Information Items**.....Ronda Callister
- Calendar.
 - Faculty Senate Members Roster.
 - Broadcast of all FSEC and FS Meetings, things you need to know. (Joan Kleinke)
 - Faculty Forum November 9, 2015 – be thinking of broad interest issues to discuss
 - Filling Committee Vacancies, (Sheri Haderlie) survey link:
 - https://docs.google.com/forms/d/1KItJt-abvDwwCnsZ7JNUilc1vKknAsuTRuH8yY6Mkok/viewform?usp=send_form
 - Possible reduction of number of faculty serving on FS Committees
 - Code Change 406 Dealing with urgent financial issues sent to AFT/BFW (Vince Wickwar).
- 3:40 Senate Orientation**
- Role of Faculty Senators.....Ronda Callister
 - Overview of Faculty Senate Webpage.....Joan Kleinke
- 3:45 Reports**
- Research and Graduate Councils Report.....Mark McLellan
- 3:55 Unfinished Business**
1. Second reading 405.6.5 Removing Quinquennial from the code.....Jerry Goodspeed
 2. Presentation on the final version of PTR that is now in faculty code to disseminate to your colleagues.....Ronda Callister
- 4:15 New Business**
1. Proposal to change code to include state with federal cooperators 401.4.2.4 (Send to PRPC).....Robert Schmidt
 2. Proposal to change code to allow for Presidential exceptions to external reviewers when teaching is the major role assignment. There have been problems with external reviewers who don't know how to evaluate heavy teaching roles 405.7-12.....Ronda Callister
 3. New Business from the floor?
- 4:30 Adjournment**



**USU FACULTY SENATE
MINUTES
April 27, 2015
Merrill-Cazier Library, Room 154**

Call to Order

Doug Jackson-Smith called the meeting to order at 3:00 pm. The minutes of April 6, were adopted.

Announcements – Doug Jackson-Smith

Roll Call. Members are reminded to sign the role sheet at each meeting and that absences need to be excused by letting the Executive Secretary know in advance.

Senate Elections – President-Elect & Committee on Committees. Voting for President Elect was done by email ballot, Lindsey Shirley was elected. Nominations for Committee on Committees position were opened. Sheri Haderlie nominated David Brown. There were no other nominations, David was elected by acclamation.

University Business – President Stan Albrecht, Noelle Cockett

President Albrecht was not in attendance at this meeting. Provost Cockett and the President are continuing to meet with all colleges on campus sharing the outcomes of the legislative session affecting the university. They are also working with James Morales on enrollment projections for next year. It is anticipated that the new freshman enrollment will increase by 750 students next year. The administration is working to provide one time and ongoing funds to the departments most impacted. The Provost also thanked all outgoing Faculty Senate members for their service and welcomed in all the new senators who begin terms next year.

Information Items

Return of Code change 407.6.4(1) – Doug Jackson-Smith. This code change was sent back to the Executive committee because it requires the President to state the reason for non-renewal and legal counsel thought that would compromise his position as final arbiter in any future grievance process. The suggestion was made that the reason for non-renewal could be stipulated earlier in the process by a party other than the President. FS leadership will work with AFT and the Provost to identify an appropriate change to code to accomplish the same objective without compromising the role of the University President. Expect to see a revised code change proposal in the fall.

Faculty role in grade change process – Doug Jackson-Smith. Apparently there have been some instances where grades have been changed (or 'adjusted') without the faculty member's knowledge. FS leadership is working this summer to get more information about these instances and the university's policies and procedures that are used to adjust grades. A key focus is to ensure that faculty have a voice and roll in any grading decisions. Due to the time constraints of this meeting with the PTR business at hand, this is an issue that will be discussed in the future.

Reports

Committee on Committees Report – Sheri Haderlie. This three member committee met in September and filled all open positions for Faculty Senate committees and the other committees. They met again in February and March to fill the open senate positions for the upcoming year; college memberships on the various committees were filled as well. The College of Science still needs an alternate senator.

Calendar Committee – Andi McCabe. The calendar committee has finalized the calendar for Summer and Fall 2018 and Spring 2019. They have also completed the employee holiday calendar for the 2018-2019 academic year. They revised for the timing of Fall Break in Fall 2016 and 2017 to coincide with UEA. They have approved the new bell schedule for summer 2015 sessions (see agenda packet for details). The Common Hour was eliminated from the calendar as of Fall 2015. Next year they will review the timing of spring break. Traditionally it is held 8 weeks into the semester, 7 weeks before finals. This schedule coincides with other Mountain West Conference Schools. They will be exploring options to time it more closely to the area school districts in the future if at all possible.

EPC Items for April – Larry Smith. Larry graciously thanked the members of EPC and its subcommittees for their time and service and very briefly highlighted the report found in your meeting packet.

A motion to accept the three reports was made and seconded. The motion passed unanimously.

Unfinished Business

402.9 Code Change: Scheduling of Faculty Forum (Second Reading) – Stephen Bialkowski. A motion to accept the code change was made and seconded. The motion passed unanimously.

405.12.2 (1-3) Code Changes: PTR (Second Reading) – Doug Jackson-Smith.

Doug provided a brief overview of where we are in the process of considering code changes related to post tenure review (PTR). He compared the status quo process for PTR and annual reviews with the proposed alternative process that was submitted to PRPC by Faculty Senate in January. He noted that today will be a second reading of the formal amended code proposal that was generated by PRPC and discussed by FS at our last meeting (on April 6th).

Several formal edits to that draft were made by faculty senate during our April 6th meeting, but there were a set of other potential edits and clarifications that were in our agenda packet, shown during the meeting, but not voted on by faculty senate at that time. Today we are planning to have an up or down meeting on a version of this amended PTR code change proposal. It requires a two-thirds majority to pass. A key issue is to clarify the policies and procedures used to change Section 400 of code, and there has been some discussion in faculty senate and the faculty senate Executive Committee about when and how amendments are made to code change proposals that originate in PRPC.

As background, Doug shared the text of some key sections of Section 202.2 of the USU policies manual that outline the process of the code changes (emphasis in underline added):

*202.2.2 (2) Proposed amendments originated by PRPC.
As one of its two principal functions, the PRPC will monitor the language of the policies for congruence of policy language with actual University practices, internal consistency of policy language, and clarity of the meaning of policy language. Where actual practice and the policies differ, the PRPC shall seek resolution either in changed practice, proposed amendments to the policies, or both. The PRPC shall also propose amendments to the policies to increase their clarity and internal consistency. Amendments to the policies proposed by the PRPC shall be presented in writing to the Senate initially as information items. Revision of the policies will be undertaken by the PRPC only under the formal instruction of the Senate.*

202.2.3 Publication of Proposed Amendments

The language of any proposed amendments to the policies shall be published in the minutes of the Senate meeting in which they are brought forward by the PRC as information items.

202.2.4(1) Ratification of Proposed Amendments

(1) Ratification by the Senate. Approval of a proposed amendment to these policies shall be by a two-thirds majority of a quorum of faculty senators at any regularly scheduled meeting of the Senate where the proposed amendment is on the agenda as an action item, provided that the proposed amendment has been presented for information at a previous regularly scheduled meeting of the Senate, and provided further that the proposed amendment remains unchanged except for editorial clarifications. Changes in the proposed amendment approved by a simple majority of the Senate during its meeting will result in the postponement of action on the proposed amendment, the re-initiation of the publication process (202.2.3), and the rescheduling of action on the proposed amendment for the following regularly scheduled meeting of the Senate.

The issue is what rises to the level of editorial clarification and what rises to the level of substantive enough change to have the proposal sent back to reinitiate the publication process and rescheduling of faculty senate action.

In the last meeting of the FSEC, we reviewed the code and unanimously decided that it was legitimate to consider the remaining items as editorial clarifications on the second reading. These items were presented to the senate at the previous meeting in the agenda packet and on the floor.

To gauge whether any faculty senators disagreed with this interpretation, Doug ruled that five of the six remaining amendments in the agenda packet were editorial clarifications in nature, but encouraged anyone with concerns to overrule that decision. No motion was made.

A motion to approve the code change proposal as edited in our last faculty senate meeting on April 6th was made and seconded.

Discussion followed with consideration of five amendments that clarified specific areas of the proposal where faculty senators or committees had expressed concerns earlier this spring. There was discussion on each item and the results are summarized here with the material from the slides and the motions and outcomes of the votes. (See pages 5 – 8 of these minutes for an approved clean copy of each item's approved wording.)

#1. Clarify that the list of materials that will be provided to PRC is 'the minimum' not the only things that could be requested. At beginning of second sentence on line 172, revise the start with "The documentation provided to the PRC shall at a minimum contain: the department head or supervisor's negative annual evaluation letter..." Robert Schmidt moved to accept amendment #1. A second was received and the motion passed unanimously.

#2. Clarify timing and content of warning letter (lines 140-149) – underlines reflect changes made to amendment during the senate meeting.

- Line 145 - add the word 'initially' in the following sentence: "indicate this concern with regards to post-tenure performance initially by providing a formal written warning..."
- Insert new sentence next: "To serve as the formal written warning, this letter must state: "the department is concerned that, if performance does not improve, the department is likely to request the formation of a Peer Review Committee (PRC) to conduct a review of post-tenure performance as outlined below."
- Begin next sentence: "If in the next annual review after issuing a formal written warning, the department again..."

A motion to approve amendment #2 with a slight modification to replace “clearly indicate” with “must state”. A second was received and the amendment passed unanimously.

Jake Gunther expressed concern about the warning letter timing. Specifically, the phrase “If no less than one year after issuing a formal written warning the department again determines...” makes it ambiguous whether a department could call for a PRC repeatedly after just one warning letter. He made a motion to strike the phrase from line 146 and replace it with the phrase “If in the next annual review after issuing a formal written warning, the department again determines...” Robert Schmidt seconded the motion. Voting on the motion passed unanimously.

#3. Clarify what happens when PRC determines the faculty member IS meeting the PTR standard (line 196)

- Replace “no further action is required.” with “a written summary of the reasons for their decision shall be provided to the faculty member, department head, and appropriate academic dean, vice-president for extension, regional campus dean, or chancellor, and no further action is required.”

A motion was made and seconded to approve amendment #3. The motion passed unanimously.

#4. Make small changes in “voluntarily convened PRC” section (lines 151-154)

- Line 153 – add new second sentence: “The PRC will meet and review materials related to the 5-year performance of the faculty member.”
- Line 153 – replace ‘decision’ with ‘role’ as in: “The PRC role in this case is only to provide post-tenure performance feedback.”
- Line 154 – continue last sentence by adding a new clause “in writing to the faculty member requesting the review.”

A motion was made and seconded to approve amendment #4 (Make small changes in voluntarily convened PRC”). The motion passed unanimously.

#5. Make a small change in PRC membership paragraph Line 162 – add:

- “Department heads and supervisors of the faculty member being reviewed, and any other faculty members formally involved in the departmental annual review decision that triggered the review, shall not serve on the PRC without the faculty members consent...”

A motion was made and seconded to approve amendment #5. After some discussion a friendly amendment to the amendment was accepted adding “without the faculty consent” to the end of the phrase. A motion to approve the amendment (as amended) was approved unanimously.

Discussion returned to the main motion. Doug called for an up or down vote on the PTR code change proposal. The vote on the package of code changes (as amended above and as previously amended) was 42 in the affirmative, 1 opposed, and 1 abstaining. The motion passed. A copy of the clean amended code change proposal that was approved is included at the end of these minutes.

405.6.5 Code Change: Remove Term Quinquennial (First Reading) - Stephen Bialkowski. There was no discussion on this item and since it was a first reading no vote was required. It will appear as an action item for a second reading and vote at our first meeting in the fall.

Mutual Agreement Code – Doug Jackson Smith. This proposal changes the verbiage “in consultation with” to “mutual agreement” regarding the formation of the Promotion and Tenure Committees including Promotion Advisory Committees for Term Faculty. This proposal was the result of faculty complaints around committee formation when faculty were told by department heads who their committee was with no consultation at all. The intent is to send this item to PRPC. Ronda Callister made a motion to send this proposal to PRPC and Yanghee Kim seconded the motion. There was a friendly amendment stating: “if no CFAC then department/college appeals process shall be used”. The motion passed unanimously.

New Business

Resolution on Gender-Neutral Bathrooms – Doug Jackson-Smith. Charles Waugh moved to support the resolution to provide gender neutral bathrooms in future construction projects. A second was received. A motion to table the issue was made and seconded. The motion did not pass. Voting in support of the motion to support the resolution was unanimous.

Concluding Remarks, Passing of the Gavel – Doug Jackson Smith. Doug presented a gift to outgoing Past-President Yanghee Kim, and passed the gavel to Ronda Callister, incoming Senate President. Ronda thanked Doug for his service and presented him with a gift. Ronda opened the time for the College Caucus, all others are excused.

College Caucus to Elect FSEC Members. Two year terms are standard. Senators must have served one year in the Senate to be eligible. Colleges needing an FSEC member are:

- a. Business
- b. Education/Human Services
- c. Engineering
- d. Libraries
- e. Regional Campuses, and
- f. USU-Eastern.

Adjournment

The meeting adjourned at 4:30 pm.

APPROVED CLEAN VERSION OF PTR CODE CHANGE PROPOSAL
(includes amendments made by faculty senate on 4/6/15 and 4/27/15)

Approved by Faculty Senate on 4/27/15 on a vote of 42 in favor, 1 opposed, 1 abstaining.

405.12 REVIEW OF FACULTY

There are is one additional review of faculty performance other than those used for tenure-eligible faculty and for promotion. This annual review shall be used for evaluation of faculty for salary adjustments, for term appointment renewal, and for post-tenure review of tenured faculty.

Tenure (see Section 405.1) is a means to certain ends, specifically: freedom of teaching, research and other academic endeavors, and a sufficient degree of economic security to make the profession attractive to men and women of ability. Academic freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligation to students and to society. With tenure comes professional responsibility, the obligation conscientiously and competently to devote one's energies and skills to the teaching, research, extension, and service missions of the university. A central dimension of academic freedom is the exercise of professional judgment in such matters. The intent of post-tenure review is to support the principles of academic freedom and tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member continues to experience professional development and accomplishment during the various phases of his or her career. Useful feedback should include recognition to those faculty who have demonstrated high or improved performance. It is also the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers.

12.1 Annual Review of Faculty

Each department shall establish procedures by which all faculty shall be reviewed annually. This evaluation shall review the work of each faculty member in a manner and frequency consistent with accreditation standards. In the case of tenured faculty, this evaluation shall encompass a multi-year window of performance that covers a five-year span. Such reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position. The department head or supervisor shall meet with the faculty member annually to review this analysis of the fulfillment of the role statement and, subsequently, provide a written report of this review to the faculty member. A copy of this report shall be sent to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean. The annual evaluation and recommendation letter by the department head or supervisor developed for tenure-eligible faculty as part of the promotion and tenure process (405.7.1 (3)) may not serve as a substitute for this annual review letter. For faculty with term appointments, the annual review letter shall also include a recommendation regarding renewal of the term appointment.

12.2 Post-Tenure Review of Tenured Faculty

Beginning the year after a faculty member's tenure or post-tenure decision, the annual review process (405.12.1) shall also provide formal assessment on the post-tenure performance of tenured faculty. The review will be discipline and role specific, as appropriate to evaluate post-tenure performance. The basic standard for post-tenure review shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position as specified in the role statement. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. The criteria for the award of tenure or promotion to the most senior ranks shall not be employed for the review of the tenured faculty.

To fulfill this requirement, and beginning no earlier than 5 years after a faculty member is promoted or awarded tenure, the department head or supervisor will be required in writing to indicate as part of the annual review letter whether or not the faculty member is meeting the formal standard for post-tenure review outlined above. If a department is concerned that a faculty member is not meeting the post-tenure review standards, the department head or supervisor must indicate this concern with regards to post-tenure performance initially by providing a formal written warning to the faculty member. To serve as the formal written warning, this letter must state: "The department is concerned that, if performance does not improve, the department is likely to request the formation of a Peer Review Committee (PRC) to conduct a review of post-tenure performance" as outlined below. If in the next annual review after issuing a formal written warning the department again determines that the faculty member is not meeting the post-tenure review standard, the department head or supervisor must formally request in writing that a Peer Review Committee (PRC) be formed to provide an independent evaluation of whether the faculty member has met the post-tenure review standard.

A tenured faculty member may optionally request the formation of a PRC to provide feedback on post-tenure performance, but such a request may not be made more than once every five years nor earlier than five years after being promoted in rank or granted tenure. The PRC will meet and review materials related to the 5-year performance of the faculty member. The PRC role in this case is only to provide post-tenure performance feedback in writing to the faculty member requesting the review.

The PRC shall consist of at least three tenured faculty members who hold rank equal to or greater than the faculty member being reviewed, and shall be formed by mutual agreement of the department head or supervisor, and the faculty member being reviewed. The PRC must include at least one member from outside the academic unit of the faculty member being reviewed. If there are fewer than two faculty members in the academic unit with equal to or higher rank than the candidate, the committee members may be selected from faculty of related academic units. Department heads and supervisors of the faculty member being reviewed, and any other faculty members formally involved in the departmental annual review decision that triggered the review, shall not serve on the PRC without the faculty members consent, and no committee member may be a department head or supervisor of any other member of the PRC. An administrator may only be appointed to the PRC with the approval of the faculty member under consideration.

If mutual agreement about membership for the PRC cannot be reached within 2 weeks, the college faculty appeals committee (CFAC) will be asked to form the PRC. If a CFAC does not exist, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements.

To carry out its review, the PRC shall be provided with a copy of the documentation used by the department to evaluate the five-year performance of the faculty member in question. The documentation provided to the PRC shall at a minimum contain: the department head or supervisor's negative annual evaluation letter of the faculty member (405.12.1) and the warning letter that led to the forming of the PRC; the previous five annual written evaluations; the faculty member's current role statement and curriculum vitae; other professional materials deemed necessary by the faculty member; and any professional development plan in place. The PRC may also receive a written statement from the department head or supervisor citing the reasons for determining that the faculty member is not meeting the post-tenure review standard, as well as a written statement from the faculty member under post-tenure review, outlining his or her response to the department head or supervisor's negative post-tenure evaluation. These materials should be provided to the PRC within 3 weeks of the appointment of the committee. Within 4 weeks after receiving these materials, the PRC shall meet to discuss their evaluation of the faculty member's post-tenure performance. At this meeting, the faculty member should be allowed to make oral presentations to the committee. For any meeting held between the faculty member, the department head or supervisor, and/or the PRC for the purposes of post-tenure performance review an ombudsperson may be requested by the faculty member, the department head or supervisor, and/or the PRC in accordance with policy 405.6.5.

Upon completion of its review, the PRC shall submit its written findings outlining the PRC's decision and rationale for determining whether the faculty member in question is, or is not, discharging conscientiously and with professional competence the duties appropriately associated with his or her position, as specified in the role statement. This written report shall be provided to the faculty member in question, and to the department head or supervisor who shall forward a copy to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean. If the PRC determines that the faculty member is meeting the standard for post-tenure performance, a written summary of the reasons for their decision shall be provided to the faculty member, department head, and appropriate academic dean, vice-president for extension, regional campus dean, or chancellor, and no further action shall be required. If the PRC agrees with the recommendation of the department that the faculty member in question is not meeting the standard for post-tenure performance, a professional development plan shall be initiated as outlined in policy 405.12.3.

If a PRC is formed at the request of a faculty member, and not because of a formal negative departmental evaluation, it shall be formed according to procedures outlined above.

12.3 Professional Development Plan

(1) A determination by a Peer Review Committee (PRC) that a faculty member is not discharging conscientiously and with professional competence the duties appropriately associated with his or her position as specified in their role statement shall lead to the negotiation of a professional development plan to help the tenured faculty member more fully meet role expectations. The plan shall respect academic freedom and professional self-direction, and shall permit subsequent alteration. The professional development plan shall be mutually agreed to and signed by the faculty member and the department head or supervisor, and approved by the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean. At the request of the faculty member, department head or supervisor, the professional development plan may be reviewed by the PRC, who shall conduct an in-depth evaluation, as described in policy 405.12.2, including an analysis of the of the goals or outcomes, or any other features of the professional development plan. Upon completion of its review, the PRC shall submit its written findings outlining the PRC's decision and rationale for determining whether the professional development plan is appropriate. This written report shall be provided to the faculty member in question, and to the department head or supervisor who shall forward a copy to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean.

(2) The professional development plan should include elements which: (i) identify the faculty member's specific strengths and weaknesses (if any), and relate these to the allocation of effort assigned in the role statement; (ii) define specific goals or outcomes needed to remedy the identified deficiencies; (iii) outline the activities that are necessary to achieve the needed outcomes; (iv) set appropriate time lines for implementing and monitoring the activities and achieving the outcomes; (v) indicate appropriate criteria for progress reviews and the evaluation of outcomes; and (vi) identify any institutional commitments in the plan.

(3) The faculty member shall meet with the department head or supervisor, at times indicated as appropriate in the professional development plan, to monitor progress toward accomplishment of the goals or outcomes included in the plan. The department head or supervisor shall, at the conclusion of the professional development plan, evaluate the fulfillment of the goals or outcomes described in the plan, in terms of the criteria established by the plan. The department head or supervisor shall meet with the faculty member to review this analysis and subsequently, the department head or supervisor shall provide a written report of this review to the faculty member. A copy of this written report shall also be forwarded to the PRC members, the academic dean or vice president for extension and, where appropriate, the chancellor or regional campus dean. For meetings held between either the department head or supervisor and faculty member to discuss the report, the faculty member or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5. At the request of the faculty member, department head, or supervisor, this report may be reviewed by the PRC, who shall conduct an in-depth evaluation as described in 405.12.2, including an analysis of the fulfillment of the goals or outcomes, or any other features included in the professional development plan. Upon completion of its review, the PRC shall submit a written report of its findings to the faculty member, to the chancellor or campus dean, and to the academic dean or vice president for extension.

FACULTY SENATE

2015-2016 Session

UtahState
UNIVERSITY

Calendar of Meetings and Committee Reports

Executive Committee Meeting Champ Hall, Main 136 3:00 – 4:30 p.m.	Senate Meeting Merrill-Cazier Library, Room 154 3:00 – 4:30 p.m.	Senate Committee Annual Reports	University Council and Committee Reports
August 31, 2015	September 14, 2015		Research & Graduate Studies - Mark McLellan
September 21, 2015	October 5, 2015	Educational Policies Committee (EPC) – Larry Smith	Honors Program – Kristine Miller Libraries Advisory Council - Parking Committee – James Nye
October 19, 2015 Immediately following FSEC Mtg. - Faculty Forum Planning	November 2, 2015	Faculty Evaluation Committee (FEC) – Tom Lachmar	Athletic Council – Ed Heath
FACULTY FORUM - November 9, 2015 Merrill-Cazier Library Room 154 3:00 – 4:30 p.m.			
November 16, 2015	December 7, 2015		ASUSU – Trevor Olsen Retention and Student Success - John Mortensen
December 14, 2015	January 11, 2016		Council on Teacher Education - Francine Johnson Scholarship Advisory Board - Taya Flores
January 19, 2016 (Tuesday)	February 1, 2016	Budget and Faculty Welfare Committee (BFW) – Diane Calloway Graham Academic Freedom and Tenure Committee (AFT) - John Stevens	
February 16, 2016 (Tuesday)	March 14, 2016	Faculty Diversity, Development, & Equity Committee (FDDE) – Cinthya Saavedra	
March 21, 2016	April 4, 2016	Professional Responsibilities and Procedures Committee (PRPC) – Jerry Goodspeed	Honorary Degrees and Awards - Sydney Peterson
April 11, 2016	April 25, 2016	Committee on Committees – Sheri Haderlie	Calendar Committee – Andi McCabe

Finalized: 1/21/14

Updated: 7/27/15

Utah State University						
Faculty Senate Member Roster Alpha Sort 2015-2016						
				Updated 8/20/15		
NAME	note	EMAIL	TERM ENDS	COLLEGE	UMC	PHONE
Albrecht, Stan L.	e	stan.albrecht@usu.edu	Ex Officio	USU President	1400	7-7172
Allen, John	p	john.allen@usu.edu	2016	Dean Humanities/Soc. Sci.	0700	7-1195
Aller, Ty		gradsenator.ususa@usu.edu	2016	USU/SA Grad. Student Senator		7-0193
Barr, Paul	e	paul.barr@usu.edu	2017	Engineering	4110	7-8249
Beddes, Taun	2	taun.beddes@usu.edu	2016	Extension (Logan)	4900	435-752-6263
Bernhardt, Scott		scott.bernhardt@usu.edu	2017	Science	5305	7-3721
Bialkowski, Stephen	2	stephen.bialkowski@usu.edu	2016	Science	0300	7-1907
Blais, Becky		rebecca.blais@usu.edu	2018	Education & Human Services	2810	
Blau, Ben		ben.blau@usu.edu	2018	Business	3565	7-2340
Britt, David		david.britt@usu.edu	2016	Engineering	4105	7-2158
Brott, Leslie		leslie.brott@usu.edu	2017	Arts	4025	7-3139
Brown, David		david.e.brown@usu.edu	2016	Science	3900	7-3224
Buttars, Thomas		executivevp.ususa@usu.edu	2016	USU/SA Executive Vice President		7-6131
Callister, Ronda		ronda.callister@usu.edu	2016	Business, FS President	3555	7-1905
Calloway-Graham, Diane		diane.calloway-graham@usu.edu	Ex Officio	Chair BFW	0730	7-2389
Caplan, Arthur		arthur.caplan@usu.edu	2018	Agriculture & Applied Sciences	4835	7-0775
Cockett, Noelle	e	noelle.cockett@usu.edu	Ex Officio	USU Provost	1435	7-1167
Cole, Brad	p	brad.cole@usu.edu	2016	Interim Dean of Libraries	3000	7-2631
Cowley, David	p	dave.cowley@usu.edu	2016	VP Business/Finance	2400	7-1146
Culver, Lawrence		lawrence.culver@usu.edu	2016	Humanities & Social Science	0710	7-3101
Dew, Jeffrey		jeff.dew@usu.edu	2016	Education & Human Services	2705	7-9184
Dillingham-Evans, Donna	p	donna.dillingham-evans@usu.edu	2016	Dean/Exec. Dir. Statewide Ed Ctrs. Campuses Tooele)	5100	7-6611
Evans, Ted	2	ted.evans@usu.edu	2017	Science	5305	7-2552
Fagerheim, Britt	e	britt.fagerheim@usu.edu	2017	Libraries	3000	7-2643
Flint, Courtney		courtney.flint@usu.edu	2018	Humanities & Social Science	0730	7-8635
Gabbert, Lisa		lisa.gabbert@usu.edu	2018	Humanities & Social Science	3200	7-2721
Garner, Dennis	e	dennis.garner@usu.edu	2017	RC (Uintah Basin)	5100	435-722-1713
Gast, Julie		julie.gast@usu.edu	2018	Education & Human Service	7000	7-1490
Gilbert, John		jgilbert@usu.edu	2018	Business	3565	7-2314
Goodspeed, Jerry		jerry.goodspeed@usu.edu	Ex Officio	Chair PRPC	4900	801-399-8200
Gunther, Jake (Sabbatical)		jake.gunther@usu.edu	2016	Engineering	4120	7-7229
Haderlie, Sheri	2	sheri.haderlie@usu.edu	2016	Education & Human Services	2830	435-764-8764
Hailey, Christine	p	chris.hailey@usu.edu	2016	Dean Engineering	4100	7-3332
Halling, Marv		marv.halling@usu.edu	2016	Engineering	4110	7-3179
Hassell, Betty	e	betty.hassell@usu.edu	2016	USU Eastern (Price)	RVS174	435-613-5270
Heflebower, Rick		rick.h@usu.edu	2017	Extension (Washington Co. St. George)	4900	435-632-7385
Henrie, Scott		scott.henrie@usu.edu	2017	USU Eastern (Price)		435-613-5135
Holt, Kerin		kerin.holt@usu.edu	2018	Humanities & Social Science	3200	
Huenemann, Charlie (Sabbatical Sub for Fall)		charlie.huenemann@usu.edu	2018	Humanities & Social Science	0720	7-0254
Jackson-Smith, Doug	e,2	doug.jackson-smith@usu.edu	2015 S	Humanities & Social Science, Past FS Pres.	0730	7-0582
Jin, Jiming		Jiming.Jin@usu.edu	2018	Natural Resources	5210	7-7176
Jones, Suzanne		Drsuziehjones@yahoo.com	2018	Education & Human Services	2805	7-1568
Kannan, Vijay	e	vijay.kannan@usu.edu	2017	Business	3555	7-7212
Kim, Yanghee	2	yanghee.kim@usu.edu	2016	Education & Human Services	2830	7-2653
Lachmar, Tom		tom.lachmar@gmail.com	Ex Officio	Chair FEC	4505	7-1247
Larson, Don		don.larson@usu.edu	2016	USU Eastern (Blanding)	AdmBldg	435-678-8121
Lavoie, Caroline		caroline.lavoie@usu.edu	2017	Agriculture & Applied Sciences	4005	7-0505
Lawver, Becki		rebecca.lawver@usu.edu	2016	Agriculture & Applied Sciences	2300	7-1254
Lott, Kimberly	e	kimberly.lott@usu.edu	2016	Education & Human Services	2805	7-1103
Lowry, Tony	2	tony.lowry@usu.edu	2017	Science	4505	7-7096
Martin, Pamela		pamela.martin@usu.edu	2018	Libraries	3000	7-2685
McLellan, Mark	e, p	mark.mclellan@usu.edu	2016	VP Research/Dean Grad Studies	1450	7-1180
Memmott, Margie	2	margie.memmott@usu.edu	2017	Extension (Juab Co., Nephi)	4900	435-623-3451
Meyer, Ralph		ralph.meyer@usu.edu	2018	Agriculture & Applied Sciences	4700	7-1774
Moeller, Ryan		rylish.moeller@usu.edu	2017	Humanities & Social Science	3200	7-8637
Mohr, Kathleen (Kit)		kathleen.mohr@usu.edu	2016	Education & Human Services	2805	7-3946
Morales, James	p	james.morales@usu.edu	2016	VP for Student Services	0175	7-0226
Mueller, Robert		robert.mueller@usu.edu	2016	RC (Tooele)	5100	435-882-6611
Murphy, Daniel	e,2	dan.murphy@usu.edu	2017	Arts	4000	7-7372
Norton, Jeanette	e,2	jeanette.norton@usu.edu	2018	Agriculture & Applied Sciences	4820	7-2166
Olsen, Jason	e,2	jason.olsen@usu.edu	2017	USU Eastern (Price)	WIB 228	435-613-5329

NAME	note	EMAIL	TERM ENDS	COLLEGE	UMC	PHONE
Olsen, Trevor		president.ususa@usu.edu	2016	USU/SA President		7-5847
Olson, Kevin		kevin.olson@usu.edu	2018	Arts	4015	7-3033
Omasta, Matt		matt.omasta@usu.edu	2017	Arts	4025	7-3103
Pace, Michael	e, 2	mike.pace@usu.edu	2016	Extension (Brigham City)	4900	435-695-2541
Patterson, Ron	2	ron.patterson@usu.edu	2017	Extension (Carbon Co. Ext. Off.)		435-636-3233
Qi, Xiaojun		xiaojun.qi@usu.edu	2016	Engineering	4205	7-8155
Saavedra, Cinthya		cinthya.saaavedra@usu.edu	Ex Officio	Chair FDDE	2805	7-0392
Schmidt, Robert	e, 2	robert.schmidt@usu.edu	2017	Natural Resources	5215	7-2536
Seiter, John		john.seiter@usu.edu	2018	Humanities & Social Science	0720	7-0138
Shirley, Lindsey		lindsey.shirley@usu.edu	2017	Agriculture & Applied Sciences	2920	7-3410
Stevens, John	2	john.stevens@usu.edu	Ex Officio	Chair AFT	3900	7-2818
Stevens, John	2	john.r.stevens@usu.edu	2018	Science	3900	7-2818
Turner, Susan (Finishing Cat Buhusi's Term)	a	susan.turner@usu.edu	2018	Education & Human Services	2805	7-3947
Villalba, Juan		juan.villalba@usu.edu	2017	Natural Resources	5230	7-2539
Walsh, Marie	2	marie.walsh@usu.edu	2016	Agriculture & Applied Sciences	8700	7-2177
Waugh, Charles	e	charles.waugh@usu.edu	2016	Humanities & Social Science	3200	73481
White, Ken	p	ken.white@usu.edu	2016	Dean Agriculture & Applied Sciences/VP Ext.	4900	7-2201
Wickwar, Vince	2	vincent.wickwar@usu.edu	2018	Science	4405	435-512-1124
Winstead, Chris		chris.winstead@usu.edu	2018	Engineering	4120	7-2871

Notes: 2 = serving a second term

a = appointed to complete some else's term

c = ex officio as a chair of either the AFT Committee, BFW Committee, or PRPC

e = executive committee member

p = presidential appointment (Shaded green)

s = student representative (shaded blue)

red = newly elected

Faculty Senate Alternate Roster Alpha Sort 2015-2016

NAME	note	EMAIL	TERM ENDS	COLLEGE	UMC	PHONE
Carman, John		john.carman@usu.edu	2016	Agriculture & Applied Sciences	4820	7-2238
Archuleta, Martha		martha.archuleta@usu.edu	2016	RC (Salt Lake)	5100	385-646-5576
Baktur, Reyhan		reyhan.baktur@usu.edu	2016	Engineering	4120	7-2955
Beard, Karen		karen.beard@usu.edu	2017	Natrual Resources	5230	7-8220
Belland, Brian		brian.belland@usu.edu	2017	Education & Human Services	2830	7-2535
Champagne, Brian		brian.champagne@usu.edu	2016	CHaSS	4805	7-3220
DeJonge Kannan, Karin		karin.dejongekannan@usu.edu	2018	CHaSS	0720	7-8318
Fronske, Hilda	2	hilda.fronske@usu.edu	2018	Education & Human Services	7000	7-1507
Gilbert, John		jgilbert@usu.edu	2016	Business	3565	7-2314
Heaton, Kevin		kevin.heaton@usu.edu	2017	Extension (Garfield Co. Ext. Panguitch)	4900	435-644-4918
Hills, Nancy		nancy.hills@usu.edu	2016	Arts	4025	7-3049 or 435-753-1995
Jenkins, Mike		mike.jenkins@usu.edu	2016	Natural Resources	5230	7-2531
Johnson, John		john.johnson@usu.edu	2018	Business	3515	7-2341
Mansfield, Steve		steven.mansfield@usu.edu	2017	Arts	2910	7-1566
Milman, Lisa		lisa.milman@usu.edu	2018	Education & Human Services	1000	7-1143
Oladi, Reza	2	reza.oladi@usu.edu	2017	Agriculture & Applied Sciences	4835	7-8196
Olsen, Shawn		shawn.olsen@usu.edu	2016	Extension (Davis Co. Ext.)	4900	801-451-3402
Petersen, Michael		michael.petersen@usu.edu	2017	RCDE (Tooele)	5100	435-882-6611
Powell, Rob		rob.powell@usu.edu	2017	USU (Price)	RVS 146	435-613-5432
Proctor, Debbie	2	debra.proctor@usu.edu	2017	Extension (Wasatch Co. Ext.)	4900	435-657-3234
Shrode, Flora		flora.shrode@usu.edu	2017	Libraries	3000	7-8033
Smith, Barton		bsmith@engineering.usu.edu	2017	Engineering	4130	
Stephens, Alan		alan.stephens@usu.edu	2016	Business	3565	72367
Thoms, Josh		joshua.thoms@usu.edu	2017	CHaSS	0720	7-9065
Urquhart, Sarah		sarah.urquhart@usu.edu	2016	Arts	2910	7-3348
Walton, Richard		richard.walton@usu.edu	2018	USU Eastern (Price)	5199	
Wengreen, Heidi		heidi.wengreen@usu.edu	2018	Agriculture & Applied Sciences	8700	7-1806
				Science		
Lawver, Becki		rebecca.lawver@usu.edu	2016	Parliamentarian	2300	7-1254

Utah State University						
Faculty Senate Member Roster by College 2015-2016						
						Updated 8/20/15
NAME	note	EMAIL	TERM ENDS	COLLEGE	UMC	PHONE
Caplan, Arthur		arthur.caplan@usu.edu	2018	Agriculture & Applied Sciences	4835	7-0775
Lavoie, Caroline		caroline.lavoie@usu.edu	2017	Agriculture & Applied Sciences	4005	7-0505
Lawver, Becki		rebecca.lawver@usu.edu	2016	Agriculture & Applied Sciences	2300	7-1254
Meyer, Ralph		ralph.meyer@usu.edu	2018	Agriculture & Applied Sciences	4700	7-1774
Norton, Jeanette	e,2	jeanette.norton@usu.edu	2018	Agriculture & Applied Sciences	4820	7-2166
Shirley, Lindsey		lindsey.shirley@usu.edu	2017	Agriculture & Applied Sciences	2920	7-3410
Walsh, Marie	2	marie.walsh@usu.edu	2016	Agriculture & Applied Sciences	8700	7-2177
Brott, Leslie		leslie.brott@usu.edu	2017	Arts	4025	7-3139
Murphy, Daniel	e,2	dan.murphy@usu.edu	2017	Arts	4000	7-7372
Olson, Kevin		kevin.olson@usu.edu	2018	Arts	4015	7-3033
Omasta, Matt		matt.omasta@usu.edu	2017	Arts	4025	7-3103
Olsen, Trevor		president.ususa@usu.edu	2016	USU/SA President		7-5847
Buttars, Thomas		executivevp.ususa@usu.edu	2016	USU/SA Executive Vice President		7-6131
Aller, Ty		gradsenator.ususa@usu.edu	2016	USU/SA Grad. Student Senator		7-0193
Blau, Ben		ben.blau@usu.edu	2018	Business	3565	7-2340
Callister, Ronda		ronda.callister@usu.edu	2016	Business, FS President	3555	7-1905
Gilbert, John		igilbert@usu.edu	2018	Business	3565	7-2314
Kannan, Vijay	e	vijay.kannan@usu.edu	2017	Business	3555	7-7212
Stevens, John	2	john.stevens@usu.edu	Ex Officio	Chair AFT	3900	7-2818
Calloway-Graham, Diane		diane.calloway-graham@usu.edu	Ex Officio	Chair BFW	0730	7-2389
Saavedra, Cinthya		cinthya.saavedra@usu.edu	Ex Officio	Chair FDDE	2805	7-0392
Lachmar, Tom		tom.lachmar@gmail.com	Ex Officio	Chair FEC	4505	7-1247
Goodspeed, Jerry		jerry.goodspeed@usu.edu	Ex Officio	Chair PRPC	4900	801-399-8200
Blais, Becky		rebecca.blais@usu.edu	2018	Education & Human Services	2810	
Dew, Jeffrey		jeff.dew@usu.edu	2016	Education & Human Services	2705	7-9184
Gast, Julie		julie.gast@usu.edu	2018	Education & Human Service	7000	7-1490
Haderlie, Sheri	2	sheri.haderlie@usu.edu	2016	Education & Human Services	2830	435-764-8764
Jones, Suzanne		Drsuziehjones@yahoo.com	2018	Education & Human Services	2805	7-1568
Kim, Yanghee	2	yanghee.kim@usu.edu	2016	Education & Human Services	2830	7-2653
Lott, Kimberly	e	kimberly.lott@usu.edu	2016	Education & Human Services	2805	7-1103
Mohr, Kathleen (Kit)		kathleen.mohr@usu.edu	2016	Education & Human Services	2805	7-3946
Turner, Susan (Finishing Cat Buhusi's Term)	a	susan.turner@usu.edu	2018	Education & Human Services	2805	7-3947
Barr, Paul	e	paul.barr@usu.edu	2017	Engineering	4110	7-8249
Britt, David		david.britt@usu.edu	2016	Engineering	4105	7-2158
Gunther, Jake (sabbatical)		jake.gunther@usu.edu	2016	Engineering	4120	7-7229
Halling, Marv		marv.halling@usu.edu	2016	Engineering	4110	7-3179
Qi, Xiaojun		xiaojun.qi@usu.edu	2016	Engineering	4205	7-8155
Winstead, Chris		chris.winstead@usu.edu	2018	Engineering	4120	7-2871
Beddes, Taun	2	taun.beddes@usu.edu	2016	Extension (Logan)	4900	435-752-6263
Heflebower, Rick		rick.h@usu.edu	2017	Extension (Washington Co. St. George)	4900	435-632-7385
Memmott, Margie	2	margie.memmott@usu.edu	2017	Extension (Juab Co., Nephi)	4900	435-623-3451
Pace, Michael	e, 2	mike.pace@usu.edu	2016	Extension (Brigham City)	4900	435-695-2541
Patterson, Ron	2	ron.patterson@usu.edu	2017	Extension (Carbon Co. Ext. Off.)		435-636-3233
Culver, Lawrence		lawrence.culver@usu.edu	2016	Humanities & Social Science	0710	7-3101
Flint, Courtney		courtney.flint@usu.edu	2018	Humanities & Social Science	0730	7-8635
Gabbert, Lisa		lisa.gabbert@usu.edu	2018	Humanities & Social Science	3200	7-2721
Holt, Kerin		kerin.holt@usu.edu	2018	Humanities & Social Science	3200	
Huenemann, Charlie (Sabbatical Sub for Fall)		charlie.huenemann@usu.edu	2018	Humanities & Social Science	0720	7-0254
Jackson-Smith, Doug	e,2	doug.jackson-smith@usu.edu	2015 S	Humanities & Social Science, Past FS Pres.	0730	7-0582
Seiter, John		john.seiter@usu.edu	2018	Humanities & Social Science	0720	7-0138
Moeller, Ryan		rylish.moeller@usu.edu	2017	Humanities & Social Science	3200	7-8637
Waugh, Charles	e	charles.waugh@usu.edu	2016	Humanities & Social Science	3200	73481
Fagerheim, Britt	e	britt.fagerheim@usu.edu	2017	Libraries	3000	7-2643
Martin, Pamela		pamela.martin@usu.edu	2018	Libraries	3000	7-2685
Jin, Jiming		Jiming.Jin@usu.edu	2018	Natural Resources	5210	7-7176
Schmidt, Robert	e, 2	robert.schmidt@usu.edu	2017	Natural Resources	5215	7-2536
Villalba, Juan		juan.villalba@usu.edu	2017	Natural Resources	5230	7-2539
Garner, Dennis	e	dennis.garner@usu.edu	2017	RC (Uintah Basin)	5100	435-722-1713

NAME	note	EMAIL	TERM ENDS	COLLEGE	UMC	PHONE
Mueller, Robert		robert.mueller@usu.edu	2016	RC (Tooele)	5100	435-882-6611
Bernhardt, Scott		scott.bernhardt@usu.edu	2017	Science	5305	7-3721
Bialkowski, Stephen	2	stephen.bialkowski@usu.edu	2016	Science	0300	7-1907
Brown, David		david.e.brown@usu.edu	2016	Science	3900	7-3224
Evans, Ted	2	ted.evans@usu.edu	2017	Science	5305	7-2552
Lowry, Tony	2	tony.lowry@usu.edu	2017	Science	4505	7-7096
Stevens, John	2	john.r.stevens@usu.edu	2018	Science	3900	7-2818
Wickwar, Vince	2	vincent.wickwar@usu.edu	2018	Science	4405	435-512-1124
Hassell, Betty	e	betty.hassell@usu.edu	2016	USU Eastern (Price)	RVS174	435-613-5270
Henrie, Scott		scott.henrie@usu.edu	2017	USU Eastern (Price)		435-613-5135
Larson, Don		don.larson@usu.edu	2016	USU Eastern (Blanding)	AdmBldg	435-678-8121
Olsen, Jason	e,2	jason.olsen@usu.edu	2017	USU Eastern (Price)	WIB 228	435-613-5329
Albrecht, Stan L.	e	stan.albrecht@usu.edu	Ex Officio	USU President	1400	7-7172
Cockett, Noelle	e	noelle.cockett@usu.edu	Ex Officio	USU Provost	1435	7-1167
Allen, John	p	john.allen@usu.edu	2016	Dean Humanities/Soc. Sci.	0700	7-1195
Cole, Brad	p	brad.cole@usu.edu	2016	Interim Dean of Libraries	3000	7-2631
Cowley, David	p	dave.cowley@usu.edu	2016	VP Business/Finance	2400	7-1146
Dillingham-Evans, Donna	p	donna.dillingham-evans@usu.edu	2016	Dean/Exec. Dir. Statewide Ed Ctrs. Campuses Tooele)	5100	7-6611
Hailey, Christine	p	chris.hailey@usu.edu	2016	Dean Engineering	4100	7-3332
McLellan, Mark	e, p	mark.mclellan@usu.edu	2016	VP Research/Dean Grad Studies	1450	7-1180
Morales, James	p	james.morales@usu.edu	2016	VP for Student Services	0175	7-0226
White, Ken	p	ken.white@usu.edu	2016	Dean Agriculture & Applied Sciences/VP Ext.	4900	7-2201

Notes: 2 = serving a second term

a = appointed to complete some else's term

c = ex officio as a chair of either the AFT Committee, BFW Committee, or PRPC

e = executive committee member

p = presidential appointment (Shaded green)

s = student representative (shaded blue)

red = newly elected

Faculty Senate Alternate Roster by College 2015-2016

NAME	note	EMAIL	TERM ENDS	COLLEGE	UMC	PHONE
Carman, John		john.carman@usu.edu	2016	Agriculture & Applied Sciences	4820	7-2238
Oladi, Reza	2	reza.oladi@usu.edu	2017	Agriculture & Applied Sciences	4835	7-8196
Wengreen, Heidi		heidi.wengreen@usu.edu	2018	Agriculture & Applied Sciences	8700	7-1806
Hills, Nancy		nancy.hills@usu.edu	2016	Arts	4025	7-3049 or 435-753-1995
Mansfield, Steve		steven.mansfield@usu.edu	2017	Arts	2910	7-1566
Urquhart, Sarah		sarah.urquhart@usu.edu	2016	Arts	2910	7-3348
Gilbert, John		jgilbert@usu.edu	2016	Business	3565	7-2314
Johnson, John		john.johnson@usu.edu	2018	Business	3515	7-2341
Stephens, Alan		alan.stephens@usu.edu	2016	Business	3565	72367
Belland, Brian		brian.belland@usu.edu	2017	Education & Human Services	2830	7-2535
Fronske, Hilda	2	hilda.fronske@usu.edu	2018	Education & Human Services	7000	7-1507
Milman, Lisa		lisa.milman@usu.edu	2018	Education & Human Services	1000	7-1143
Baktur, Reyhan		reyhan.baktur@usu.edu	2016	Engineering	4120	7-2955
Smith, Barton		bsmith@engineering.usu.edu	2017	Engineering	4130	
Heaton, Kevin		kevin.heaton@usu.edu	2017	Extension (Garfield Co. Ext. Panguitch)	4900	435-644-4918
Olsen, Shawn		shawn.olsen@usu.edu	2016	Extension (Davis Co. Ext.)	4900	801-451-3402
Proctor, Debbie	2	debra.proctor@usu.edu	2017	Extension (Wasatch Co. Ext.)	4900	435-657-3234
Champagne, Brian		brian.champagne@usu.edu	2016	CHaSS	4805	7-3220
DeJonge Kannan, Karin		karin.dejongekan@usu.edu	2018	CHaSS	0720	7-8318
Thoms, Josh		joshua.thoms@usu.edu	2017	CHaSS	0720	7-9065
Shrode, Flora		flora.shrode@usu.edu	2017	Libraries	3000	7-8033
Beard, Karen		karen.beard@usu.edu	2017	Natrual Resources	5230	7-8220
Jenkins, Mike		mike.jenkins@usu.edu	2016	Natural Resources	5230	7-2531
Archuleta, Martha		martha.archuleta@usu.edu	2016	RC (Salt Lake)	5100	385-646-5576
Petersen, Michael		michael.petersen@usu.edu	2017	RCDE (Tooele)	5100	435-882-6611
				Science		
Powell, Rob		rob.powell@usu.edu	2017	USU (Price)	RVS 146	435-613-5432
Walton, Richard		richard.walton@usu.edu	2018	USU Eastern (Price)	5199	
Lawver, Becki		rebecca.lawver@usu.edu	2016	Parliamentarian	2300	7-1254

Suggested Revisions to Section 406 of the Code Report from the Special Task Force

November 12, 2012; Revised August 24, 2015

Charge to the Task Force to Recommend Code Changes to Sections 406 and 407 of the USU Policy Manual (January 2012)

Last year, in 2011, to facilitate the integration of the College of Eastern Utah into the Utah State University system, a thorough review and update was completed on Sections 401 through 405 of the USU Policy Manual (commonly called “the faculty code”). In the course of that review, it became clear that Sections 406 and 407 — those parts dealing with program discontinuance, financial crisis, and financial exigency; and academic due process involving sanctions and hearing procedures — were also in need of an update. As a starting point, several years ago a committee chaired by former President of the Faculty Senate, John Kras, raised a number of pertinent questions about these sections that have not yet been addressed. More recently, the Academic Freedom and Tenure (AFT) committee, based on its experiences, has suggested some changes. This task force was created to make this review and to suggest updates.

The charge to this task force is to make this review, suggest updates, and follow through, as need be, on their revision for final adoption by the Faculty Senate. The time frame is this spring semester, with a possibility that some questions about the suggested updates will occur this coming fall semester.

Task Force Members (As constituted in 2012)

Vincent Wickwar	Former President, Faculty Senate; Science; Co-Chair
Ray Coward	Provost & Executive Vice President; Co-Chair
Ed Heath	Former President, Faculty Senate; Ed. & Human Services
Glenn McEvoy	Past President, Faculty Senate; Business
Scott Budge	AFT Committee; Engineering
John Elsweiler	PRPC; Library
Rhonda Miller	BFW Committee; Agriculture
Larry Smith	Executive Senior Vice Provost, Committee Staff
Kim Doyle	Committee Staff

Task Force Meetings (15 meetings, each two to four hours long)

February 3, 2012
February 15, 2012
February 29, 2012
March 23, 2012
March 28, 2012
April 4, 2012
April 13, 2012
April 25, 2012

May 30, 2012
July 9, 2012
July 17 2012
August 2, 2012
September 4, 2012
September 26, 2012
October 23, 2012

What the Task Force Did

By the second meeting, it became clear that the 406 section of the code, having to do with suspension of enrollment, program discontinuance, financial crisis, and financial exigency were a mess. For instance, the most severe problem, financial exigency, was discussed before the less severe financial crisis. The description and response to each problem were discussed in very different ways, making it unclear what the intentions were. The steps involved in declaring and handling a financial crisis were so involved that a financial crisis would never be invoked. For instance, when the first severe budget cuts from the legislature occurred in 2008/2009, there was about a three-month period in which to act, whereas the steps under financial crisis would have taken more than a year.

In a series of 15 meetings in the spring, summer, and fall of 2012 (listed above), the committee essentially reorganized and rewrote Section 406 and developed flow charts to outline the steps for a financial crisis and for a financial exigency. The changes were so many and so significant that you are being given the old (current) Section 406 and the new (proposed) Section 406. They are attached. An indication of the most substantial changes is given in the next section.

The effort put into Section 406 was extensive enough that the Task Force did not work on Section 407. That will have to be examined by another Task Force.

Significant Changes to Section 406

- Sections of 406 describing major actions by the university to address financial situations of varying scale and severity have been reordered. The new order in the revised 406 is: suspension of enrollment, program discontinuance, financial crisis, then lastly, financial exigency.
- Definitions of terms scattered throughout section 406 have now been compiled into one new section near the beginning of 406 (406.2).
- Sections addressing financial crisis (406.5) and financial exigency (406.6) have been substantially revised to add clarity and transparency to these complex and important processes. A new committee, the Financial Crisis Advisory Committee (FCAC), has been added in the process for addressing a financial crisis.
- Two flow charts have been created and included to make clear steps in the procedures for financial crisis and financial exigency.

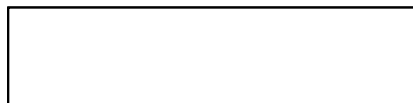
- Redundancy of language has been eliminated throughout section 406. For example, the current section on reinstatement (406.5) has been revised and placed first now in program discontinuance (406.4.3) and reference made to it thereafter in financial crisis and financial exigency.
- Clarity of language has been made throughout. For example, “university president” has been used instead of simply “president” to eliminate confusion with the president of the faculty senate. Words such as “discontinuance”, “reduction”, and “termination” have been used in proper contexts to mitigate confusion and differences in interpretation.
- Spelling out the abbreviations for committees has been included to add clarity to the language.
- The involvement of the Board of Trustees or Board of Regents in processes in 406 has been verified and revised to reflect actual policy and practice.
- Timelines for processes have been revised to allow the institution to address financial crisis or financial exigency effectively.

What next? (Revised August 2015)

You, the Faculty Senate Executive Committee (FSEC), are being given the suggested revisions to Section 406 of the code for you to decide what steps to take next. Because of the extensive nature of the changes, a multistep procedure is proposed:

- (1) Send the suggested revisions to Section 406 to two of the Faculty Senate (FS) standing committees — the Academic Freedom and Tenure Committee (AFT) and the Budget and Faculty Welfare Committee (BFW) — for their review and comments. While this was done in 2012, these committees have many new members who should be given a chance to review and comment.
- (2) Send their comments back to the remaining members of the special committee (aka, the Special Task Force) for their consideration and possible modifications to the suggested revisions.
- (3) Bring these modified revisions back to the FSEC for discussion. The suggestion being that the FSEC will send these revisions to the FS with the intent that the FS will send them to the Professional Responsibilities and Procedures Committee (PRPC) for review.
- (4) After the PRPC review, the FS would hear and vote on the suggested revisions to Section 406 of the code.
- (5) If the vote is negative, the problems that are identified should be collected and the approval procedure returned to Step (2).

The goal of this procedure is to produce both a thorough review of the suggested revisions to Section 406 and to adopt them in a timely manner.



POLICY MANUAL

FACULTY

Number 406

Subject: **Suspension of Enrollment**, Program Discontinuance, Financial Crisis and Financial Exigency

Effective Date: July 1, 1997

Revision: July 1, 1999, March 6, 2009, August 21, 2009

Date of Last Revision: July 8, 2011

406.1 INTRODUCTION

This section of the policy manual specifies the procedures for **suspending enrollment**, discontinuing a program for academic reasons; ~~suspending enrollment~~, determining whether **the university faces a major** financial crisis ~~not definable as financial exigency~~; responding to a major financial crisis; determining whether ~~at a particular moment~~ the university faces ~~a state of~~ financial **exigency**; responding to financial **exigency**; and reducing the status of, or **terminating** faculty members due to program discontinuance, major financial crisis, or ~~bona fide~~ financial exigency. ~~Reduction in status of tenured faculty members shall only occur for reasons of program discontinuance, financial crisis, or bona fide financial exigency.~~ In all of the decision making processes described in this section, all parties will act in a **timely** manner that is respectful of both the principle of shared governance and the need for the institution to take strategic and timely actions to fulfill its mission. The timetable for processes described in this section will be set by the university president.

406.2 DEFINITIONS

2.1 Academic Program.

An academic program has an identifiable teaching, research, or other academic mission and may operate within one or more academic units. An academic program must fulfill one or more of these criteria: (a) offer or administer a degree, certificate, or some other credential; (b) have an identifiable curriculum or be formally described in current university catalogs or other publications; or (c) be designated a “program” by specific faculty decision and have an identified group of one or more faculty.

2.2 Suspension of Enrollment.

Suspension of enrollment is an action short of program discontinuance that, if not reversed, will lead to discontinuance, and which refers to the suspension of enrollment in a major subject, a minor subject where there is no corresponding major, a certificate program, or a program awarding a credential certifying completion. Suspension of enrollment does not lead to reduction in status or termination of faculty in the program.

2.3 Program Discontinuance.

Program discontinuance for academic reasons ~~under this policy~~ means the cessation of a program, center, institute, school, department, academic college, or regional campus ~~or site~~ based upon educational and academic considerations. For the purposes of Policy 406.2, educational and academic considerations do not include cyclical or temporary variations in enrollment and/or budgets; but must reflect long-range judgments that the basic teaching, research, and extension mission of the university will be strengthened by the discontinuance. Program discontinuance does not preclude the reallocation of resources to other academic programs with higher priority based upon educational and academic considerations. Program discontinuance may entail the reduction in status or termination of faculty.

2.4 Major Financial Crisis.

To constitute a major financial crisis, a situation facing the university shall ~~(a) be significantly and demonstrably~~ substantially more than a minor, temporary, and/or cyclical fluctuation in operating funds; and ~~(b)~~ involve substantial risk to the survival of departments, colleges, or other major academic components of the university. A substantial risk to survival is considered one where a substantial reduction occurs in: (1, a) the ability to fulfill the mission of the academic unit, (2, b) the number of students served by the academic unit, or (3, c) the number and quality of course offerings. A major financial crisis may entail the reduction in status or termination of faculty.

2.5 Financial Exigency.

Financial exigency is an existing or imminent ~~very~~ severe financial crisis that: (a) threatens the mission of the institution as a whole, ~~that~~ (b) requires programmatic reductions or closings that may entail reductions in status or termination of faculty to enable the institution to accomplish its mission, and ~~that~~ (c) that cannot be alleviated by less drastic means.

2.6 Reduction in Status.

Reduction in status is a decrease in the length of the contract period and/or the percentage of time that a faculty member is employed by the university.

~~2.7 Serious Distortion of an Academic Program.~~

~~A serious distortion of an academic program shall be deemed to occur when the faculty remaining in the program would not be qualified to meet generally accepted program standards (Section 406.4.1(3)).~~

406.3 SUSPENSION OF ENROLLMENT

3.1 Procedure

(1) Initiation.

~~After full consultation with the department faculty and approval by the academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean, a department head that decides to suspend enrollment, must notify the Educational Policies Committee (EPC) as soon as the decision has been made.~~

(2) Review.

~~The Educational Policies Committee (EPC) will review the proposed suspension of enrollment for its effect on other academic programs of the university. The committee will hold hearings at which all constituencies affected, including students, faculty, and representatives from other departments affected by the proposed action, ~~once notified~~, have the opportunity to testify. At the conclusion of its deliberations, the Educational Policies Committee (EPC) will recommend approval or disapproval of suspension of enrollment to the Faculty Senate. The Faculty Senate shall make a recommendation to the ~~university president~~ provost who shall consult the university president. This process shall be concluded within 90 days following notification of the Educational Policies Committee (EPC). Suspension is granted by the university president subject to the legal obligation, if any, of the university to permit students already enrolled in the program to complete their course of study.~~

(3) Time limitation.

~~At any time up to three years after a suspension of enrollment has been granted, it may be reversed by approval of the provost ~~following the~~ after receiving the recommendation of the academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean. If suspension has not been reversed within this three-year period, program discontinuance must be initiated.~~

406.4 PROGRAM DISCONTINUANCE FOR ACADEMIC REASONS

4.1 Decision-Making Process

(1) Initiation.

Consideration of the possible discontinuance of an academic program may be initiated at any time by the faculty or a duly appointed faculty committee of that program; the faculty or an appropriate committee of the center, institute, school, department, college, or other academic unit of that program; ~~the~~ Graduate Council; the appropriate department head, academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean-or by the provost or president of the university. **Steps toward the discontinuance of a program do not require a prior suspension of enrollment in that program.** If a program discontinuance ~~may~~ results in the **reduction in status or termination** of faculty, the person or group initiating the consideration of discontinuance shall prepare, and submit to the provost, a memorandum ~~which that:~~ (a) clearly identifies the program; (b) states explicit criteria by which faculty are identified with the program, (c) states the reasons, with respect to the university's mission and goals, for recommending discontinuance; (d) assesses the probable consequences for faculty, related programs, and the university in general; and (e) suggests a timetable for accomplishing discontinuance. **Program discontinuance is never to be declared with the aim of singling out a specific faculty member.**

(2) Distribution.

The provost shall distribute copies of the memorandum, embodying an initial or an amended proposal for program discontinuance, to: (a) the faculty members most directly involved in the academic program proposed for discontinuance; (b) the appropriate department head, academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean; (c) relevant members of departments and colleges; (d) members of relevant college committees or councils; (e) ~~the Educational Policies Committee (EPC)~~ ~~(f)~~ the members of Budget and Faculty Welfare Committee (BFW); and (~~g~~ ~~f~~) the relevant student college senators.

(3) Consultation.

The groups above shall forward comments and recommendations to the appropriate academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean. He or she shall forward the comments and a recommendation to the provost, and, where appropriate, to the Graduate Council. **The Graduate Council may review this material and make a recommendation to the provost. After receiving and considering the recommendations and comments, the provost shall submit the proposal, the comments, and a recommendation to the Educational Policies Committee (EPC). The Educational Policies Committee's (EPC) recommendation shall be subject to review and debate by the Faculty Senate [Policy 402.12.6(1)]. All comments, recommendations, and supporting material shall be available to the Faculty Senate for its perusal.**

(4) Final recommendation.

The Faculty Senate's recommendations shall be forwarded to the university president for consideration. The university president shall submit a final recommendation in writing to the

Board of Trustees and the Board of Regents ~~and shall attach the written comments and recommendations of the Faculty Senate.~~

(5) Notice of program discontinuance.

After the Board of Regents has approved a proposal by the university to discontinue a program, the appropriate academic dean, vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean ~~of the program, center, institute, school, department, academic college, or regional campus, or site~~ shall give written notice of the discontinuance to all persons in the ~~program, center, institute, school, department, academic college, or regional campus~~ academic unit. A minimum of one full year, beginning July 1, shall pass from the time a final decision is made to close an academic program to the actual program discontinuance.

4.2 Faculty Reduction in Status or Termination due to Program Discontinuance

(1) Notice of reduction in status or termination.

In addition to the general notice ~~of program discontinuance~~ in Policy 406.4.1(5), if the program discontinuance results in reduction in status or termination ~~of faculty, then~~ the university president shall give tenured and tenure-track faculty members in the discontinued ~~program, center, institute, school, department, academic college, or regional campus, or site~~ academic program formal notice of reduction in status or termination as follows: (a) if the appointee is untenured and in the first year of service, notice shall be given at least three months prior to reduction in status or termination; (b) if the appointee is untenured and in the second year of service, notice shall be given at least six months prior to reduction in status or termination; (c) if the appointee is tenured or is untenured but in the third or subsequent years of service, notice shall be given at least 12 months prior to reduction in status or termination; ~~(d) the length of notice for faculty with term appointments (Policy 401.4) shall be parallel to that for the untenured faculty described above, with the exception of those term appointees with research or federal research ranks; termination of these faculty is coincident with and contingent upon the termination date of their extramural funding; if their funding extends beyond that of a discontinued program, they may be reassigned to another program;~~ and (e) appointees with specialized functions as defined in Policy 401.5 shall be parallel to that for the tenured and tenure-eligible faculty described above.

~~(2) Relocation~~

~~During a grace period of three years, and with the assistance of the appropriate administrators (e.g., academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean, and the provost) and the consent of the receiving department, every reasonable and good faith effort will be made to enable affected faculty members to obtain suitable positions for which they are qualified elsewhere in the university for which they are qualified. Tenured faculty members terminated through program discontinuance shall, for a period of three years following the date of their final salary~~

~~payment, receive preferential consideration among candidates with comparable qualifications for any vacant and funded university position for which they apply and are qualified.~~

~~(3) Faculty employment after program reinstatement.~~

~~If a terminated program or position is reinstated, tenured faculty members terminated through program discontinuance shall have the right of immediate reinstatement for a period of three years following the final salary payment.~~

4.3 Reinstatement

(1) Tenured Faculty.

Tenured faculty members terminated through program discontinuance shall, for a period of three years following the date of their final salary payment, receive **preferential** consideration among candidates with comparable qualifications for any vacant and funded university position ~~for which they apply and are qualified~~. Upon request of the affected faculty member, ~~during a grace period of three years, with the assistance of the appropriate administrators (e.g., academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean, and the provost) and with the consent of the receiving department unit, every~~ a reasonable ~~and good faith~~ effort will be made to enable affected faculty members to obtain suitable positions ~~for which they are qualified~~ elsewhere in the university for which they are qualified. The receiving department or academic unit must consent to the appointment before it is made.

~~In cases of termination of tenured faculty members, the position concerned may not be filled by replacement within a period of three years from the effective date of the termination unless the tenured faculty member has been offered a return to employment in that position and has not accepted the offer within 30 calendar days after the offer was extended.~~

(2) Non-Tenured Faculty.

In cases of termination of non-tenured faculty members, the position concerned may not be filled by replacement within a period of one year from the effective date of the termination unless the person terminated has been offered a return to employment in that position and the person terminated has not accepted the offer within 30 calendar days.

(3) Termination of Offer of Reinstatement.

If an offer of reinstatement is not accepted within the timelines stated above, the university and the Board of Regents have no further obligation to the person terminated. ~~After the expiration of the applicable reinstatement period as provided herein, the institution and the Board of Regents have no further obligation to the affected faculty.~~

(4) Faculty Status and Benefits after Reinstatement.

A faculty member who has been terminated and who accepts reinstatement in the same position will resume the rank and tenure status held at the time of termination, be credited with any sick leave accrued prior to the date of the termination, be paid a salary commensurate with the rank and length of previous service, ~~and will be credited with any annual leave which that the faculty member had accrued prior to the date of termination and for which the faculty member has not received payment.~~

406.5 MAJOR FINANCIAL CRISIS

5.1 Procedures

(1) Initiation.

If the president of the university identifies a possible major financial crisis, he or she shall inform and consult with the Budget and Faculty Welfare Committee (BFW), the Faculty Senate, the Professional Employees Association (PEA), and the Classified Employees Association (CEA) concerning the causes and the possible consequences of this financial crisis. The university president shall also identify possible solutions and the time frame by which decisions must be made by those entitled to participate in the consultative process [Flow Chart 406.X Boxes 1 and 2].

(2) Declaration

Having informed and consulted with the above bodies, the university president will seek the approval of the Board of Trustees to declare a major financial crisis [Flow Chart 406.X Box 3].

The university president, with the approval of the Board of Trustees, may declare the existence of a major financial crisis and set the time frame for developing a plan [Flow Chart 406.X Box 4].

(3) Guiding principles and “targets”

The university president will then develop a set of over-arching principles to guide the university’s response to the major financial crisis and establish “target” cuts for each academic and administrative unit. The university president will share these principles and “targets” with the university community [Flow Chart 406.X Box 5]. When establishing target reductions for each academic and administrative unit, the university president shall seek to minimize the negative consequences to the core missions of the university.

(4) Financial Crisis Advisory ~~Reduction~~ Committee

~~Concurrently~~ The university president will activate the Financial Crisis ~~Reduction~~ Advisory Committee (FCAC), which will consist of two Faculty Senate presidents appointed by the current Faculty Senate President; two faculty members appointed by the Budget and Faculty Welfare Committee (BFW) upon consultation with the current Faculty Senate President; four administrators appointed by the university president; a Professional Employees Association (PEA) employee; and a Classified Employees Association (CEA) employee. ~~The university president will appoint the four administrators.~~ The respective presidents of the Professional Employees Association (PEA) and Classified Employees Association (CEA) will appoint representatives from their organizations [Flow Chart 406.X Box 6].

Following the over-arching principles established by the university president, ~~the academic colleges,~~ and administrative units will prepare plans to meet these “targets” [Flow Chart 406.X Box 7].

The Financial Crisis Advisory Committee (FCAC) will hold hearings with each dean or vice president and selected colleagues to review the plans submitted for their units. The intent of these hearings is to make sure the plans follow the over-arching principles and consider possible impacts on other academic or administrative units. If needed, the Financial Crisis Advisory Committee (FCAC) will ask the academic college or administrative unit to revise its plans and to return for another session [Flow Chart 406.X Boxes 8 and 9].

After meeting with all the academic and administrative units, the Financial Crisis Advisory Committee (FCAC) will formulate recommendations and present them to the university president [Flow Chart 406.x Box 10].

(5) University president’s plan

Considering these recommendations, the university president will formulate his or her own plan. The university president will then present this plan to the Faculty Senate, the Professional Employees Association (PEA), the Classified Employees Association (CEA), and the USU Executive Committee, and may revise the plan taking into account recommendations from those organizations. [Boxes 11 and 12]

(6) Board of Trustees

The university president will then present the final plan to the Board of Trustees for its ~~recommendations and~~ approval [Flow Chart 406.X Box 13].

(7) University community

With the approval of the Board of Trustees, the university president will announce the plan to the university community [Flow Chart 406.X Box 14].

5.2 Reduction in Status or Termination of Faculty due to a Major Financial Crisis

(1) ~~Plan for faculty reduction.~~ Plans to reduce in status or terminate faculty due to a major financial crisis.

As the process described in Policy 406.5.1 is taking place, the academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean, and the provost, shall, in consultation with the departments, department heads, and appropriate college committees, devise an orderly sequence of steps ~~which~~ that shall constitute ~~the college's faculty reduction~~ an academic unit's plan to reduce the status of, or terminate faculty. Included in such a plan will be explicit criteria by which individual faculty will be identified within the various programs under consideration for reduction or discontinuance. Program reductions or discontinuance are never to be declared with the aim of singling out a specific faculty member.

Insofar as feasible, the plan will emphasize the creation of various incentives such as voluntary retirement, early retirement, phased retirement, resignation, reduction in status, salary reduction, severance pay, or similar actions that will result in immediate or eventual cost savings for the university, and that are voluntarily entered into by individual faculty members rather than imposed by university authority.

When non-voluntary faculty reductions are necessary, unless explicitly stated and compelling academic reasons exist to the contrary, consideration will be given first to not filling existing faculty vacancies and not filling vacancies from resignations, retirements, or deaths. Consideration should next be given to the termination of instructional positions occupied by teaching assistants and faculty members with special appointments (adjunct, visiting, and temporary). Next, consideration should be given to the termination of faculty with term appointments. Finally, consideration should be given to the termination of tenure-eligible or tenured faculty members. Ideally, within an academic program, the appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, unless program elimination has occurred. The integrity of the tenure system will be respected unless ~~overwhelming~~ compelling evidence for strategic reductions is in the best interest of the university precludes this basic tenet.

Reduction in status or termination of tenured, tenure-eligible, or term appointment faculty members shall follow the procedures below.

(2) Review procedure.

Proposed faculty reduction plans shall be reviewed by faculty in affected ~~department and college faculties~~ academic units in light of ~~the~~ that unit's future strength, balance, quality of teaching, research, extension, and mission ~~of the department and college, tempered by concern for individual circumstances.~~ Faculty response to such reduction plans shall be forwarded in a timely manner to the appropriate department heads, academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean, and the provost.

The academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean, shall notify, in writing, any faculty member who is the subject of a recommendation for reduction in status or termination. A faculty member who is so identified may respond in writing ~~at any point in~~ to the review with his or her comments becoming part of the record to be forwarded to the next level of review. Academic deans or the vice president for extension and agriculture, and where appropriate, the chancellor and regional campus deans, shall consider such a response ~~in consultation~~, and shall add ~~his/her~~ their separate recommendations and forward the complete file to the provost. ~~or the appropriate vice president.~~

The provost ~~or any appropriate vice provost~~ shall review the recommendations of the academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean and any timely faculty response, as well as any appeals filed as in Policy 406.5.2(5).

(3) Appeal of recommendation for reduction in status or termination to the provost.

If a faculty member chooses to formally appeal to the provost, the faculty member must submit, within 5 days of his or her receipt from the academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean, a notice of a recommendation for reduction in status or termination, a written notice of intent to appeal with the provost. A faculty member who has submitted notice of intent to appeal must file a formal written appeal with the provost within 10 days of receipt of the notice of proposed reduction in status or termination. This written appeal must contain new relevant information not already considered in the review procedure (Policy 406.5.2(2)). The provost must respond in writing to the formal written appeal within 10 days.

(4) Notice of reduction in status or termination.

The provost shall forward the complete file with a recommendation to the university president. The provost shall also notify any affected faculty members in writing of his or her recommendation to the university president. Written notice from the university president or from the university president's designee will be given to a faculty member whose status is reduced or is terminated due to program elimination because of financial crisis as follows: (a) if the appointee is untenured and in the first year of service, notice shall be given at least three months prior to reduction in status or termination (b) if the appointee is untenured and in the second year of service, notice shall be given at least six months prior to reduction in status or termination; (c) if the appointee is tenured or is untenured but in the third or subsequent year of service, notice shall be given at least 12 months prior to reduction in status or termination; (d) the length of notice for faculty with term appointments (Policy 401.4) shall be parallel to that for the untenured faculty described above, with the exception of those term appointees with research or federal research ranks; termination of these faculty is coincident with and contingent upon the termination date of their extramural funding; if their funding extends beyond that of a discontinued program, they may be reassigned to another program. If the

president deems that circumstances warrant shorter times of notification of faculty reduction in status or termination, he or she may do so.

The notice must include the following: (a) the effective date of termination; (b) a statement of the reasons for the declaration of financial crisis; (c) the basis, the procedures, and the criteria used for termination; (d) opportunities for appeal, including access to appropriate documentation, and the appealable issues as set forth in Policy 406.5.2(5) below; and (e) the reinstatement rights.

(5) Appeal and hearing for termination.

A faculty member may appeal a termination only for: (a) violation of his or her academic freedom, legal, statutory, or constitutional rights; (b) failure to comply with this policy, ~~the Board of Regents policy~~, or with the plan for personnel reduction approved by the Board of ~~Regents~~ Trustees, or (c) arbitrary or capricious action. Within 10 days of receiving a notice from the university president for reduction in status or termination, a faculty member who intends to appeal must notify, in writing, the university president and the Academic Freedom and Tenure Committee (AFT) of the intent to appeal. The formal appeal, with supporting documentation, must be filed with the Academic Freedom and Tenure Committee (AFT) within 30 days of receipt of notice from the university president. A hearing will then be conducted in a timely manner by the Academic Freedom and Tenure Committee (AFT), in accordance with procedures in Policy 407. Because of the need to address the financial crisis, the appeal process shall follow the steps in 407.6 except that it must be completed before the termination date of the faculty member. ~~this appeal process will be used in lieu of grievance proceedings in 407 except for the timeline contained in that policy~~

~~(6) Relocation:~~

~~During the grace period of three years, and with the assistance of the appropriate administrators (e.g., academic dean or vice president for extension and agriculture, or where appropriate, the chancellor or regional campus dean, and the provost) and with the consent of the receiving unit, every reasonable and good faith effort will be made to enable the affected faculty members who wish to do so to obtain suitable positions elsewhere in the university if qualified.~~

5.3 Reinstatement

Reinstatement of tenured and non-tenure track faculty members terminated as a result of financial crisis shall follow procedures in Section 406.4.3.

406.6 FINANCIAL EXIGENCY

The university president may, in accordance with the procedures below and with the approval of the Board of Trustees, and **with** the advice of the Faculty Senate, the Professional

Employees Association (PEA), and the Classified Employees Association (CEA), recommend to the Board of Regents that a state of financial exigency be declared. ~~Alternatively, a state of financial exigency may also be initiated declared unilaterally by the Board of Regents. In either case, a state of financial exigency exists only after it has been declared by the Board of Regents.~~

~~The procedures for responding to a financial exigency are organized into three stages. Stage 1 includes procedures for declaring a financial exigency. Stage 2 involves planning for program elimination or reduction. Stage 3 includes plans for implementing reductions and/or program eliminations.~~

6.1 Stage 1. Procedures for Declaring Financial Exigency (Flow chart 406.Y)

(1) Initiation ~~and consultation.~~

~~When~~ If the president of the university identifies a possible financial exigency, he or she shall inform the Budget and Faculty Welfare Committee (BFW), the Faculty Senate, the Professional Employees Association (PEA), and the Classified Employees Association (CEA) ~~and the USU Executive Committee~~ of the causes and ~~the~~ possible consequences of the declaration. The university president shall also identify ~~the measures considered by the university up to that point for dealing with the crisis, including a possible declaration of financial exigency, possible strategies that may be alternative to program reduction or program elimination, reasons why the university's financial circumstances may necessitate academic program reduction or elimination,~~ possible solutions and the time frame by which decisions must be made by ~~those entitled to participate in the consultative process, i.e., the~~ Budget and Faculty Welfare Committee (BFW), the Faculty Senate, the Professional Employees Association (PEA), the Classified Employees Association (CEA) and the USU Executive Committee [Flow chart 406.Y Boxes 1 and 2].

Time considerations will be critical when ~~the university must judge whether or not~~ a financial exigency exists. To the extent that such a judgment must be made in a brief time frame for a given situation, the time periods for the consultative process provided for in this policy [Flow Chart 406.Y Box 2] shall be specified by written notice from the university president giving those ~~for whom the consultative processes were provided~~ in the consultative process the ~~fullest~~ longest possible amount of time ~~under the circumstances~~. In that regard, the university president shall use his or her best efforts to secure the ~~fullest~~ longest period of time possible for consideration of these matters and the responses hereto.

(2) ~~Consultation~~ Receipt and consideration of recommendations.

Within the time period established by the university president and before making a recommendation to the Board of Regents, the university president shall receive and consider the comments and advice presented ~~on the matter~~ by the Budget and Faculty Welfare Committee (BFW), the Faculty Senate, the Professional Employees Association (PEA), the Classified Employees Association (CEA), ~~and the USU Executive Committee.~~ The Faculty

Senate shall receive and consider the comments and advice of the Budget and Faculty Welfare Committee (BFW) as well as timely presented views by any other faculty or administrative body, or individual faculty members, and shall make its recommendation to the university president concerning a declaration of financial exigency [Flow chart 406.Y Box 3].

(3) Declaration.

The university president shall submit **his or her** final recommendation on the declaration of financial exigency in writing to the Board of Trustees prior to submitting it to the Board of Regents [Flow chart 406.Y Boxes 4 and 5]. The university president shall attach the written comments and recommendations of the Faculty Senate, the Professional Employees Association (PEA), ~~and~~ the Classified Employees Association (CEA) and the USU Executive Committee. The university president shall also send a copy of **his or her** final recommendations to the Faculty Senate, the Professional Employees Association (PEA), ~~and~~ the Classified Employees Association (CEA) and the USU Executive Committee.

Upon consideration of the university president's recommendation, the Board of Regents shall make a final decision regarding ~~declare~~ the declaration of financial exigency [Flow chart 406.Y Box 6].

6.3 2 Financial Exigency: Stage 2. Planning for Program Reduction or Elimination (Flow chart 406.Y)

(1) ~~Iterative process~~ Plan Development.

After a declaration of financial exigency by the Board of Regents, ~~an iterative~~ process of university program elimination or reduction ~~planning may~~ shall begin. The intent of this process is to ensure the ~~continuing~~ integrity of ~~academic programs and~~ the overall mission of the university (see Policy 103).

~~(2) Administrative and support services.~~

The university president will ask the provost and the appropriate vice presidents to develop reduction and/or elimination plans in ~~both academic and administrative~~ the areas of the university ~~wide support services and administrative programs~~ [Flow chart 406.Y Box 7]. The development of plans for academic program reduction or elimination ~~plans~~ must involve consultation among departmental and college faculties to identify areas under consideration for academic program reduction or elimination. The following criteria and information sources shall be considered by those making judgments about which programs should be reduced or eliminated because of financial exigency: (a) legal mandate; (b) the general academic quality of the program with regard to scholarship, teaching, and service; (c) the extent of importance that the program has for the mission of the university; (d) the mission and goals of the university; (e) ~~Graduate Council review~~; (f) ~~findings~~ reports by national accreditation bodies; (f) reports by appropriate national ranking sources; (g) ~~such~~ other systematically-derived information, based on long-term considerations of program quality, as may be available; (h) the capacity of the program to generate external funding; (i)

~~faculty/student~~ student/faculty ratios; (j) student credit hours generated/faculty FTE; (k) cost effectiveness when compared to similar programs at other universities; and (l) relationship to the Board of Regents Master Plan for Higher Education in the State of Utah. The above list is not ranked and is not ~~inclusive~~-all encompassing.

~~The first step in the planning process shall be for every academic and administrative unit of the university to assess its programs operations with regard to legal mandate, essentiality to the mission/role of the university, and quality. During subsequent steps, support services shall be reduced to the extent feasible while preventing significant impairment of the university's ability to fulfill its mission/role~~

Such Plans will be reviewed by the Budget and Faculty Welfare Committee (BFW), ~~the Council of Deans, the Faculty Senate,~~ relevant committees of the Professional Employees Association (PEA) and the Classified Employees Association (CEA), and the USU Executive Committee, ~~and will be integrated with academic elimination or reduction plans (see Section 406.6.3 (3))~~ in light of the overall academic mission of the university. If a plan calls for the reduction or elimination of a specific academic unit, ~~associated administrative units~~ university-wide support services must be re-evaluated and reduced as appropriate. Any reduction, or elimination of an academic unit ~~program, center, institute, school, department, college, or regional campus, or site,~~ shall be reviewed by the Budget and Faculty Welfare Committee (BFW); the Educational Policies Committee (EPC); ~~the Graduate Council, where appropriate;~~ the faculty members ~~and/or faculty committee~~ most directly involved in the program; the appropriate department head or supervisor, academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean; relevant college committees or councils; relevant committees of the Professional Employees Association (PEA) and the Classified Employees Association (CEA); ~~and relevant student advisory committees.~~

~~The views of these bodies shall be forwarded to the Faculty Senate for its consideration within the time periods prescribed by the university president. The conclusions of the above bodies and the Faculty Senate and all of the groups, committees, and individuals listed above shall be forwarded to the provost who shall consider them and forward them, along with his or her own recommendation, to the university president. When the university president's recommendations are submitted to the Board of Trustees and the Board of Regents, they shall be accompanied by the Faculty Senate's recommendations. After the Board of Trustees and the Board of Regents has have approved the plan by the university to eliminate a program, the appropriate academic or regional campus dean, vice president, or chancellor responsible for the academic unit of the program, center, institute, school, department, college, or regional campus, or site shall give written notice of the elimination to all persons, including students, in the program, center, institute, school, department, college, or regional campus, or site.~~[Flow chart 406.Y Box 8].

The university president will take into consideration recommendations for revisions to the proposed plan for the reduction and/or elimination ~~plans in~~ of academic ~~the areas of~~ university-wide support services and administrative units ~~programs~~ received from the, ~~the Council of Deans,~~ Budget and Faculty Welfare Committee (BFW), the Faculty Senate, ~~the~~

relevant committees of the Professional Employees Association (PEA) and the Classified Employees Association (CEA), and the USU Executive Committee [Flow chart 406.Y, Box 9].

If the university president makes revisions to the reduction and elimination plans based on recommendations by the Faculty Senate, the Budget and Faculty Welfare Committee (BFW), relevant committees of the Professional Employees Association (PEA) and the Classified Employees Association (CEA), and the USU Executive Committee, then the revised plan will be reviewed by the affected committees or associations. The university president will then consider recommendations from this review. ~~Revised plans will be reviewed by appropriate committees or associations and an opportunity for additional recommendations for revisions provided~~ [Flow chart 406.Y, Box 10].

Once plans for the reduction and/or elimination of programs in academic and administrative units ~~program~~ have been finalized, the university president will recommend the final plan to the Board of Trustees and then the Board of Regents for approval [Flow chart 406.Y, Box 11]. The Board of Trustees and the Board of Regents, in that order, will consider approval of the recommended plans for reduction and/or elimination in academic and administrative programs the university president submitted [Flow chart 406.Y, Box 12] .

Once plans for program reduction and/or elimination in academic and administrative units areas have been approved by the Board of Regents, the university president will deliver written notice to all affected by the plan [Flow chart 406.Y, Box 13].

~~(3) Academic program elimination or reduction:~~

~~The university president, after consultation with the USU Executive Committee, the Council of Deans, the Faculty Senate, and the Budget and Faculty Welfare Committee (BFW), shall direct the provost to develop plans for implementation of academic program elimination or reduction. These plans shall include a timetable for their implementation [Flow chart 406.Y Box 7].~~

~~The development of plans for academic program elimination or reduction plans must involve consultation among departmental and college faculties to identify areas under consideration for academic program eliminations or reductions. The following criteria and information sources shall be considered by those making judgments about which programs should be eliminated or reduced because of financial exigency: (a) legal mandate; (b) the general academic quality of the program with regard to scholarship, teaching, and service; (c) the extent of importance that the program has for the mission of the university; (d) the mission and goals of the university; (e) Graduate Council review; (f) findings reports by national accreditation bodies; (gf) reports by appropriate national ranking sources; (hg) such other systematically derived information, based on long-term considerations of program quality, as may be available; (ih) the capacity of the program to generate external funding; (ji) faculty/student/faculty ratios; (kj) cost effectiveness when compared to similar programs at other universities; and (lj) relationship to the Board of Regents Master Plan for Higher Education in the State of Utah. The above list is not ranked and is not inclusive.~~

~~(4) Review.~~

~~If a plan calls for the elimination or reduction of a specific program, center, institute, school, department, college, or regional campus, or site, that element of the plan shall be reviewed by the Budget and Faculty Welfare Committee (BFW); the Educational Policies Committee (EPC); the Graduate Council, where appropriate; the faculty members and/or faculty committee most directly involved in the program; the appropriate department head or supervisor, academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean; relevant college committees or councils; relevant committees of the Professional Employees Association (PEA) and the Classified Employees Association (CEA); and relevant student advisory committees. The views of these bodies shall be forwarded to the Faculty Senate for its consideration within the time periods prescribed by the university president. The conclusions of the above bodies and the Faculty Senate shall be forwarded to the provost who shall consider them and forward them, along with his or her own recommendation, to the university president. When the university president's recommendations are submitted to the Board of Trustees and the Board of Regents, they shall be accompanied by the Faculty Senate's recommendations. After the Board of Trustees and the Board of Regents has approved the plan by the university to eliminate a program, the appropriate academic or regional campus dean, vice president, or chancellor of the program, center, institute, school, department, college, or regional campus, or site shall give written notice of the elimination to all persons, including students, in the program, center, institute, school, department, college, or regional campus, or site.~~

6.3 Stage 3. Implementation of Plans for Reduction and/or Program Elimination (Flow chart 406.Y).

(1) Development of Implementation Plans.

The university president will direct the provost and vice presidents to develop a plan with a timetable for the implementation of the plan to reduce and/or eliminate academic or administrative ~~units~~ programs [Flow chart 406.Y, Box 14].

The development of implementation plans for reduction and/or elimination of academic and administrative programs will include consultation with affected deans, departments, and faculty [Flow chart 406.Y, Box 15].

(2) Review of Implementation Plans.

The university president will provide an opportunity to review implementation plans for the reduction and/or elimination of academic or administrative ~~units~~ programs by all employees affected by the plan [Flow chart 406.Y, Box 16].

Recommendations from ~~reviews~~ of affected employees who wish to respond will be sent to the Faculty Senate, Professional Employee Association (PEA), and the Classified Employees Association (CEA) [Flow chart 406.Y, Box 17].

The Faculty Senate, Professional Employee Association (PEA), and the Classified Employees Association (CEA) will submit recommendations for revisions to implementation plans to the provost and those, together with all ~~other~~ previous recommendations, will be submitted together with the provost's recommendations to the university president [Flow chart 406.Y, Boxes 18 and 19].

(§ 3) Timetable.

~~Once financial exigency has been declared,~~ The university president shall submit to the Faculty Senate, Professional Employee Association (PEA), and the Classified Employees Association (CEA) a timetable for relieving the state of financial exigency. ~~Further, he or she~~ and shall periodically report progress in this endeavor to these same bodies and the Trustees and Regents [Flow chart 406.Y, Box 20]. ~~Faculty Senate on a quarterly basis.~~

6.4 Reductions in Status; Terminations

The procedures described in Policy 406.5.2 shall apply; ~~. except that the appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure except in extraordinary circumstances where a serious distortion (see Section 406.2.7) of the specific academic program would otherwise result. The question of serious distortion shall be decided by the Educational Policies Committee (EPC) and the Faculty Senate, with the approval of the university president and the Board of Trustees. The finding of serious distortion shall be based on criteria which include, but are not limited to, essentiality of service and work, field of specialization, and maintenance of necessary programs or services.~~

6.5 Reinstatement

Reinstatement of tenured and non-tenure track faculty members terminated as a result of financial exigency shall follow procedures in Section 406.4.3.

406.75 REINSTATEMENT RIGHTS

75.1 For Tenured Faculty

~~Tenured faculty members terminated through program discontinuance shall, for a period of three years following the date of their final salary payment, receive preferential consideration among candidates with comparable qualifications for any vacant and funded university position for which they apply and are qualified. Upon request of the affected faculty member, during a grace period of three years, with the assistance of the appropriate administrators (e.g., academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean, and the provost) and with the consent of the receiving department unit, every a reasonable and good faith effort will be made to enable affected~~

~~faculty members who wish to do so, to obtain suitable positions for which they are qualified elsewhere in the university for which they are qualified during a grace period of three years.~~

~~In cases of termination of tenured faculty members, the position concerned may not be filled by replacement within a period of three years from the effective date of the termination unless the tenured faculty member has been offered a return to employment in that position and has not accepted the offer within 30 calendar days after the offer was extended.~~

~~75.2 For Non-Tenured Faculty~~

~~In cases of termination of non-tenured faculty members, the position concerned may not be filled by replacement within a period of one year from the effective date of the termination unless the person terminated has been offered a return to employment in that position and the person terminated has not accepted the offer within 30 calendar days.~~

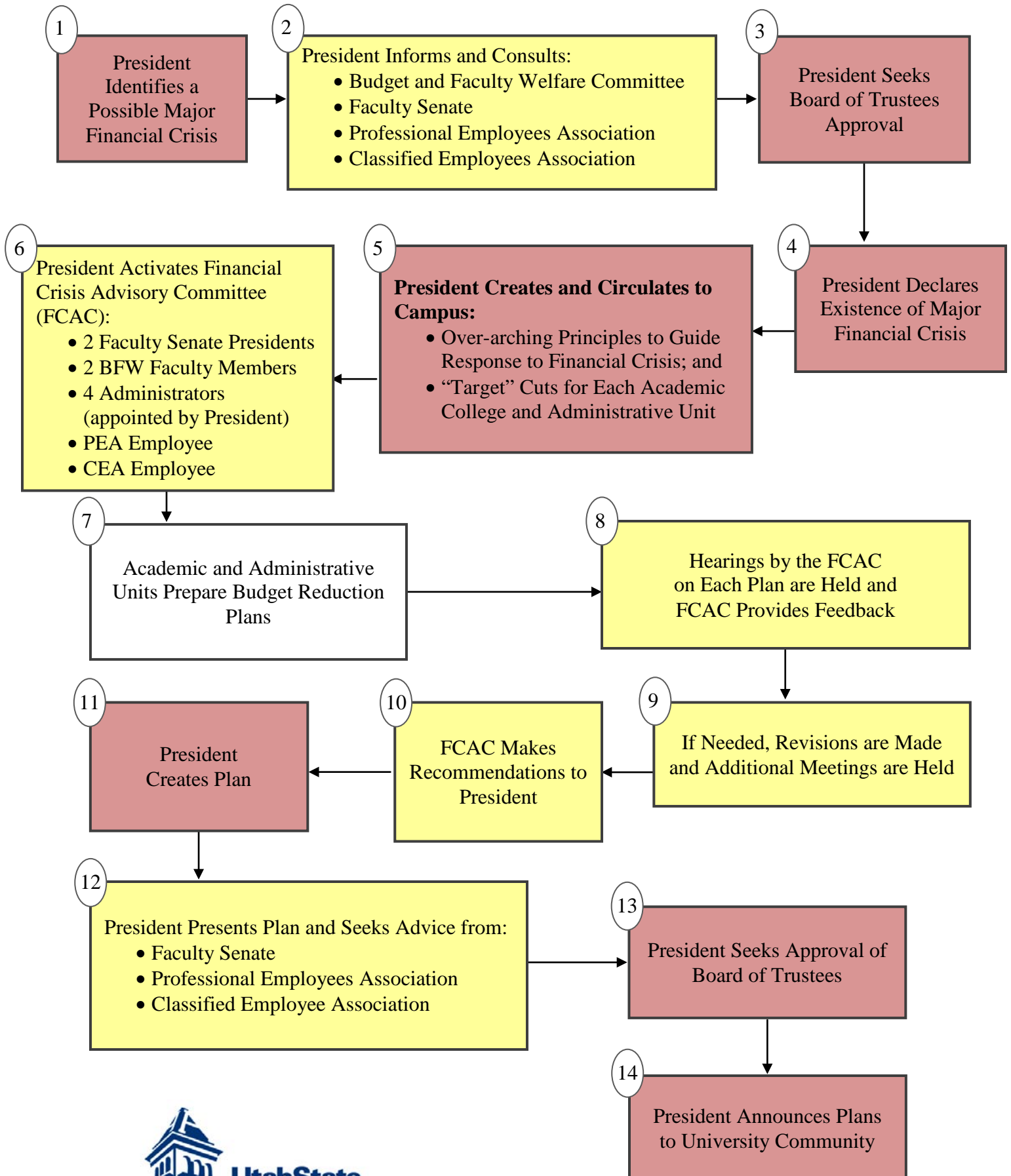
~~75.3 Termination of Offer of Reinstatement~~

~~If an offer of reinstatement is not accepted within the timelines stated above, the university and the Board of Regents have no further obligation to the person terminated. After the expiration of the applicable reinstatement period as provided herein, the institution and the Board of Regents have no further obligation to the affected faculty.~~

~~75.4 Faculty Status and Benefits after Reinstatement~~

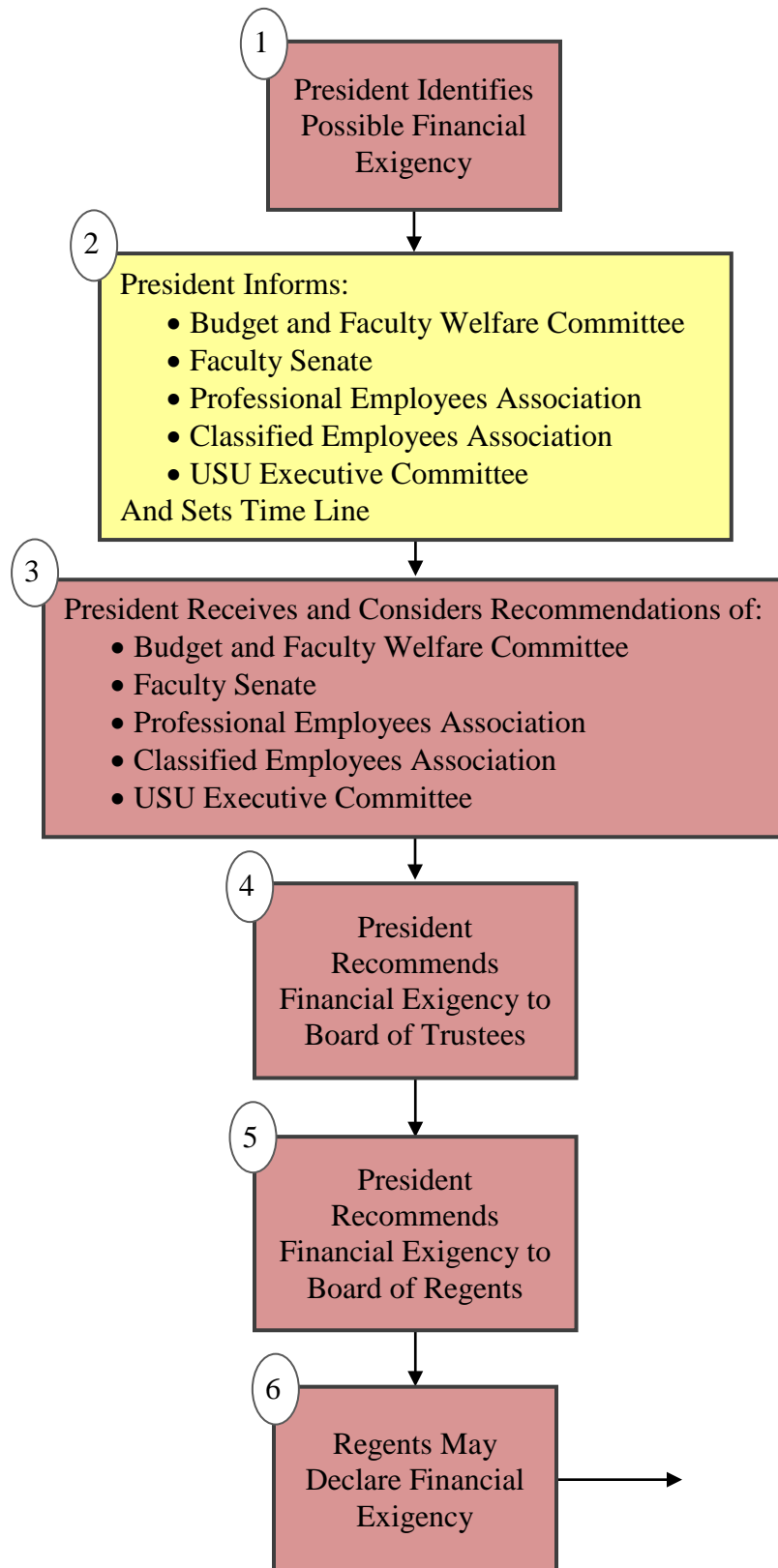
~~A faculty member who has been terminated and who accepts reinstatement in the same position will resume the rank and tenure status held at the time of termination, be credited with any sick leave accrued prior to the date of the termination, be paid a salary commensurate with the rank and length of previous service, and will be credited with any annual leave which that the faculty member had accrued prior to the date of termination and for which the faculty member has not received payment.~~

Outline of Process For Financial Crisis

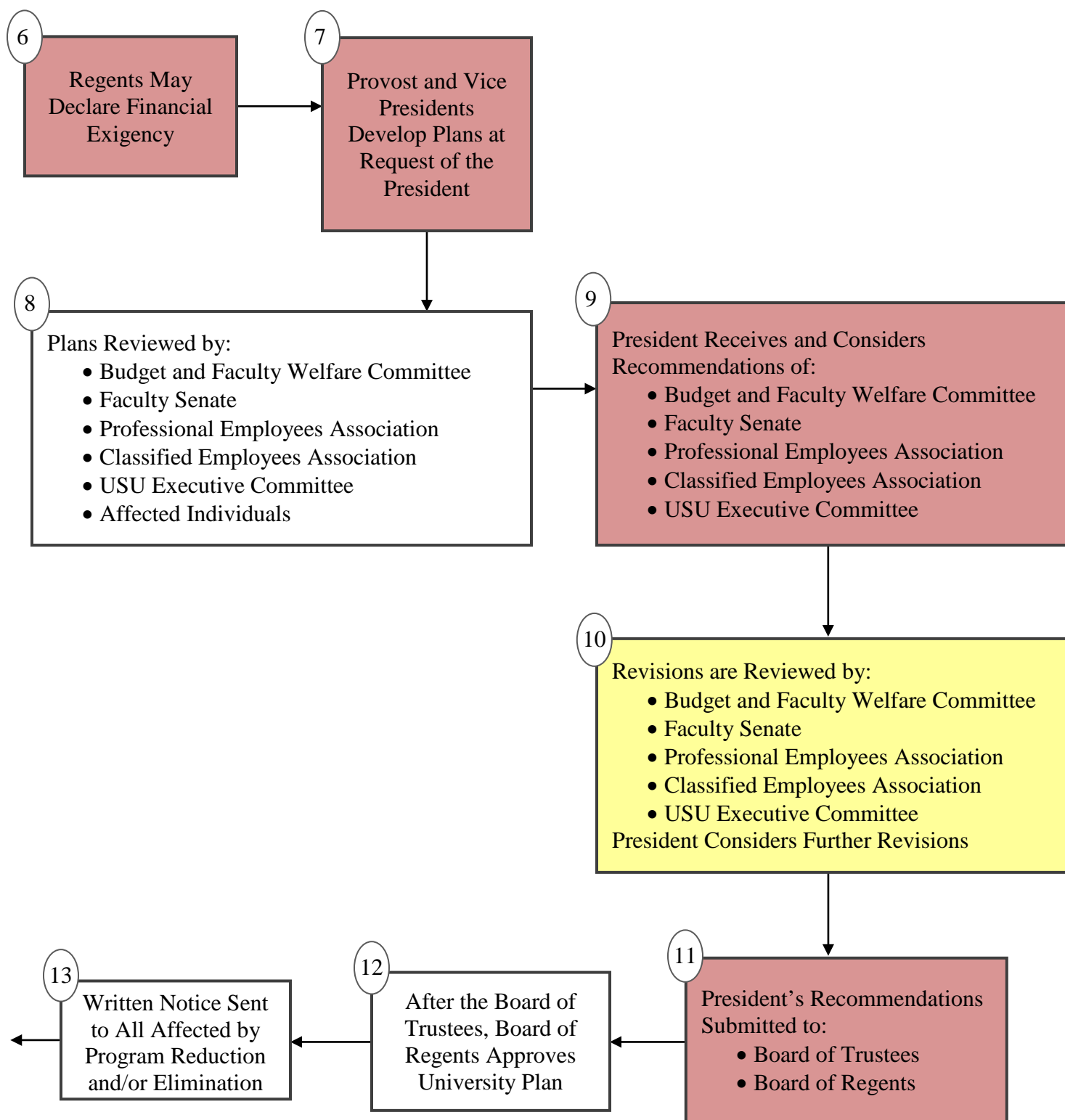


Outline of Process for Financial Exigency

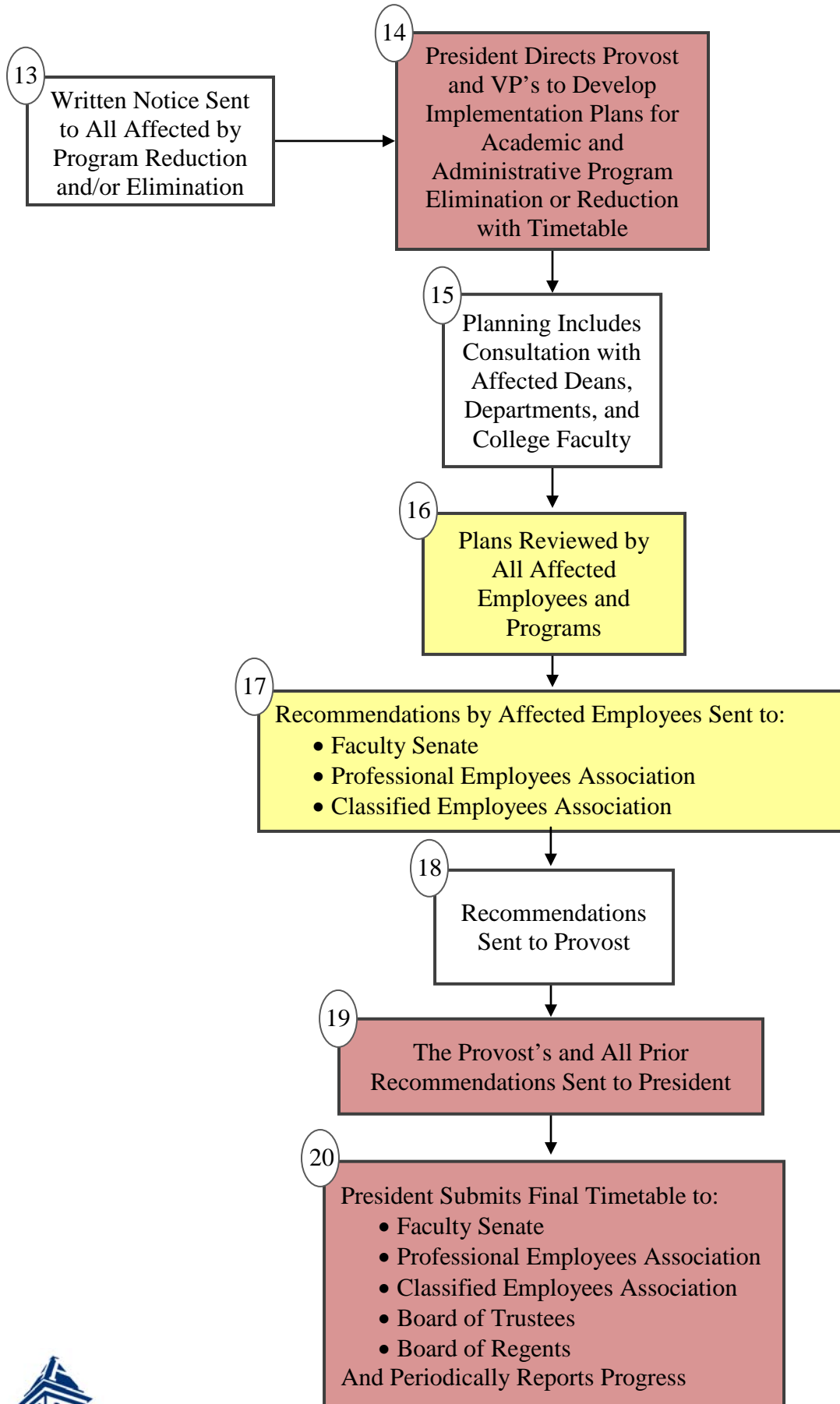
Stage 1. Procedure for Declaring Financial Exigency (Section 406.6.1)



Stage 2. Planning (Section 406.6.2)



Stage 3. Implementation (Section 406.6.3)





OFFICE
of RESEARCH *and*
GRADUATE STUDIES
UtahStateUniversity

Annual Report

to the Faculty Senate for fiscal year 2015

Prepared by Mark R. McLellan,
Vice President for Research and
Dean of the School of Graduate Studies

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Executive Summary

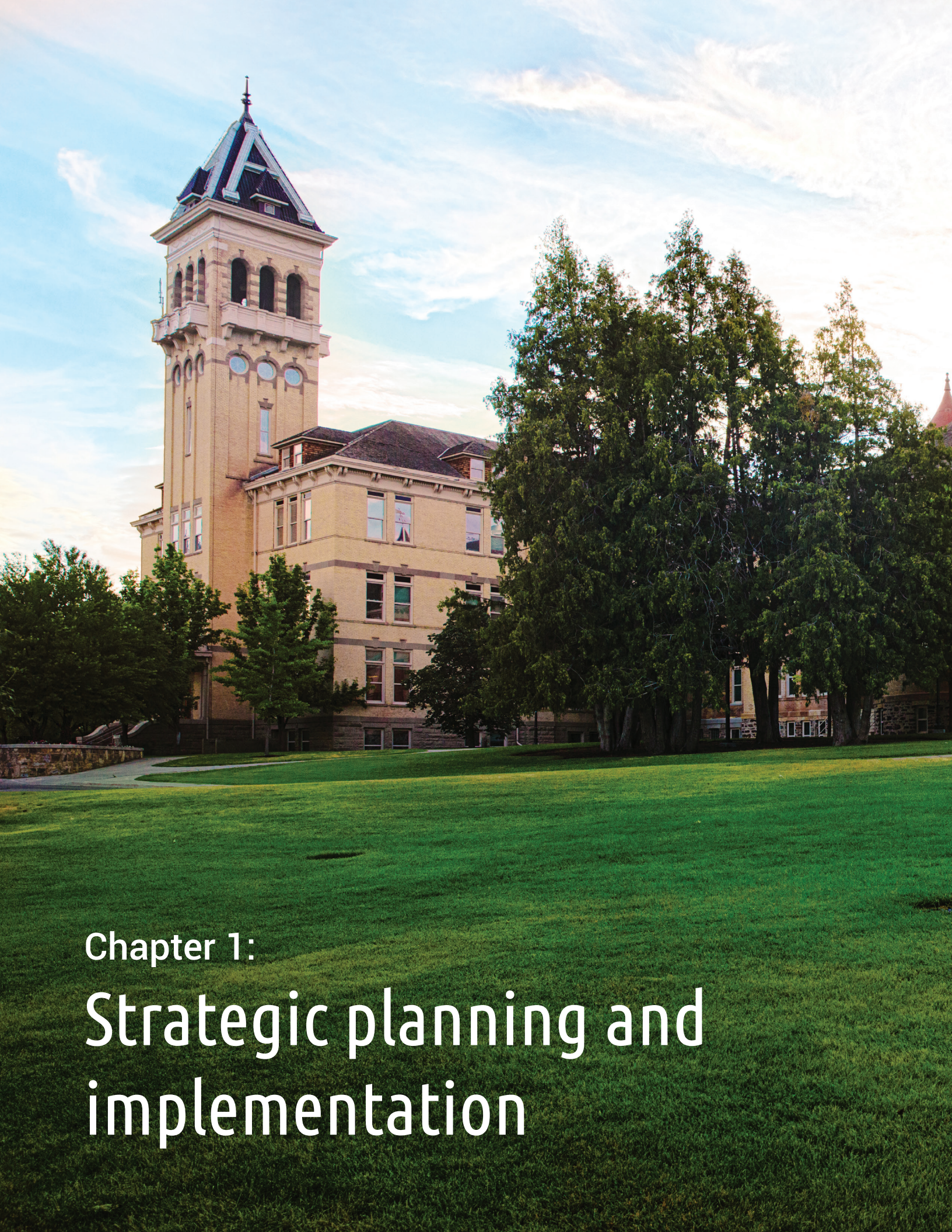
The annual report to the Faculty Senate covers the major activities of the Office of Research and Graduate Studies (RGS), the USU Research Council and the USU Graduate Council from July 1, 2014 through June 30, 2015.

FY 2015 brought another record year of sponsored awards, totaling \$232.8 million of campus research awards, the USU Research Foundation awards and other federal grants. This surpasses FY 2014's \$221.4 million in awards, in large part due to a significant increase in research funding for the academic colleges. Additional financial support this year also came from continued funding from the State of Utah legislature

designated specifically for the enhancement of graduate education.

Throughout the year, RGS staff members have implemented a variety of new initiatives and improvements to better serve USU faculty, staff and students in support of three main goals: growing and supporting USU's research portfolio, fostering success of USU's graduate students, and enhancing USU's undergraduate research program.

This report includes those efforts, with a detailed analysis of key initiatives within RGS and its related divisions. The latter half of this report includes a "by-the-numbers" section, as well as year-in-reviews of each of the RGS divisions.



Chapter 1:

Strategic planning and implementation

Office Overview

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.

Values

Six 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, the values define *how* it is best accomplished. Those values are listed below.

RGS Values

Value	Belief Statement
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 and safety	Scholarship should be conducted with top consideration toward exceeding regulatory and moral standards.
Student engagement	Students are a core focus of a land-grant institution. They can have better balanced lives and educational experiences when they engage in research opportunities.
Interdisciplinary integration	Research should not live within silos; all scholars can benefit from interdisciplinary relationships.
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 consistent evaluation for improvement in effectiveness and efficiency, and those opportunities should be implemented whenever possible.

RGS goals and strategies

Grow and strengthen USU's research portfolio

Increase proposal quality

Strategically fund research initiatives

Increase research infrastructure

Provide efficient research support services

Communicate research successes

Foster success of USU's graduate students

Increase student financial support

Enhance recruitment efforts

Improve departmental programs

Provide value-added opportunities

Provide efficient graduate support services

Enhance USU's undergraduate research program

Encourage greater participation in undergraduate research

Encourage recruitment of high achieving students

Provide funding opportunities for undergraduate research projects

Recognize undergraduate research successes

Train students in research best practices

Goals and strategies

Three main goals have been established to execute the mission of Research and Graduate Studies. For each of those goals, five strategies have been agreed upon to accomplish the goals, as well as further the RGS values. All initiatives undertaken by RGS fall under one of these strategies.

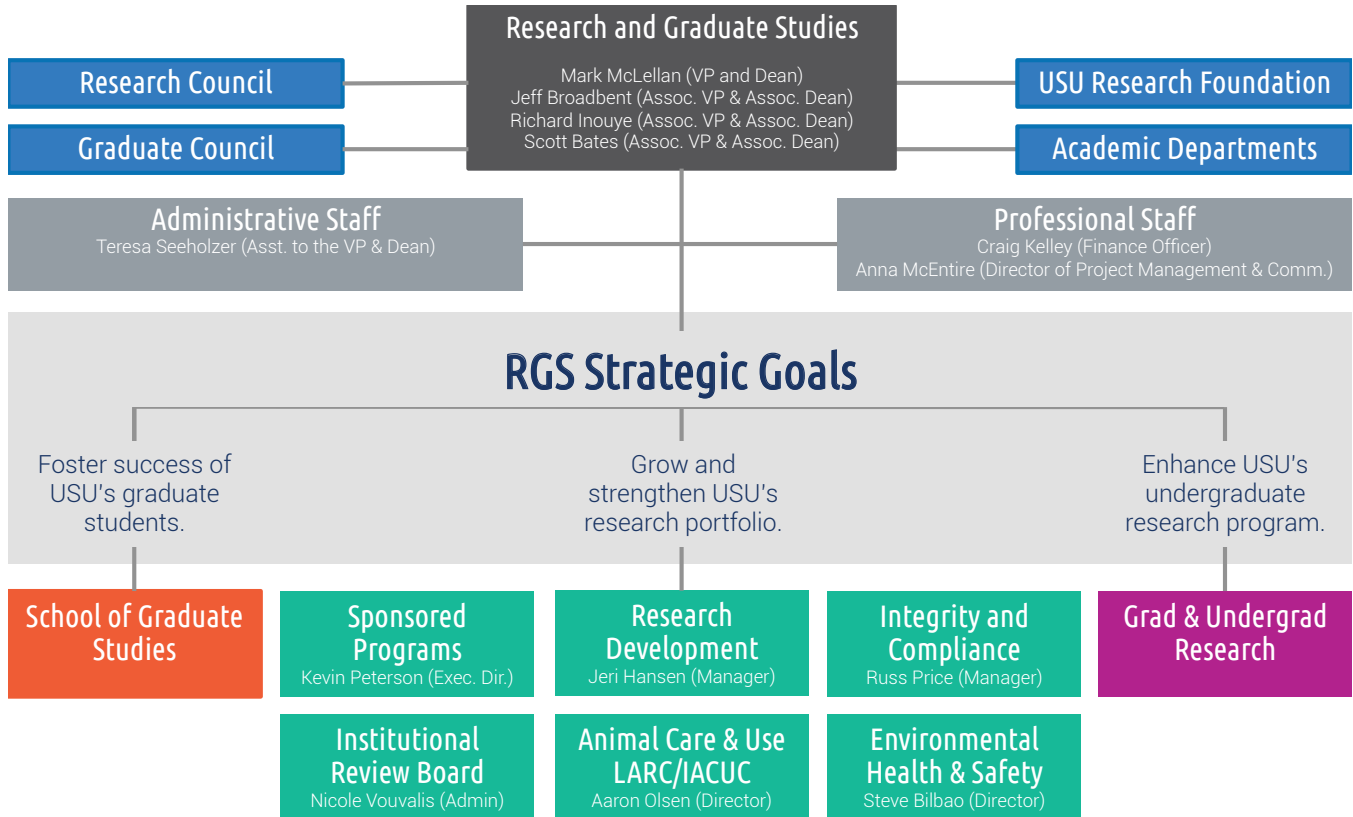
RGS organization and divisions

The Office of Research and Graduate Studies oversees eight divisions: the School of Graduate

Studies, Sponsored Programs, the Institutional Review Board, Research Development, Animal Care and Use, Integrity and Compliance, Environmental Health and Safety, and Graduate and Undergraduate Research. Each of these divisions works to support the RGS mission and strategic goals. In total, RGS has 54 full-time employees. The Office also coordinates the USU Research and Graduate Councils.

RGS Office staff changes

Several changes were made in RGS personnel and division structure in FY 2015. Proposal



Nicole Vouvalis joined USU this year as IRB administrator.

Development and Research Development were combined into a new single division (Division of Research Development). Jim Dorward, who oversaw Research Development on a part-time basis, retired; **Jerilyn Hansen** has been appointed director of the reorganized division.

John Hanks, system administrator for the Division of Research Computing, left the university, and RGS began exploring consolidated high performance computing solutions (discussed on page 10).

In December 2014, **Dan Perry** was hired as an RGS systems analyst to guide several large-scale projects lined up, including the implementation of Quali Research (see page 11) and other Quali modules and the customer relationship management system (Recruiter) that will be used to process graduate student admissions.

True Rubal retired as administrator of the Institutional Review Board after nearly 20 years in the position. **Nicole Vouvalis** was hired to replace her and has overseen other personnel changes within the division.

Strategic Goal 1: Grow and strengthen USU's research portfolio



Mark McLellan speaks at a press conference in September 2014 to announce a record year of research funding for FY 2014.

FY 2015's record funding year of \$232.8 million is largely attributable to an 11% increase in research funding to academic colleges, at a total of \$111.3 million. A detailed five-year breakdown of funding for the colleges, as well as the USU Research Foundation and other funding sources is included on page 41.

RGS divisions support the goal of growing and strengthening USU's research portfolio, through assistance with integrity and compliance, as well as proposal and funding support. A more complete overview of initiatives supporting this strategic goal is included on page 15, activities of the Research Council are on page 29, and individual division reports are included in Chapter 4.

This section highlights new and expanded initiatives established in FY 2015.

Strategy: Increase proposal quality

Washington, DC funding agency trip

The second annual funding agency trip to Washington, DC took place in October 2014. Nine faculty representing seven colleges spent two

days visiting funding agencies that included the Department of Education, the American Chemical Society, the National Institutes of Health, the National Science Foundation, the Office of Naval Research, the Department of Energy, the National Oceanic and Atmospheric Administration, the U.S. State Department, the Environmental Protection Agency, and the National Endowment for the Humanities. The 2013 and 2014 funding agency trips have been seen as very beneficial to the faculty, and the fall 2015 trip will include 18 faculty members, 11 of whose travel will be funded by their colleges.

Training for Research Faculty (TRF)

TRF is a new workshop series that features training on topics of special interest to USU researchers, helping to enhance individual capacity development of USU faculty.

TRF focuses primarily on research skills, replacing and augmenting previous new faculty research training workshops held in the past. Participation (for the most part) is voluntary; as such, it has been formatted to excel at the following characteristics to promote attendance and participation:

- Reputation of excellence
- Momentum of growth
- Structured for faculty value
- Well planned and executed
- Interesting (and even entertaining)

TRF workshops were often focused on the needs of new faculty members and included the following topics: graduate student recruitment, RFAST training, data management, NSF CAREER awards and tools for large project management.

Attendance at the workshops ranged from 25 to 70 attendees. Evaluations were performed at the end of each workshop (with a like/dislike option), and no “dislikes” were received. In a follow-up survey with a 1 to 10 scale of quality (1 being poor quality and 10 being high), 75% of attendees gave the workshops at least a 7.

Strategy: Strategically fund research initiatives

Seed grants

RGS continues to support three different seed grant programs that carry unique missions/

goals and expected outcomes. In FY 2015, a total of 44 Research Catalyst (RC), 2 Grant-writing Experience through Mentorship (GEM), and 3 Seed Program to Advance Research Collaborations (SPARC) applications were submitted. The overall quality of applications was again very high, and 27 projects (24 RC, 1 SPARC and 2 GEM) were awarded funding. Several of the successful RC projects were multidisciplinary or involved partnerships between junior faculty and more senior colleagues. RGS believes such interactions have great potential to enhance faculty success in securing extramural support, and strongly encourages collaboration among faculty in future seed grant applications. A full explanation of the grants is included on page 52, and a table of awards is included on page 43.

Faculty start-up packages

Faculty start-up monies provide new hires with the resources they need to establish a research program and gather preliminary data to support their first external grant proposals. RGS partners with colleges to offer competitive start-up



Abby Benninghoff (Animal, Dairy and Veterinary Sciences) received a Research Catalyst seed grant to study the role of MicroRNA in genome reprogramming in bovine somatic cell nuclear transfer embryos.

USU Office of Research and Graduate Studies

packages. A profile of startup commitments for the past five years is included on page 42.

To better ensure that USU has resources to offer competitive start-up support to new faculty hires, RGS determined that beginning in FY 2015, contributions to the equipment/post-doctoral researcher portion of new faculty start-up packages will be distributed over three installments. The first installment is provided when the faculty member is first hired, then the second and third installments are transferred at the start of the two successive fiscal years.

Strategy: Increase research infrastructure

High performance computing

The departure of the director of the USU Division of Research Computing prompted discussions about partnering with the University of Utah's Center for High Performance Computing (CHPC). The CHPC now offers USU faculty and students the same access that they provide to their own faculty and students, and the high

speed data connections between USU and the CHPC, together with their much larger staff and computing resources, provide a new avenue for USU researchers to access high speed computing. In FY 2016, RGS will be making a financial investment in the CHPC to gain a level of priority access for USU users.

Core facilities

USU's new microscopy core facility was officially launched with an open house celebration in February. The microscopy core is housed in SER 005, and provides microscopy services, project consultation, and user training for scanning electron microscopy and laser dissection microscopy. Dr. John Shervais is serving as the core director, with input and support from a 12-member faculty advisory board. A full-time and highly experienced operator, Dr. Fen-Ann Shen, provides assistance and training on core instruments to faculty, students and staff.

RGS provides a subsidy so that the facility may operate on a \$300 annual membership basis to all USU faculty, staff, and students. For those outside USU, payment is on a fee-for-service



On February 11, a ribbon-cutting ceremony was held for the new Microscopy core facility, which will give faculty and student access to new state-of-the-art microscopy equipment at a subsidized rate. (Pictured: Fen-Ann Shen, Mark McLellan, John Shervais and Jeff Broadbent.)

basis. In FY 2015, more than 174 people visited the microscopy core, including faculty, students, or staff from five USU colleges, as well as the USU Research Foundation and one outside company. To learn how you can access this state-of-the-art facility to support your research, visit <http://www.mcf.usu.edu/>.

Annual equipment matching fund

RGS offered another round of internal capital equipment grants, with continuation of the 50% (1:1) matching funds requirement. Applications were accepted from individual USU researchers, teams of researchers, or by departments or colleges. Twenty-two applications with requests totaling \$309,000 were received. RGS staff and college associate deans for research performed merit review of those applications and selected 12 proposals totaling \$199,000 for funding. A table of all the equipment purchased with these grants is included on page 46.

Strategy: Provide efficient research support services

Multi-year Kualii Software Implementation for Sponsored Research

During FY 2015, RGS began the process of implementing a new university grants system, Kualii Research. Kualii offers campus-wide authentication and routing. Using Kualii, researchers will be able to complete proposal applications and all required proposal materials electronically, replacing the need for paper copies of the Proposal Approval Form (SP-01) and budget template. Implementation will continue internally throughout FY 2016, with campus roll-out to occur fall 2016.

EHS Assist

In order to better ensure the safety of laboratories on campus, the Division of Environmental Health and Safety has implemented a new online system, EHS Assist, to record and track certifications of all USU safety trainings, as well as update labs' chemical and biological inventories. This system is designed to simplify and streamline these processes, making them easier to monitor and

keep up to date. It also allows departments to review the training status of all employees.

Extra service compensation (ESC)

USU recognizes that employees may make unusual contributions to the university that are both related and unrelated to their primary work assignments. To affirm institutional support for appropriate, operations-based standards for ESC, and to ensure compliance with recent federal regulations, USU revised and approved policy 376, "Extra Service Compensation." The new policy defines extra service as any service rendered to USU that is not specifically identified as part of an employee's full workload, and outlines specific conditions under which ESC may be approved. It is important to note that compensation for extra service must be clearly approved as described in the policy before any such work is performed. A copy of the newly revised policy is provided on page 30.

Uniform Guidance

In December 2014 new guidance from the U.S. Office of Management and Budget (OMB) became effective. Units throughout USU's administration worked together during the year to prepare for the changes reflected in the new Uniform Guidance, which combines guidance from eight former OMB circulars. These changes were part of the federal government's efforts to streamline processes in grant administration, which has a major impact on USU.

Regulations that were affected include effort reporting, extra-service compensation, computer purchases, charging of administrative and clerical costs and subrecipient monitoring. USU's approach to the reform included coordinated efforts to modify and augment existing policies and procedures so that they meet the new requirements.

RFAST training

focused on providing awareness of financial and administrative requirements associated with research grants and contracts, has continued during the year. To date, over 900 researchers, including faculty, staff and students, have completed RFAST training through the Canvas

USU Office of Research and Graduate Studies

system. In the coming months, RFAST will be migrated to USU's learning management system, Avatar, in order to more effectively track this mandatory training.

Data management, storage, and accessibility

RGS, along with several entities across campus, including the Library, Central IT, and the Information Security Office (the Data Management Group, collectively), continued to monitor and plan for the pending implementation by federal funding agencies of open access requirements pertaining to research data results.

The Data Management Group worked during FY 2015 to establish what USU's response to this mandate would be. The Library was designated as the main point-of-contact to assist researchers needing to make their data publically available. Librarians will walk researchers through USU's available resources and help them decide the best place to store data and make it publically accessible to satisfy the new federal requirements.

The majority of research data can be stored and made available in Digital Commons. For those researchers who need very large storage, Central IT has identified several options—Box.com being one of them—and continues to stay abreast of this rapidly changing facet of the open access issue.

Strategy: Communicate research successes

TEDxUSU

RGS organized its third year of TEDxUSU, an independently organized TED-like event dedicated to sharing "ideas worth spreading." TEDxUSU was expanded to a half-day, three-session conference focused on the theme "Friction." Tickets to the event, held in the Caine Performance Hall, sold out within hours. Olympic silver medalist Noelle Pikus Pace and award-winning author Orson Scott Card headlined the event, which also featured talks by USU faculty and students. The preparation process was treated as a training experience for speakers to hone their communication and presentation skills, which a view toward more than just a TEDx talk. Speakers were selected through an audition process and were coached and supported by RGS staff for more than five months as they prepared their talks and performances.

New this year was an interactive second session in the Kent Concert Hall atrium, where attendees mingled with TEDxUSU speakers, networked with fellow audience members, viewed innovative exhibits and presentations, and helped create artistic compositions.

Over three years, TEDxUSU talks have been viewed nearly 325,000 times on YouTube.



A sold-out crowd packed the Caine Performance Hall for the third TEDxUSU event, where 13 faculty and students gave engaging talks and performances.



Left: Jason Quinn (Engineering) gives a short and compelling reason to keep cars' tires properly inflated. Right: This year's TEDxUSU included a new, interactive second session for guests to dive deep into the talks.

TEDxUSU 2014 Presenters

Presenter	College	Department
David Brown	Science	Mathematics
Jenna Glover	Education and Human Services	Psychology
Matthew LaPlante	Humanities and Social Sciences	Journalism and Communication
Jason Nicholson	Art	Music
Jason Quinn	Engineering	Mechanical and Aerospace Engineering
Lindsey Shirley	Agriculture and Applied Sciences	Family and Consumer Sciences
Jarod Raithel	Natural Resources	Ecology
Jim Davis	Business	Management
Melanie Domenech Rodriguez	Education and Human Services	Psychology
Deborah Fields	Education and Human Services	Instructional Technology and Learning Sciences
Evelyn Funda	Humanities and Social Sciences	English
Dennise Gackstetter	Art	Art and Design
Nicole Martineau	Science and Art	Biology and Theatre

Sunrise Session 2014-15 Presenters

Presenter	College	Dept.	Title
Merideth Ferguson	Business	Management	You Can't Leave It at the Office: Fallout from Toxic Workplace Environments
Victor Lee	Education and Human Services	Instructional Technology	Engaging Bodies and Minds in K-12 Education
Brian Higginbotham	Education and Human Services/ Extension	Family, Consumer and Human Development	Relationship Education: Skills for Couples, Parents and Stepfamilies
Mac McKee	Engineering/ Utah Water Research Laboratory	Civil and Environmental Engineering	50 Years: Utah Water Research Laboratory

Sunrise Sessions

Now in its ninth year, Sunrise Sessions bring USU research presentations to our Salt Lake constituents on a quarterly basis. Jointly administered with the USU Advancement Office, the program continues to be supported by Regence.

In FY 2015, four speakers presented on their research. About 100-150 people attended each Sunrise Session in FY 2015, and all talks were posted to USU's YouTube channel for online viewing. In FY 2016, RGS will assume full responsibility for the Sunrise Sessions.

Research Week

On April 6-11, RGS hosted USU's 11th annual Research Week, showcasing the best of the best in undergraduate, graduate and faculty research.

Research Week gave student researchers center stage through events such as Ignite USU and the Student Research Symposium, and celebrated faculty research at the annual Awards Gala and the D. Wynne Thorne Lecture.

Throughout Research Week, the Office of Research and Graduate Studies formally recognized more than 50 college awardees: Faculty Researchers of the Year, Graduate Researchers of the Year, Graduate Instructors of the Year, Undergraduate Researchers of the Year, and Undergraduate Research Faculty Mentors. Two university awards, the D. Wynne Thorne Career Research Award and the Graduate Mentor of the Year, were also given. Hundreds of other students and faculty were recognized on a more informal basis throughout the week.



Ignite USU is a key feature of Research Week, giving students the opportunity to share the stories behind their research in fast-draw five-minute talks. The event, held in the Library south atrium, attracts more than 150 attendees and hundreds of YouTube views.

Initiatives to grow and strengthen USU's research portfolio

Strategies	Before 2013	2013-14	2014-15	2015-16
Increase proposal quality.	Central and embedded proposal development specialists			
	Agriculture, Education	Engineering		Extension
	Proposal Writing Institute			
	Grant-writing workshops			
	IGERT workshop	Arts/Humanities WS		
	Funding Finder email newsletter			
	Online limited submission process			
	New Faculty Research Orientation			
	New Faculty Research Training Series			
		Faculty trip to visit DC agencies		
		DMP Data Management Tool		
		Training for Research Faculty (TRF X5)		
Strategically fund research initiatives.	30% F&A returned to generating units + \$378K in dean's strategic funding			
	Startup funds for new faculty			
	Biannual seed grants program			
	Annual Equipment matching fund			
Increase research infrastructure.	RGS core facilities: LARC and Microscopy			
	High Performance Computing			HPC U/U partnership
	Qualtrics support and training			
	NMR support			
	Herbarium support			
Provide efficient research support services.	Proposal submission, award, and closeout			
			SPD restructure	
			Kuali Research	
	SP-01 routing through DocuSign			
	Researcher Dashboard			
	Campus Environmental Health and Safety			
			EHS Assist Tool	
	Research integrity and compliance			
	Research Scholars Certification RCR training			
	DHHS COI policy update	Time & Effort, ESC policy updates		Uniform Guidance
		RFAST training		
	Human/animal research subjects protection			
	AAHRPP and AALAC re-accreditation			
	Protis online protocol submission system			
	RSA training for certification in sponsored programs administration			
		Basecamp coordination tool		
Communicate research successes.	Research Week			
	Awards Gala	Ignite	Student awards	Symposium
	D. Wynne Thorne and USU Researcher of the Year recognition awards			
	Sunrise Sessions			
	Ascend email newsletter			
	RGS social media (FR: USUResearch, Twitter: @USU_RGS, YouTube: USU RGS)			
	TEDxUSU conference			
			Fall PI forum	
		RGS Coffee Breaks		

Strategic Goal 2: Foster success of USU's graduate students

The School of Graduate Studies is charged with supporting graduate student education, from recruitment through commencement. A general overview of initiatives supporting this strategic goal is included on page 22. Additionally, activities of the Graduate Council are listed on page 34. This section includes important and new initiatives implemented to better achieve our strategic goal.

Strategy: Increase student financial support

A major push to receive new funding for support of graduate education was reflected in a multiyear effort that started in FY 2012. In FY

2013 we received a total of \$3 million in one-time funding to enhance graduate programs. Over two years, these funds were used for infrastructure, recruitment and graduate student support. In FY 2014 the state legislature moved to support graduate programs with \$500K in recurring funding and \$500K in one-time funds. The recurring funding has been committed primarily to the support of faculty proposed graduate assistantships. Those dollars are being used to support competitively awarded assistantships, additional Presidential Doctoral Research Fellowships, X-STEM assistantships in the colleges of Business, Arts, and Humanities



Funding from the state legislature is aimed at increasing key metrics indicative of graduate student success, such as total enrolled graduate students, reduced time to degree, and total degrees conferred at USU.



Talin Louder (Pathokinesiology, EEJCEHS) and Stephanie Kung (Nutrition, Dietetics and Food Sciences, CAAS) were recruited to USU and are now supported by the Presidential Doctoral Research Fellows program.

and Social Sciences, and development matching dollars.

In FY15 the state legislature allocated \$1.6 million in new recurring dollars to support graduate education at USU. Of this \$1.6 million, \$150K of reoccurring funding was allocated to the library and \$725K was allocated to the Provost for use in support of critical faculty hires aimed at boosting graduate training in important fields and disciplines. The remaining \$725K for FY 2016 is committed to a backlog of faculty requests for graduate student support. Commencing in FY 2017, the \$725K of those funds that are targeted to direct graduate student funding will be allocated to colleges, using a formula based on the number of 0.5 FTE assistantships in each college funds will be distributed.

Strategy: Enhance recruitment efforts

Graduate recruitment workshop

A Training for Research Faculty event (held in September) focused on tactics for recruiting exceptional graduate students. About 60 faculty

members attended a 90-minute session, which focused on optimizing recruitment audiences, messages and communication channels. The workshop received 100% positive feedback, with requests for more in-depth follow-up discussions.

PDRF recruiting

The Presidential Doctoral Research Fellows program is administered by RGS and is designed to support exceptional graduate research and mentoring through recruitment, retention, and training of world-class doctoral students. Each awarded fellowship constitutes a commitment of resources and responsibilities from awarding (RGS, college/ department) and receiving (PDRF) parties. The PDRF program entered its fourth year of operation in FY 2015.

Before the FY 2015 recruiting season, there were 28 active PDRFs. In FY 2015, 14 additional fellowships were created. Fellowships are allocated to colleges based on proportion of PhD enrollment. Fellowship slots are awarded to departments or individual faculty members by each dean. In FY 2015, one "at-large" slot was allocated by RGS. A table of all the allocated slots is included on page 46.

USU Office of Research and Graduate Studies

Graduate admissions: Portfolio option

The Graduate Council approved a portfolio option for programs that would like to allow applicants to submit a portfolio in place of national entrance examination results. Consideration of this option was driven by the Department of Art and Design, which believes that a portfolio of work is a better predictor of success than a test score, and which has seen potential students turn to other schools that allow submission of a portfolio. Each graduate program that wants to use the portfolio option must submit to the Graduate Council a request that explains the type of portfolio that will be accepted, how it will be evaluated, and whether peer and aspirational peer programs follow a similar practice. At the end of the 2014-15 academic year, the Department of Art and Design and the Executive MBA Program were approved by the Council to accept a portfolio in place of an entrance exam score.

Western Regional Graduate Program (WRGP)

Two USU programs, American Studies, with a specialization in Folklore, and Management Information Systems joined the WRGP, and are now among the 15 graduate programs for which students from 15 western states and the Commonwealth of the Northern Mariana Islands can pay resident tuition as a result of a reciprocity agreement through the Western Interstate Commission for Higher Education.

Strategy: Improve departmental programs

Graduate faculty approval

Approval of individuals to serve on graduate supervisory committees now takes place at the department level, with final approval by the college dean. This process, which started in fall 2014, puts the decision about which roles an individual may be assigned (e.g., advisor, committee member, non-voting committee member) in the hands of the faculty with the most appropriate disciplinary expertise.

Graduate program mid-term reviews

The past year was the midpoint in the five-year plans for program improvement that were

developed as part of a major review of each graduate program. Mid-term reviews conducted by the college deans evaluated progress that had been made towards goals established in those five-year plans. Graduate programs in each department were provided with data on applications, enrollment, degrees awarded, student demographics, and time to degree, and tasked with providing to their college deans a report on the status and trajectory of their program, and updates to their five-year goals. Those reports were reviewed by the Graduate Council and submitted to President Albrecht.

Strategy: Provide value-added opportunities

Graduate Training Series (GrTS)

Now in its second year, the Graduate Training Series provides monthly opportunities for graduate students to receive instruction on professional development skillsets. This year, the Graduate Training Series was all about “how to.” Students from every college attended workshops on topics ranging from graduate school hacks to professionalism to visual communication skills.

Presenters from a variety of disciplines and offices on campus shared their expertise to enrich graduate students’ learning beyond their classroom curricula and research. Average attendance at the workshops was about 50 and some even brought in 75. Students response was overwhelming positive to each of the workshops, a response gleaned from using the “Like or Dislike” box system, where students drop in a comment card in the box of their choice on their way out the door.

Comment highlights included:

- “Most helpful GrTS so far! Really, supremely practical advice that I plan to follow to the letter.”
- “This was by far the most useful GrTS session I’ve been to. Thanks.”
- “Great presentation and a wonderful presenter! Well done and felt that it was well worth my time.”

2014-15 Graduate Student Training Series Workshops

Workshop	Attendees
How To Hack Graduate School (From the People Who Run It)	25
How To Work With Your Mentor	60
How To Get the Most Out of a Conference	38
How To Protect Your Work	33
How To Create Gorgeous Slides	60
How to Design Stunning Posters	75

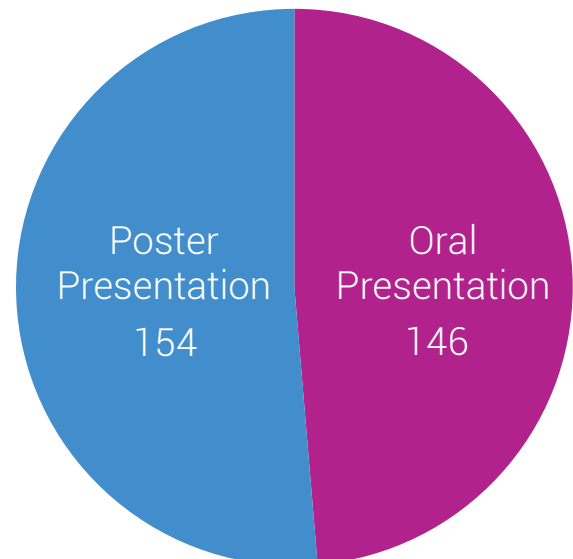
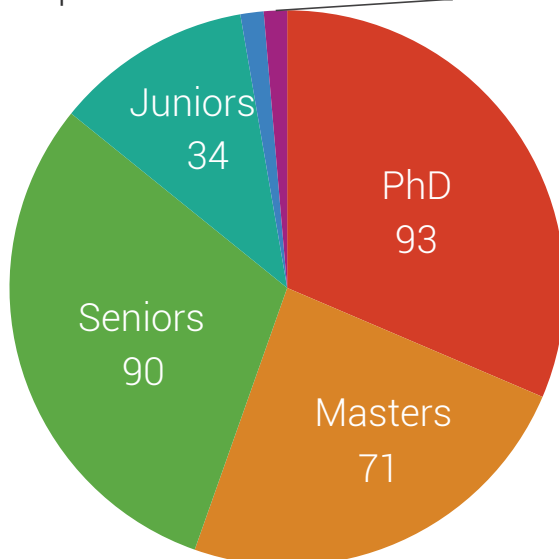
- "Fabulous once again! Thank you so much for your work, preparation, and especially the examples. I've never been interested in a poster session for the very reasons you mentioned (BORING!). Now I am ready and VERY interested. I want to engage in this way."
- "Fantastic! Most engaging presentation I've ever attended. Thank you!"
- "Great advice. Come teach the Physics professors, so they quit making me add more words!"

Student Research Symposium

This year, Research Week's two oldest and most attended events, Student Showcase and the Graduate Research Symposium, were merged into a single Student Research Symposium. By bringing undergraduate and graduate students to the same poster sessions and oral presentations, RGS was able to offer targeted training to student presenters, mentorship and networking opportunities, and, most importantly, discipline-specific sessions, which provided the opportunity to better support the students. The judging system was also streamlined, allowing faculty judges to provide online feedback that was

Student Research Symposium Participants

Sophomores 4 Freshmen 4



USU Office of Research and Graduate Studies

tallied in real-time and provided email feedback to students.

More than 300 graduate and undergraduate students, from all colleges, participated in the symposium and associated trainings. There were 154 posters and 146 oral presentations. Biological Engineering was the best-represented department at 29 participants, followed by Chemistry and Biochemistry at 24, English at 22 and Physics at 19.

More than 60 faculty members assisted with judging the posters and presentations, and, in addition to the traditional judging, students were also given critiques on their presentation skills by LPCS representatives and more than 80

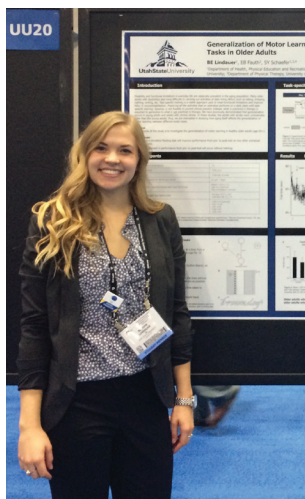
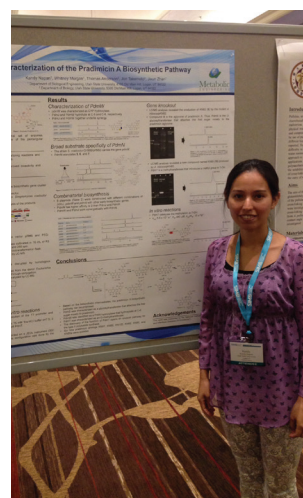
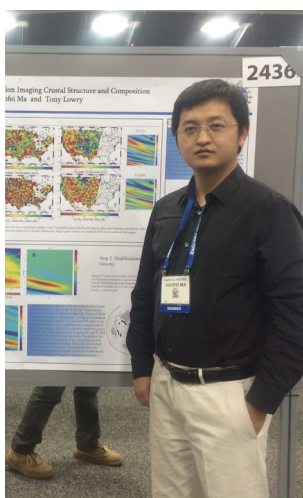
students submitted their posters and slides for consideration for design judging.

Two other universities contacted our office to learn more about a project USU undergraduates were working on. They found out about the projects because the abstracts were posted online.

Graduate student travel awards

In FY 2015, a total of \$51,800 was allocated to graduate students to support travel to professional conferences to present research.

Three colleges participated in a travel matching program to set up an additional pool of funds for their students to access once the central pool was exhausted. This college-specific funding



RGS funds supported travel for 176 graduate students to attend academic conferences and professional gatherings.



supported another \$10,400 in travel funds for graduate students.

Strategy: Provide efficient graduate support services

Graduate orientation

In August 2014, RGS overhauled the new graduate student orientation. Held the Thursday before fall semester, the content of the hour-long orientation was restructured to include a broader overview of the graduate student experience, instead of a focus on rules and checklists for degree completion. To augment this, a graduate student fair was held outside the ESLC afterwards, hosting campus and community organizations for graduate students to become familiar with.

Additional new student materials were provided beyond the orientation event. A graduate student passport was developed, giving students direction toward the best first steps to integrate themselves with campus. A new student portal was also developed and launched on the School of Graduate Studies website.



Fall semester graduate student orientation has been retooled to give a better, broader overview of Utah State and involvement opportunities.

Initiatives to foster success of USU's graduate students

Strategies	Before 2013	2013-14	2014-15	2015-16	
Increase student financial support.	Tuition awards, fellowships, scholarships				
			Research non-resident tuition waiver		
			Excellence non-resident tuition waiver		
	Manage subsidized insurance		(moved to Student Services)		
	Tuition award pool (decentralized, two-year allocation cycle)				
	Require tuition be included on grant proposals				
		PhD conversion			
		One-time state funding: PDRF expansion, dissertation enhancement			
			Recurring state funding: X-STEM, RGS assistantships		
Enhance recruitment efforts.	Recruitment grants (augmented)		(augmented)		
	Grad school recruiting email campaign				
	PDRF program, profiles, posters, recruiting				
	Western Regional Graduate Program			2 new degrees	
	Recruiting fairs				
	Recruitment online toolkit, workshop, panels				
		Web enhancement			
		Iraq recruiting trip			
				CRM software	
Improve departmental programs.	Program reviews (Self studies, 5-year plans)		(mid-term reviews)		
		Restructuring programs and degrees; conversion of MS/C to professional degrees			
		Graduate faculty process: department review			
Provide value-added opportunities.	Thesis and dissertation workshops				
	Graduate Research Symposium		(symposium training)	(combined with UG)	
	Responsible conduct of research training		(mandatory for doctoral)		
	Social media				
	Grant-writing workshops each semester				
	Travel funding moved to RGS				
	Ignite speaking event				
		Graduate Student Training Series (7 workshops/year)			
Graduate student awards moved to RGS					
Provide efficient graduate support services.	Application processing				
	New student orientation		(grad orientation fair)		
	Graduate catalog		(RGS ownership)	(Acalog system)	
	Commencement				
	Graduate program coordinator meetings				
		Graduate faculty forums			
		Enrollment management study			
		DocuSign			
Data summaries: college/dept demographics					

Strategic Goal 3: Enhance USU's undergraduate research program

The undergraduate research program includes numerous opt-in opportunities in which students from all colleges may participate. A more complete overview of initiatives supporting this strategic goal is included on page 27. This section highlights new initiatives established in FY 2015.

Strategy: Encourage greater participation in undergraduate research

Summer Research Symposium

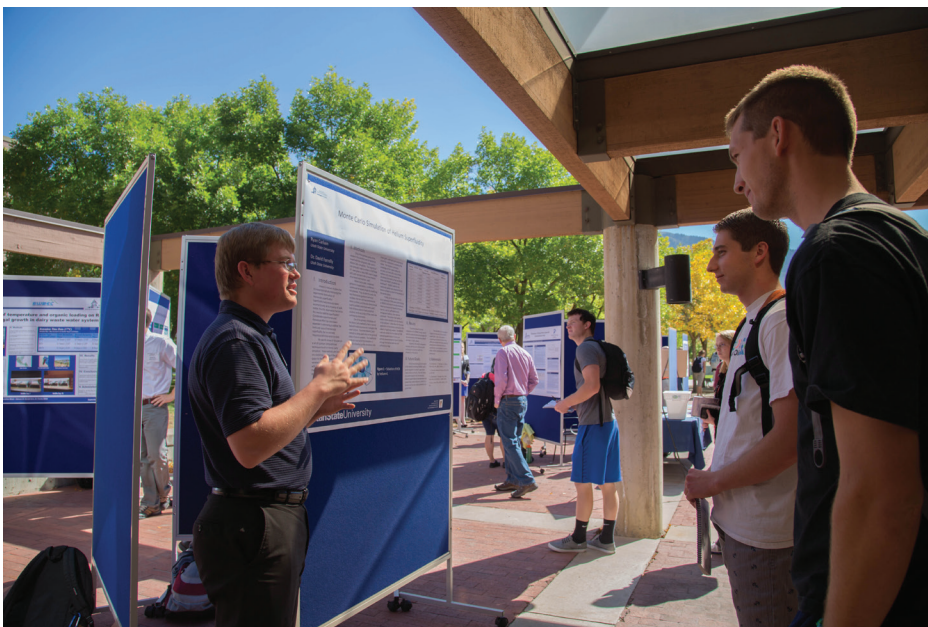
Students who conducted funded research during summer 2014 received the opportunity to present the results of their research at a new summer research symposium, held in September 2014. A poster-presentation training session, "Creating Great Undergraduate Research Posters," was held beforehand to support presentation skills for any undergraduates who were involved in research during the summer. SURCO-funded students shared their research posters in the courtyard outside the Natural Resources Building immediately after the fall Undergraduate Research

Orientation meeting to enable new students to see examples of completed research projects.

The Erevna Quartet: USU's 2014-2015 Undergraduate Research Quartet

This year, the Undergraduate Research Fellows program was augmented with a new Undergraduate Research Quartet. The members of the quartet—Amanda Marsha, violin; Brynn Seegmiller, violin; Gavon Peck, viola; and Stephen Mitton, cello—were hand selected. As a quartet, their hours of rehearsal and preparation were equivalent to the hours of research conducted by other Undergraduate Research Fellows.

Quartet members received coaching from professional chamber musicians, gave outreach concerts and master classes at public high schools and after-school programs and gave performances across campus. All of these have allowed them to demonstrate the relevance of their art form in the community while preparing for a full-length chamber music recital. Each semester, the quartet gave a presentation to the Creative Arts class in the Kent Concert Hall for



The Summer Research Symposium was held after the fall undergraduate research orientation to give summer-funded students the opportunity to present their projects to interested students.



Major changes were made in Scholars' Day, USU's key recruiting effort for high-ability students who feed into the URF program. Event program was imported from Research Week to provide an Ignite experience, and students were able to visit groups on and off campus.

several hundred students. They also organized a series of "dorm concerts" where they gave presentations in on-campus housing.

Strategy: Encourage recruitment of high achieving students

Scholars' Day

This year, Scholars' Day shifted to a recruiting event for high ability high school students. Organized in partnership with the Honors Program and the Admissions Office, Scholars' Day has been a component of the main USU yield event, A-Day. Although successful, the date of the event has given little opportunity to provide true recruiting opportunities, since it is held after all scholarship and fellowship deadlines.

RGS moved Scholar's Day from March to May, and targeted high school juniors, instead of high school seniors. Nearly 200 students from across Utah and Idaho attended, and most provided very positive feedback on their experience. They

saw Ignite talks, a TEDx talk, completed an interactive build event (while USU representatives talked about honors, undergraduate research, and academic scholarships with their parents), took a campus tour, had lunch, and ended the day at an "exploration" session. In those sessions RGS partnered with groups on and off campus: the Utah Water Research Laboratory, the SMASH Lab, Space Dynamics Laboratory, the special collections division at the Merrill-Cazier Library, the Anthropology Museum, the Department of Psychology, ASSERT, the Department of Art and Design.

URF application with Honors

In conjunction with changes to Scholars' Day, the application process for Undergraduate Research Fellows was further streamlined reduce barriers to participation. Two years ago, the on-campus interviews were discontinued in favor of an all-online process. This year, the application was simplified by combining the main information submission and the essay with the Honors program application.



USU undergraduate researchers presented 24 posters to state legislators and others at the 13th annual Research on Capitol Hill held in partnership with the University of Utah.

Strategy: Provide funding opportunities for undergraduate research projects

Changes to URCO policies

The Undergraduate Research and Creative Opportunities (URCO) Grant program, funded by RGS, was established in 1975 to support worthy independent student projects. In the summer of 2013, the program was expanded to include the summer term and allow salary to be included in budgets. In the summer of 2014, the summer program was unified, and the URCO programs scope and budget were expanded.

In FY 2015, there were two rounds of URCO funding. In fall 2014, there were 33 URCO

proposals funded, in spring 2015, there were 36 URCO proposals funded, for a total of \$72,545 in funding support.

Strategy: Recognize undergraduate research successes

Research on Capitol Hill

Utah Research on Capitol Hill, co-hosted by the University of Utah, was held on January 29, 2015. Thirty-two students presented 24 posters to Utah legislators.

UCUR

The Utah Conference on Undergraduate Research was hosted at Dixie State University on February

USU Office of Research and Graduate Studies

27, 2015. A total of 27 Utah State University students participated.

NCUR

RGS supported 31 students in attending the National Conference on Undergraduate Research in April. NCUR was hosted by Eastern Washington State University in 2015.

Strategy: Train students in research best practices

Student Research Symposium

As mentioned on page 19, FY 2015 brought a major change to Research Week: the Student Research Symposium. Created from the hybridization of Student Showcase with Graduate Research Symposium, the new Student Research Symposium is a forum for presenting and celebrating all levels of student research Utah

State. It began with three communication training events tailored specifically to research-focused students and concluded with the symposium itself, an opportunity for students present research both visually and orally in a professional setting.

There were several benefits of this change specifically for undergraduate students. By adding graduate students and undergraduate students to the same sessions, RGS was able to host discipline-specific sessions. This had a few consequences: (A) the sessions were more “conference like” and a better proxy for real-experience, and (B) it helped drive department faculty and students (and potential students!) to the sessions, as they were able to see “their students” in more focused sessions. There were also good pedagogical reasons for merging as the “near-peer” literature: putting students next to more advanced peers, and supporting mentorship, is an important educational practice.



The 2015 Student Research Symposium attracted more than 300 student presenters and was aided by 60 faculty judges.

Initiatives to enhance USU's undergraduate research program

Strategies	Before 2013	2013-14	2014-15	2015-16
Encourage greater participation in undergraduate research.	Undergraduate Research Advisory Board			
	Day on the Quad promotion			
	Social media (Facebook, Twitter, Instagram)			
	List serve		(migration to MailChimp)	
	Fall undergraduate research orientation		(summer research symposium)	
		Spring undergraduate research orientation		
			Erevna UR String Quartet	
				Update UR website
			Connections content	
Encourage recruitment of high achieving students.	Undergraduate Research Fellows program communication			
	Coordination with Honors			
	Scholars' Experience recruiting event		(May event)	
		Overhaul URF application process	(Combine process with Honors)	
Provide funding opportunities for undergraduate research projects.	URCO grants			
	Undergraduate Research Fellow program			
	Travel Funding (UCUR, NCUR, POTH, ROCH)			
	SURCO program for summer research			
			Changes to URCO policies	
			Combine URCO with SURCO	
			UR Travel Award	
Recognize undergraduate research successes.	Undergraduate Research			
	Research on Capitol Hill			+U/U partnership
	UR transcript designation			
	Undergraduate research awards			
	Research Fellow activities			
	Faculty mentor reception			
Train students in research best practices.	Student Showcase		(Student Research Symposium)	
			SRS badging, training, feedback, partnerships	
	UCUR (hosted 2013)			
	National events: NCUR/POTH			
	"Perfect Year of UR" brochure			
	URF guidebook		(UR guidebook)	
	Student Showcase training			
	Ignite speaking event			
			URCO training	
			URF boot camp	

Chapter 2: Research Council and Graduate Council



Research Council activities

The Research Council provides advice and recommendations to the Vice President for Research and Dean of the School of Graduate Studies. Additionally, members of the council

provide direct and important channels of communication between researchers and those who make decisions affecting research at USU.

Research Council FY 2015 Roster

Representative	College
Mark McLellan	Chair, Vice President for Research and Dean of Graduate Studies
Noelle Cockett	Provost
Craig Jessop	Dean, Caine College of the Arts
Ken White	Dean, College of Agriculture and Applied Sciences
Christine Hailey	Dean, College of Engineering
John Allen	Dean, College of Humanities and Social Sciences
Lisa Berreau	Interim Dean, College of Science
Beth Foley	Dean, Emma Eccles Jones College of Education and Human Services
Doug Anderson	Dean, Jon M. Huntsman School of Business
Chris Luecke	Dean, S.J. and Jessie E. Quinney College of Natural Resources
Bradford Cole	Dean, Libraries
Bryce Fifield	Director, Center for Persons with Disabilities
Nancy Huntly	Director, Ecology Center
Mac McKee	Director, Utah Water Research Laboratory
Ryan Moeller	Faculty Senate Representative

Actions of Research Council in FY 2015

November 13, 2014

Research Council approved with a majority vote proposed revisions to USU's Extra Service Compensation Policy #376. The procedure advanced through all administrative steps as was presented and approved at the March 6, 2015 USU Board of Trustees meeting. The full text of the policy is included here. The link to ESC procedures is <https://hr.usu.edu/files/forms/ESC-PR.pdf>, and the ESC form is https://hr.usu.edu/files/forms/ESC_Form.pdf.



USU Policy Manual: Compensation

#376 - Extra Service Compensation

Covered Employees: Benefit-Eligible, Exempt Employees

Date of Origin: January 24, 1997

Effective Date of Last Revision: March 6, 2015

Federal Guidance References

The following policy is based on the following:

- Utah Code 67-16-1 et.seq., "Utah Public Officers and Employees' Ethics Act.
- Federal Office of Management and Budget, Final Rule -- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (A-81) – Federal Register, Vol 78, No. 248
 - (Superseding: OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in OMB guidance); Circulars A-89, A-102, and A- 133; and the guidance in Circular A-50
 - Implementation Date: December 26, 2014
- NSF, Office of Inspector General – 2004 Audit findings
- Department of Justice, settlement findings – 2008
- HHS Office of Inspector General – 2011 Audit findings

376.1 Introduction

The University recognizes that employees may make unusual contributions to the University that are both related and unrelated to their Primary Work Assignments. This policy is designed to establish an institutional expression of support for appropriate, operations-based standards for Extra-Service Compensation.

376.2 Definitions

2.1 Primary Work Assignment

The Primary Work Assignment, defined is the basis upon which the University sets its expectations of an employee's duties and allocation of effort. USU utilizes the following methods to establish the Primary Work Assignment:

- (a) For Faculty: The primary work assignment is derived from the Role Statement, as defined in under section 6.1 and 11.1 of USU Policy #405, Tenured and Term Appointments: Evaluation, Promotion and Retention.
- (b) For Non-Faculty Exempt Employees: The primary work assignment is derived from the Office of Human Resources most recent position description available for that employee, which documents the responsibilities, functions, and requirements of each job. Expectations for the allocation of effort are also reflected in USU's annual Budget Process/Salary Planner process.

2.2 Full Workload

Full Workload for an employee shall be that workload for which an employee is compensated by the University, exclusive of compensation for incidental work. For exempt employees, it shall be that workload specified in the primary work assignment for a given period. The more closely an activity is associated with the University's compensation and reward systems, the more likely it will be included in the Full Workload.

2.3 Institutional Base Salary

Institutional Base Salary (IBS) shall be the salary paid by the institution for the performance of the full workload by a given employee. It may be based on appointments of differing lengths, such as the academic year, eleven months or twelve

months. IBS shall be calculated in accordance with Budget Office Guidelines, "Salary Definitions." The IBS may change based on significant, non-temporary changes in the Primary Work Assignment or because of salary increases approved by the University.

2.4 Institutional Base Salary Earning Rate

The Institutional Base Salary Earning Rate shall be calculated based on the compensation level at which an employee is paid for his/her appointment term, divided by the number of months of that term. An employee shall not earn compensation from USU sources in excess of the base salary rate in any given month, except as allowed under this policy, Extra Service Compensation or through a specially approved administration one-time payment.

2.5 Institutional Payout Rate

The Institutional Base Salary Earning Rate may differ from the amount of compensation actually paid to an employee during a given month, because salary for an appointment of less than 12 months is distributed across 12 months in the payroll system. For details concerning distribution of pay over a period different from the appointment term, contact the Controller's Office.

2.6 Incidental Work

Incidental Work is that work which is accomplished by an individual in excess of his/her Full Workload, as follows:

- 2.6.1 Incidental Work that is carried out within the institution and paid for as Extra-Service Compensation must be documented in the University's financial management systems, though it shall not be reported or certified in the University's time and effort reporting system.
- 2.6.2 Incidental Work that is provided without compensation shall be reported to the immediate supervisor in order to avoid conflicts of interest, including conflicts of commitment.
- 2.6.3 Incidental Work performed outside the university is neither reported in the time & effort or payroll systems, nor documented

in the University's financial management systems; however, documentation of consulting leave time is required as set forth in USU Policy #377, Consulting Services.

2.7 Extra Service Extra

Service shall be any service rendered to the University that is not specifically identified as part of the employee's Full Workload. Extra service shall be clearly identified and approved in advance as such in accordance with this policy and Policy 404.1.2(7), Faculty Appointments, Professional Services.

376.3 Policy

Opportunities for consulting or other activities that fall outside of an employee's Primary Work Assignment are granted in accordance with Utah Code 67-16-1 et. seq., "Utah Public Officers and Employees' Ethics Act," and as permitted under USU's consulting policy. Such activities shall be allowed at the University's discretion where clear benefit to the University can be demonstrated.

Employees may provide Extra Service to the University beyond their Primary Work Assignments either for or without compensation, provided that the preparation and performance of such services do not impede the discharge of their duties under their Primary Work Assignments.

Compensation received for Extra Service shall not exceed 20% of the individual's Institutional Base Salary without prior written approval of the Executive Vice President & Provost for academic units and without prior written approval of the Office of the President for all non-academic units.

3.1 Extra-Service Compensation Unrelated to the Primary Work Assignment

3.1.1 Extra Service Related to Sponsored Programs Sourced Funds.

Extra and supplemental compensation from federal funds is governed by OMB Circular A-21 (OMB Uniform Administrative Requirements), which also requires that like funding be treated consistently under like circumstances by the University. Thus,

USU Office of Research and Graduate Studies

all external funding shall be subject to the regulatory guidance in OMB Circular A-21 (OMB Uniform Administrative Requirements, Section 200.430(h)(3)), as follows: "intra-university consulting is assumed to be undertaken as a university obligation requiring no compensation in addition to full-time base salary. However, in unusual cases... charges for such work representing additional compensation above IBS are allowable...". This principle applies to employees who function as consultants for sponsored agreements conducted under the direction of other University employees.

Extra-Service Compensation from external funds can be allowed for faculty and other exempt employees when all of the following conditions are met:

- (1) The request does not exceed the Base Salary Earnings Rate based on the employee's Institutional Base Salary, which is that compensation provided to an employee for fulfillment of his/her Full Workload;
- (2) The employee will perform a role outside of the individual employee's organizational unit or is otherwise different from his/her Primary Work Assignment; NOTE: Employees may not receive compensation for Extra Service work on projects for which they serve as PI or Co-PI.
- (3) Work is demonstrably in addition to the employee's Full Workload for the reporting period during which it will be performed;
- (4) The request is specifically proposed and included in the approved budget and/or agreement with the sponsoring agency or otherwise approved in writing by an authorized agency representative. If not specifically and explicitly provided for in the approved proposal, budget and/or award, an official sponsor approval must be obtained before any extra contractual work is done. NOTE: By itself, agency approval for Extra Service payment

shall not be considered a waiver for requirements 1-3 above.

- (5) The request is approved in advance by the Vice President for Research. Review and support will be required of the individual's department head, supervisor, dean and/or vice president as appropriate prior to submission to the Office of Research & Graduate Studies. Any request for above 20% will also require the follow-on approval of the Executive Vice President & Provost.

For additional forms and instructions concerning Extra-Service compensation involving external funds see RGS Procedure 376-PR.

3.1.2 Extra-Service Compensation from Non-Sponsored Programs Sourced Funds

USU's Disclosure Statement to the Federal Government (DS-2) requires the institution to use the same salary and wage distribution system for all like employees, regardless of the source of their compensation. Thus, the University uses consistent practices for identifying, charging and reporting all personnel costs, including its method of identifying which activities will be included in the Full Workload (and therefore the Institutional Base Salary) and which will not.

As a result, Extra Service Compensation from all non-sponsored programs sourced funds must meet all of the following restrictions:

- (1) The Extra Service is compensated at a rate not to exceed the Institutional Base Salary Earnings Rate which, is based on the employee's Institutional Base Salary (the compensation Provided to an employee for the fulfillment of the employee's Full Workload);
- (2) The work is outside of the scope of the employee's required job expectations, as set forth in the Primary Work Assignment;
- (3) Work is demonstrably in addition to the employee's Full Workload for the reporting

period during which it will be performed;

- (4) The Extra Service is based on temporary and unusual circumstances, and funds have been allocated to pay for the services.
- (5) The request is approved in advance by the Executive Vice President & Provost. Review and support will be required of the individual's department head, supervisor, dean and/or vice president as appropriate prior to submission to the Office of the Executive Vice President & Provost.

For additional guidelines concerning Extra-Service compensation involving nonsponsored programs sourced funds see Provost Procedure 376-PR.

3.1.3 Extra Service Related to Primary Work Assignment

Only in the most unusual circumstances, outcomes and activities focused on furthering the institutional missions of discovery, learning and engagement, which are exclusively funded from unrestricted and non-sponsored programs sourced funds, which are also related to the Primary Work Assignment can qualify for Extra-Service compensation.

Extra Service compensation related to the Primary Work Assignment should not be used as a regular supplement to an individual's salary.

Requests for Extra-service Compensation related to the Primary Work Assignment may not exceed the Institutional Base Salary Earning Rate, and must be approved in advance by the Executive Vice President & Provost.

3.2 Relationship of Extra Service Compensation to Non-appointment Payments

USU allows faculty and other exempt employees with appointments of less than 12 months to receive compensation at their Institutional Base Salary Earning Rate for periods up to a total of 12 months per fiscal year based upon the conduct of research, teaching, or other activities that are

consistent with federal and USU policy and that do not conflict with the faculty member's Primary Work Assignment. This compensation is not Extra Service.

Non-appointment compensation is subject to effort reporting and certification. Effort and compensation for such work should therefore occur in parallel with, or in replacement of the employee's Primary Work Assignment, and may be expended at any time during the fiscal year. Thus, employees working during periods not included in their academic appointments shall, when appropriate, utilize any non-appointment period available to them to reach this 12-month capacity for salary compensation before any Extra-Service Compensation will be approved.

USU does not limit an employee's opportunity to receive compensation paid directly by a non-University funding source as per USU's consulting policy.

376.4 Responsibility

4.1 Department Heads and Supervisors

In keeping with Federal expectations that USU will meet agency requirements for department heads, supervisors, vice presidents and deans are responsible for reviewing extra service opportunities with employees before they occur to ensure that interference or conflict with the employee's Primary Work Assignment is avoided or appropriately managed. The department head/supervisor and dean has primary responsibility for working with employees to ensure compliance with this Extra Service Compensation policy. Refer to RGS Procedure 376-PR and Provost Procedure 376-PR for guidance on implementing this policy. Departments and colleges will bear primary responsibility for repayment of disallowed Extra Service Compensation costs.

4.2 Employees

Employees are responsible for accurately completing the Request for Extra Service Compensation Form and for obtaining supervisory approvals prior to submission. Conflicts of interest must be disclosed as they arise.

Graduate Council activities

The Graduate Council advises the Vice President and Dean for Research and Graduate Studies, providing a forum for considering major graduate program and student issues, as well as approving changes in programs.

New degree programs

The Graduate Council approved proposals for new PhD programs in Aerospace Engineering (College of Engineering) and Neuroscience (College of Education and Human Services, but a strongly interdisciplinary program supported by faculty from the colleges of Education, Engineering, and Science).

The Council also approved the conversion of three specializations in the Applied Sciences Technology and Education MS degree into two separate MS degrees (Agricultural Extension and Education, Family and Consumer Sciences Education and Extension), and a new specialization within the Teacher Education and Leadership MEd program, Higher Education/Student Affairs.

Discontinued degree programs

The Council approved discontinuation of one degree that has not been used for more than 5 years, the MA in Sociology.

Program modifications

With the four new degrees and discontinuation of one degree, USU now offers a total of 150 graduate degrees, including 28 professional degrees.

The Council approved a change in the name of an MBA specialization from Manufacturing Management to Shingo Operational Excellence. Credit hour reductions were approved for two PhD programs, Computer Science and Instructional Technology and Learning Sciences, from 90 to 70 credit hours.

Admission requirements

The Graduate Council approved a portfolio option for programs that would like to allow applicants to submit a portfolio in place of national entrance examination results. More explanation is included on page 17.



Graduate Council FY 2015 Roster

Representative	College
Mark McLellan	School of Graduate Studies
Christopher Terry	Caine College of the Arts
Abby Benninghoff	College of Agriculture and Applied Sciences
Nick Flann	College of Engineering
Michelle Baker	College of Science
Richard Krannich	College of Humanities and Social Sciences
Louis Nadelson	Emma Eccles Jones College of Education and Human Services
Konrad Lee	Jon M. Huntsman School of Business
Johan Du Toit	S.J. and Jessie E. Quinney College of Natural Resources
Charles Waugh	Faculty Senate
John Elsweler	Library
Scott Bates	School of Graduate Studies
Jeff Broadbent	School of Graduate Studies
Richard Inouye	School of Graduate Studies
Steve Beck	School of Graduate Studies
Ryan Olsen	School of Graduate Studies
Derek Hastings	USUSA Graduate Senator
Ty Aller	ASUSU Director of Research
Tyler Broadbent	ASUSU Director of Graduate Campus Affairs





Chapter 3:

By the numbers

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 three regional campuses (Brigham City, Tooele, Uintah Basin).

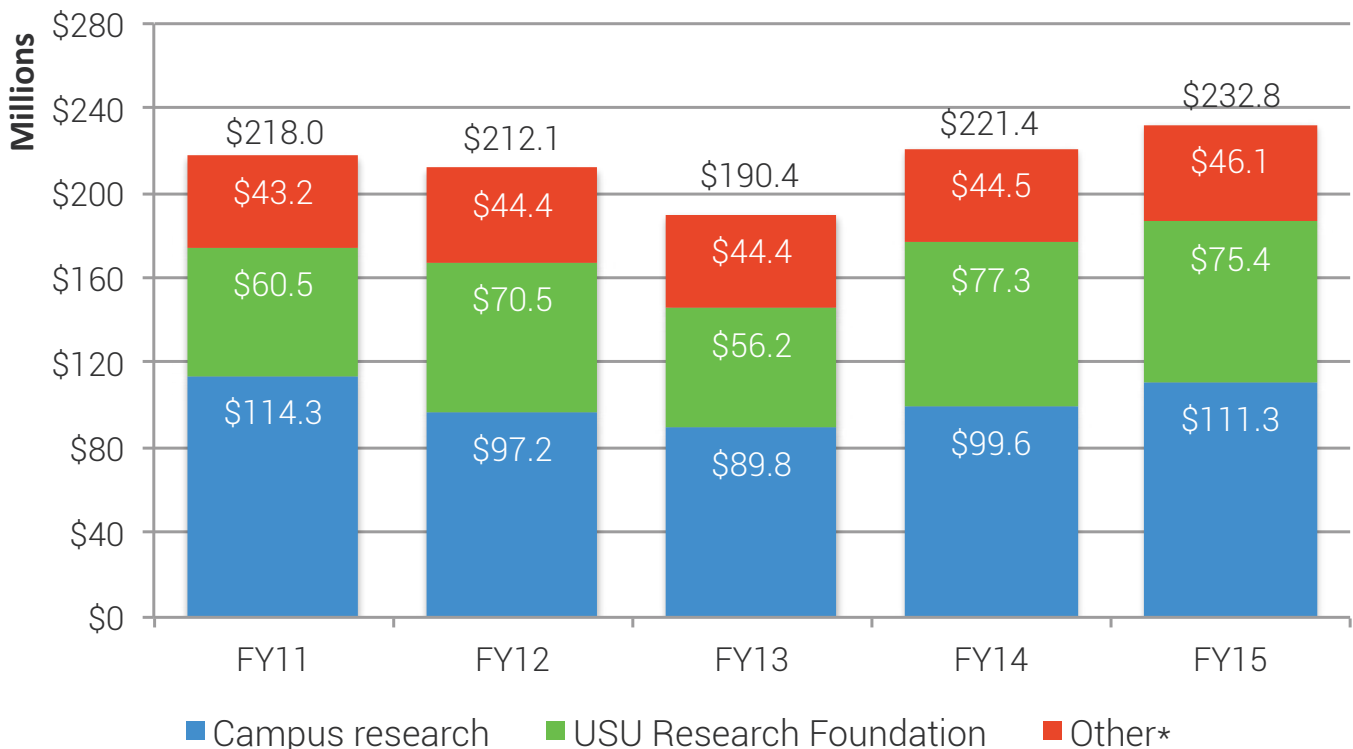
USU has eight academic colleges: Caine College of the Arts, College of Agriculture and Applied Sciences, Jon M. Huntsman School of Business, Emma Eccles Jones College of Education and Human Services, College of Engineering, College of Humanities and Social Sciences, S.J. and Jessie E. Quinney College of Natural Resources, and the College of Science. USU also has a highly productive Extension.

USU ranks second in the nation in aerospace and aeronautical research funding and third in the nation in external funding for a college of education. USU is the second-highest-ranked public university in the West and number four in the nation for lowest tuition in "America's Top Colleges" in *Forbes* magazine.

USU Profile

Faculty members	823
Total headcount enrollment (fall 2014)	27,662
Graduate degrees	150
Faculty who have worked with undergraduates on a research project in the past two years	63.5%
Total # USU sponsored awards (FY15)	1,418
Total USU awards (FY15)	\$232.8 M
Total # USU proposals (FY15)	1,587
Total amount USU proposals (FY15)	\$474.5 M

USU sponsored awards, FY 2011 - FY 2015



* Includes financial aid, Pell grants, federal formula funds and gifts for research.

Sponsored Awards, FY 2011-FY 2015

	FY2011 Actual	FY2012 Actual	FY2013 Actual	FY2014 Actual	FY2015 Estimate	Change Over LY
USU Academic College						
Agriculture	18,629,285	21,310,465	13,424,828	19,026,344	19,133,660	0.56%
Arts	39,500	177,435	15,200	31,700	186,000	486.75%
Business	574,401	0	0	259,118	0	-100.00%
Education	40,210,629	27,660,152	24,027,748	27,187,813	40,039,343	47.27%
Engineering	7,881,429	12,531,895	15,325,971	11,242,253	11,743,417	4.46%
HaSS	333,168	2,044,239	1,376,804	839,613	1,843,958	119.62%
Natural Resources	9,931,834	8,666,404	13,443,810	9,855,978	7,669,091	-22.19%
Science	13,077,405	10,033,608	6,536,977	14,920,377	9,764,040	-34.56%
Other						
Extension	4,526,955	3,607,274	4,151,793	4,428,828	13,147,436	196.86%
Student Services	1,781,166	1,788,363	1,758,461	2,466,561	2,298,686	-6.81%
USU Eastern Campus	2,964,234	3,926,552	2,660,336	2,952,436	2,938,077	-0.49%
Miscellaneous ¹	14,350,838	5,417,693	7,071,205	6,415,716	2,507,265	-60.92%
Campus Sponsored Programs Subtotal	114,300,845	97,164,079	89,793,133	99,626,736	111,270,972	11.69%
USURF	60,520,260	70,543,805	56,228,730	77,297,145 ²	75,352,922	-1.90%
Financial Aid, Pell Grants ⁴	38,214,960	39,525,494	39,963,223	39,484,606	40,782,241	3.29%
Federal Formula Funds	4,874,019	4,844,298	4,432,614	4,879,946	4,840,428	-0.81%
Gifts for Research	90,172	54,304	20,125	127,100	521,459	310.27%
USU Grand Total	\$ 218,000,256	\$ 212,131,981	\$ 190,437,825	\$ 221,415,533	\$ 232,768,022	5.13%

1. "Miscellaneous" is a catchall category, with the Provost's Office, Administrative Services, and Regional Campus and Distance Education accounting for the majority of these revenues.

2. AWS awards for FY14 in the amount of \$488,684 have been included with USURF totals

3. AWS awards were not included when calculating the percentage of change over the previous year.

4. Financial Aid, primarily Pell grant revenues, are anticipated to gradually increase in future years.

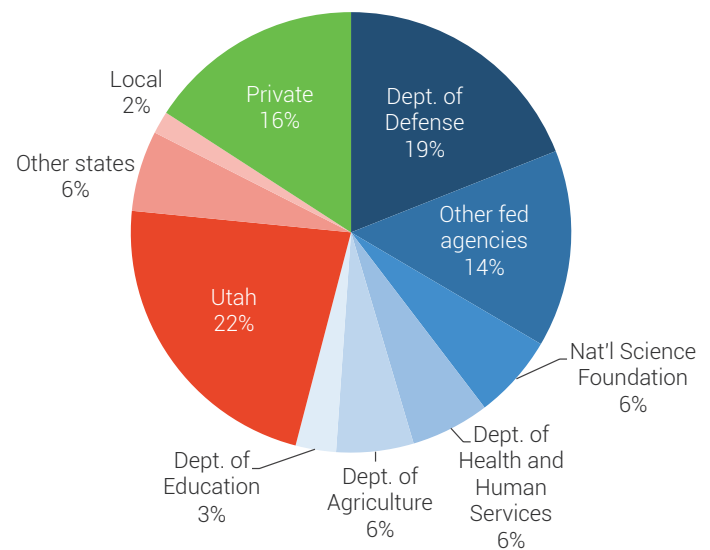
Research Expenditures, FY 2011-FY 2015

	FY2011 Actual	FY2012 Actual	FY2013 Actual	FY2014 Actual	FY2015 Estimate	Change Over LY
Research Expenditures						
Tuition Expenditures ¹	174,167,000	157,355,000	158,352,000	164,892,000	165,652,000	0.46%
	-	-	-	4,132,075	5,503,667	33.19%
USU Grand Total	\$ 174,167,000	\$ 157,355,000	\$ 158,352,000	\$ 169,024,075	\$ 171,155,667	1.26%

1. Tuition Expenditures are tuition remissions provided to graduate students working on research. This information is not available for FY11 - FY13

Research awards by source, FY 2015

Source	Amount
State of Utah	\$42.0 M
Department of Defense	\$35.4 M
Private	\$29.6 M
Federal government - other	\$27.0 M
National Science Foundation	\$11.5 M
Other states	\$11.1 M
Dept. of Health and Human Services	\$10.8 M
Department of Agriculture	\$10.6 M
Department of Education	\$5.5 M
Local	\$3.1 M
Total	\$186.6 M



Notable new grants, FY 2015

This table represents just a few highlighted grants from the past fiscal year. They demonstrate cross-college collaborations, large contracts for new and established faculty, and projects that have significant real-world impacts.

PIs	Dept.	College	Project	Source	Amount
Lisa Berraueu Alvan Hengge Tom Chang Yujie Sun	CHEM	Science	MRI: Acquisition of a 500 MHz NMR to enhance research and training	National Science Foundation	\$385,000
Jixun Zhan	BE	Engineering			
John Copenhaver	CPD	Education and Human Services	Utah professional development and technical assistant system.	US Dept. of Education - Office of Special Education Prog. and Projects	\$11,151,178
Ming Li	CS	Engineering	CAREER: Toward Cooperative Interference Mitigation for Heterogeneous Multi-Hop MIMO Wireless Networks	National Science Foundation	\$489,999
Brian Higginbotham	FCHD	Education and Human Services/Extension	TANF: Stepfamily Education	Utah Department of Workforce Services	\$1,120,797

Comparative metrics

	FY13 total research expenditures	FY13 research expenditures rank	FY15 National Academy members
Colorado State University	\$313.2 M	47	8
Kansas State University	\$183.1 M	74	0
Montana State University	\$113.1 M	99	0
New Mexico State University	\$142.4 M	88	0
Oregon State University	\$23.3 M	61	5
University of Nebraska - Lincoln	\$266.4 M	52	3
University of Nevada - Reno	\$89.8 M	111	1
University of Wyoming	\$65.5 M	127	2
Washington State University	\$341.1 M	43	7
Utah State University	\$158.4 M	81	0

Performance metrics

Research

	2011	2012	2013	2014
Total new awards ^{1,2}	\$218.0 M	\$212.1 M	\$190.4 M	\$221.4 M
National rank of research expenditures (of 643 institutions) ^{1,4}	110	119	118	NYA
New sponsored programs proposals submitted ^{1,2}	1,038	1,059	951	1,028
Peer-reviewed refereed journal publications ^{3,5}	953	999	962	1,000
Books ^{3,5}	44	40	42	31
Public exhibitions and public performances ^{3,5}	105	72	58	41

¹ Fiscal year

² Source: USU Sponsored Programs

³ Calendar year

⁴ Source: National Science Foundation

⁵ Source: Digital Measures

FY12 faculty awards	FY13 doctorate degrees awarded	FY13 total number of faculty	FY13 total tenured faculty	Carnegie classification
5	370	996	743	RU/VH
2	263	790	567	RU/H
2	49	466	323	RU/VH
5	132	577	405	RU/H
15	353	615	375	RU/VH
6	464	1,036	767	RU/VH
4	179	551	402	RU/H
3	199	601	424	RU/H
9	457	874	657	RU/VH
2	109	702	479	RU/H

Graduate Studies

	AY11-12	AY12-13	AY13-14	AY14-15
Fall (day 15) enrollment of degree-seeking graduate students	2,674	2,593	2,527	2,528
Percentage of student body that is graduate students ¹	11.2%	10.9%	10.8%	10.7%
Doctoral degrees awarded	99	109	115	108
Master's degrees awarded	990	895	927	900

¹ Based on degree seeking students, both graduate and undergraduate

Graduate and Undergraduate Research

	FY11	FY12	FY13	FY14
Peer-reviewed publications with graduate student authors ¹	274	347	339	357
Peer-reviewed publications with undergraduate authors ¹	42	45	38	53

¹ Source: Digital Measures

RGS program reports and metrics

New Faculty Startup Commitments

	4-Year Total	4-Year Average		FY2012	FY2013	FY2014	FY2015
USU Academic College							
Agriculture	\$ 434,776	\$ 44,389	Yearly total	\$ 53,214	\$ 72,600	\$ 149,628	\$ 159,334
			Yearly average	\$ 26,607	\$ 36,300	\$ 74,814	\$ 39,834
Arts	\$ 29,347	\$ 7,244	Yearly total	\$ 16,129	\$ 3,066	\$ 10,152	\$ -
			Yearly average	\$ 16,129	\$ 3,066	\$ 2,538	\$ -
Business	\$ 3,908	\$ 977	Yearly total	\$ -	\$ -	\$ 1,954	\$ 1,954
			Yearly average	\$ -	\$ -	\$ 1,954	\$ 1,954
Education	\$ 1,259,695	\$ 40,250	Yearly total	\$ 176,483	\$ 759,135	\$ 84,571	\$ 239,505
			Yearly average	\$ 16,044	\$ 75,914	\$ 21,143	\$ 47,901
Engineering	\$ 2,441,233	\$ 94,132	Yearly total	\$ 174,424	\$ 309,133	\$ 1,544,389	\$ 413,287
			Yearly average	\$ 58,141	\$ 61,827	\$ 118,799	\$ 137,762
HaSS	\$ 362,958	\$ 10,333	Yearly total	\$ 18,602	\$ 82,347	\$ 213,026	\$ 48,983
			Yearly average	\$ 4,651	\$ 9,150	\$ 19,366	\$ 8,164
Natural Resources	\$ 746,795	\$ 75,762	Yearly total	\$ 60,000	\$ 40,000	\$ 165,400	\$ 481,395
			Yearly average	\$ 60,000	\$ 40,000	\$ 82,700	\$ 120,349
Science	\$ 2,331,204	\$ 107,684	Yearly total	\$ 798,043	\$ 436,561	\$ 923,599	\$ 173,000
			Yearly average	\$ 79,804	\$ 62,366	\$ 230,900	\$ 57,667
Utah State University	\$ 7,609,916	\$ 47,596	Yearly total	\$ 1,296,896	\$ 1,702,843	\$ 3,092,719	\$ 1,517,459
Avg commitment/total startups				\$39,300 / 33	\$47,301 / 36	\$75,432 /41	\$58,364 / 26

Yearly totals are calculated based on full new faculty startup amount; this does not mean that they are paid out in full that same year. Some new faculty startups are paid over multiple years. Averages are based on total new faculty startup amount.



Grant Experience for Mentorship (GEM) grants

PI	Dept.	College	Project	Co-PIs	Amount
Kathleen Oertie	SPER	Education and Human Services	Measuring Transition Collaboration: A GEM Project Targeted for the NIDRR Field Initiated Development Grant Competition	Caren Sax/San Diego State University	\$9,996
Sarah Urquhart	ART	Arts	Design Thining + STEM: Assessing STEM Learning Outcomes in Client-Based Learning Environments	David Feldon	\$5,000

Seed Program to Advance Research Collaborations (SPARC) grant

PIs	Dept.	College	Project	Co-PIs	Amount
Dale Wagner	HPER	Education and Human Services	Effects of PM2.5 Air Polution on Aerobic Exercise Performance	Roger Coulombe Michael Lefevre	\$34,928

Research Catalyst (RC) grants

PIs	Dept.	College	Project	Co-PIs	Amount
Abby Benninghoff	ADVS	Agriculture and Applied Sciences	Role of MicroRNAin Genome Reprogramming in Bovine Somatic Cell Nuclear Transfer Embryos		\$19,906
Carrie Durward	Ext/ NDFS	Agriculture and Applied Sciences	Increasing Fruit and Vegetable Consumption in SNAP Recipients: Effect of Food Sense Education Combined with Pricing Incentives	Heidie LeBlanc Heidi Wengreen Mateja Savoie	\$19,996
Jennifer MacAdam	PSC	Agriculture and Applied Sciences	Reducing Ruminant Methane Emissions by Grazing Perennial Legume Pastures		\$19,862
Jeffrey Mason	ADVS	Agriculture and Applied Sciences	The Effect of Ovarian Transplantation on Osteoarthritic Changes in Postreproductive Females	Arnaud Van Wettere Edward W. Hsu	\$19,999
Silvana Martini	NDFS	Agriculture and Applied Sciences	Acoustic Cavitation in Edible Oils: Quantification and Modeling of Bubble Dynamics		\$19,548

USU Office of Research and Graduate Studies

PIs	Dept.	College	Project	Co-PIs	Amount
Robert Ward	NDFS	Agriculture and Applied Sciences	Interaction Between Polyunsaturated Fatty Acids and Cooking on the Formation of Glycotoxins and the Development of Insulin Resistance and Fatty Liver in Mice Fed a Western Diet	Korry Hintze Tao Xu (grad student)	\$20,000
Stephanie Borrie	COMD	Education and Human Services	Entrainment in the Context of Disordered Speech: An Exploration of Entrainment Analysis and Conversational Success in Interactions Involving People with Dysarthria		\$20,000
Michael Levin	PSYCH	Education and Human Services	Developing an Acceptance and Commitment Therapy-Based Adjunctive Mobile App to Improve Mental Health Care	Thomas A. Jacobs	\$19,766
Anthony Castronova	CEE	Engineering	A Real-Time Environmental Observation Processing and Decision-Making Framework		\$19,992
R. Ryan Dupont	UWRL/ CEE	Engineering	Citric Acid Induced Pjytoextraction by Three Plant Species in a Stormwater Bioretention Field Site	Joan E. McLean M. Borecki	\$20,000
Ning Fang	CEE	Engineering	Integrating 3-D Interactive Tangible Models with Virtual Models to Improve K-12 Students' Spatial Abilities in STEM Education		\$20,000
Young Woo Kwon	CS	Engineering	Enhancing Distributed Programming Abstractions to Improve the Energy Efficiency of Mobile Applications		\$20,000
Kyumin Lee	CS	Engineering	Recommender System for Identifying and Engaging Information Propagators on Online Social Networks		\$20,000
Rajnikant Sharma	ECE	Engineering	Real-Time Cooperative Localization: Towards Realization of Unmanned Aerial Vehicle Swarms in GPS-denied Environments.		\$19,809

PIs	Dept.	College	Project	Co-PIs	Amount
Idalis Villanueva	EED	Engineering	Design Heuristics to Correlate Self-Efficacy and Transfer of Learning in Engineering	Suzanne Jones Sydney Schaefer	\$19,999
Jixun Zhan	BE	Engineering	Identification and Reconstitution of the Leuylacin Synthetase		\$20,000
Peter Howe	ENVS	Natural Resources	Testing a High-Frequency Survey Tool to Model Risk Perceptions and Disaster Preparedness	Graduate Research Assistant (TBD)	\$19,983
James Lutz	WILD	Natural Resources	Spatial and Climatic Correlates of Tree Mortality in Mixed-Conifer Forests		\$19,999
Karin Kettering	WATS	Natural Resources	The Importance of Plant Genetic Diversity to Ecosystem Multi-Functionality in Ecological Restoration		\$19,986
Christopher Monz	ENVS	Natural Resources	Building an Agent-Based Model of Visitor Use in Dispersed Recreation Settings		\$19,995
Edwin Antony	CHEM	Science	Mechanism of Action of the Sen1 Helicase and its Role in Transcription Termination		\$20,000
Carol Dehler	GEOG	Science	The mid-Neoproterozoic (ca. 750 Ma) Reorder of Eukaryotes and Environmental Change: Exploring the Visingsö Group of Southern Sweden	Susannah Porter (UCSB)	\$19,989
Zachariah Gompert	BIOL	Science	The Genomic Basis of Adaptation and its Role in the Evolutionary Process	Karen M. Kapheim/ Bio Frank J. Messina/Bio	\$19,994
Carol von Dohlen	BIOL	Science	Genome Evolution of Bacterial Symbionts in Adelgidae (Sternorrhyncha: Aphidoidea) and the Roles of Symbionts in Host-Plant Interactions	John P. McCutcheon (U. Montana) Kelli Hoover (Penn State U)	\$20,000

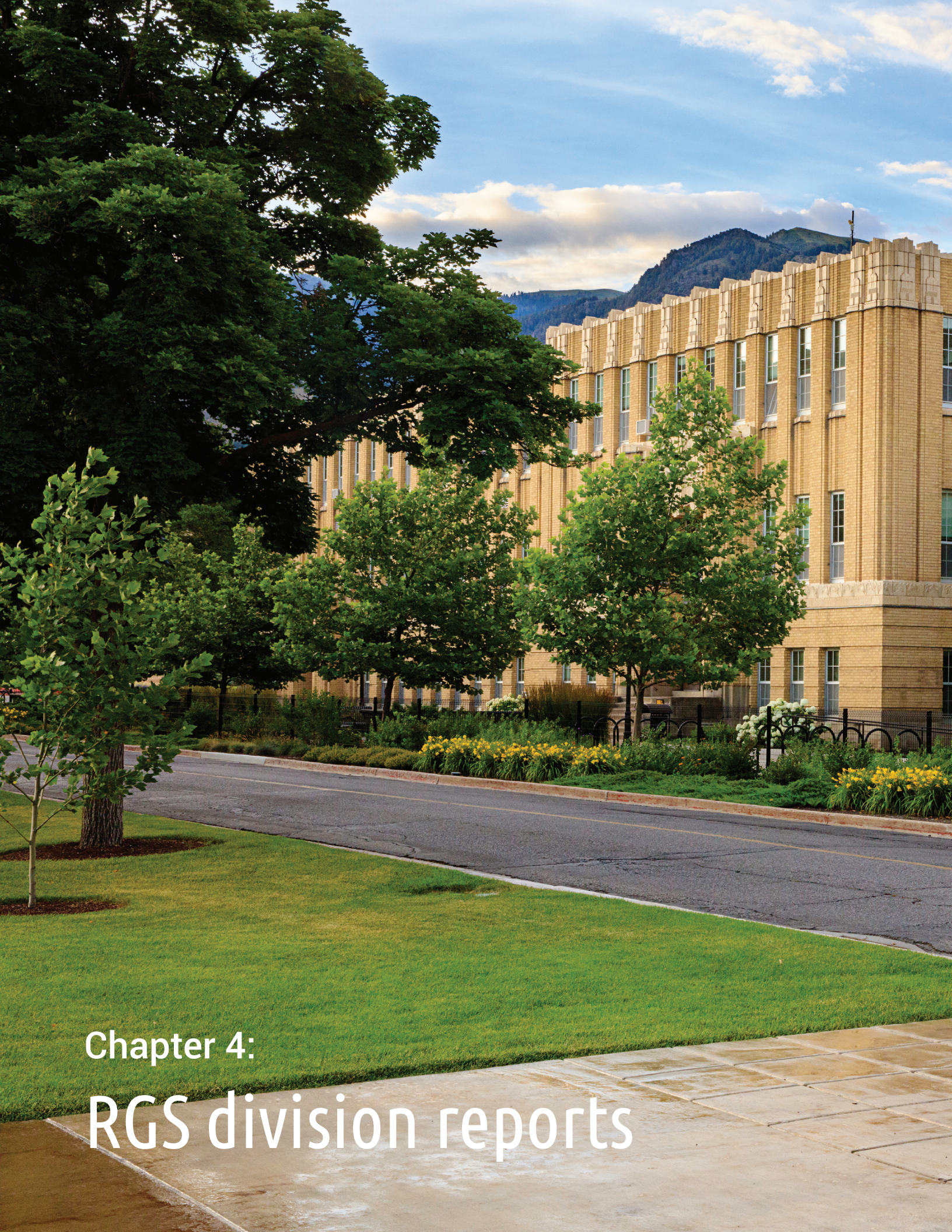
RGS Capital Equipment Grants selected for funding in 2015

Department	Item	Match Request
Chem/Biochem & Biol	Mass Spectrometer	\$28,741
Chem/Biochem	Liquid scintillation counter	\$20,817
Phys & ECE	Optical microscope	\$16,500
MAE	3D Electronics Printer	\$4,500
WILD, ENVS	Isotopic water analyzer	\$29,971
PSC	Gel imaging and documentation system with CCD camera	\$6,000
ADVS	Real-time PCR system	\$13,773
NDFS	Professional Rancimat	\$11,000
ADVS	Illumina MiSeq DNA sequencer	\$43,550
COMDDE, TEAL, Psych	Mobile Eye Tracking System	\$11,390
COMDDE	Portable Real-Ear Hearing Aid Analyzer	\$5,247
Music	Steinway Model B Grand Piano	\$7,500
		\$198,989

Presidential Doctoral Research Fellow allocations

Total PDRF expenditures, by RGS, in FY15 was \$877,926. Open PDRF slots include 6 new fellowships that came available in FY 15 with additional funding.

College	Active fellows	Slots to recruit	Total PDRFs
College of Agriculture and Applied Sciences	3	2	5
Emma Eccles Jones College of Education and Human Services	5	6	11
College of Engineering	5	6	11
College of Humanities and Social Sciences	3	0	3
S.J. and Jessie E. Quinney College of Natural Resources	4	1	5
College of Science	5	6	11
RGS at-large	3	2	5
TOTAL	28	23	51



Chapter 4:

RGS division reports

Business Services

RGS's business services team has worked to provide support for RGS divisions and campus-wide activities. Support activities include training and outreach, extra service compensation form and procedures updates, and new faculty startup form updates.

Training and outreach

Training and outreach to review procedures, new policies, and updated forms includes one-on-one visits with individual employees, group meetings and training documentation. Trainings and outreach activities have been provided for personnel in the Colleges of Humanities and Social Sciences, Agriculture and Applied Sciences, Science, and Emma Eccles Jones College of Education and Human Services.

Additional meetings have occurred with individual departments and units for specialized topic review; meeting with the Center for Persons with Disabilities interim leadership team is one example of this.

New faculty start-up forms

New faculty start-up forms have been updated with a new funding model and additional training requirements of new faculty hires receiving start-up funds. The new funding model has a three-year installment of funds from RGS. New faculty receiving these funds are also required to attend the "Write Winning Grant Proposals" seminar and complete Research Financial Administration Series Training (RFAST) within the first year of hiring.

Environmental Health and Safety

Biosafety, industrial hygiene, occupational safety

Select agent program renewal

USU underwent an intensive review of the select agent program. Two USDA inspectors and two CDC inspectors conducted the review. The program review lasted four days and included select agent facilities, review of all select agent documentation and interviews with select agent personnel. A three-year renewal was granted in July 2014 and is current through June 2017.

Successful LARC and USTAR select agent lab shutdowns

The USTAR building was shut down in October 2014 and the LARC was shut down in May 2015. The shutdown included conducting refresher training for all select agent personnel, planning specific exercises, certifying all equipment

and HEPA filters, and maintaining all building mechanical, plumbing and electrical systems.

Each lab was certified by World BioHazTec. This certification included HVAC system failure testing, which is required by the select agent program.

Replacement of dedicated exhaust fans for biosafety cabinets at USTAR

The exhaust fans that service the biological safety cabinets in rooms 319 and 320 were replaced with a new heavier/stronger class II fan. The fan replacement was needed because the original class I fans kept burning out bearings due to high vibration in the fan.

The original class I belt-drive fans were replaced by a class I direct-drive fan. Once installed, the fan vibration was not improved. It was determined that a class I fan was not strong enough to pull the required static pressure through the ducting.

The class II fans were specified, ordered and installed. This has corrected the vibration problem.

Biosafety level 2 & 3 oversight

EHS conducted inspections of BSL-2 & 3 labs and provided BSL 2 and 3 blood borne pathogens training for approximately 250 faculty, staff and students.

Asbestos and hazardous material projects

Building renovations and demolitions require identification and removal of hazardous materials.

EHS has been involved in approximately 60 hazardous material projects of varying sizes involving Facilities, Housing and USU Eastern in the last 12 months. This averages one project every 6 days. The material must be identified, the project bid on and the removal overseen.

Ongoing occupational safety oversight for Facilities, Housing, Food Services, Regional Campuses

There was continued oversight and training for OSHA-required occupational safety programs. Training was conducted in forklift operation, LOTO, confined space, and electrical safety.

Radiation safety

A shipment of 1,300 pounds of radiological waste was prepared and shipped for disposal. There was continued application of the radioactive waste volume reduction plan, which resulted in cost savings, by reducing the amount of waste shipped off-site for disposal by 247 pounds.

Environmental management

Hazardous waste received

- 3,378 pick-ups (92,263 pounds)

Hazardous waste shipped out

- 72 pallets of e-scrap shipped (23,948 pounds)
- 423 drums of hazardous waste

Laboratory clean outs

- CEU (Chemistry, Biology, Geology, and Heavy Equipment Shop)
- Art Barn
- SANT 304

- Expired ether removal from VSB 319 lab clean-out
- Expired diethyl ether at the Uintah Basin Campus
- Successful regulatory inspections by DAQ and DEQ

Air quality reporting

- Completion of the yearly climate commitment greenhouse gas inventory
- Completion and submission of the priority pollutant yearly air emission numbers

Phase I environmental assessment

- Darwin Avenue Apartments Phase I
- Darwin Avenue Apartments Phase II

Campus services

- Construction of silver recovery unit for Fine Arts photography studio

GIS/IT/emergency management

- Created 203 pre-incident plans for the USU Fire Department
- Created 351 specialty maps/drawings
- Created 6 evacuation maps
- Created 45 asbestos abatement drawings

Chemical hygiene and training

EHS personnel provided safety training for 1,237 people in 29 safety training course offerings.

The following tools and information were added to the EHS webpage:

- A Qualtrics survey was developed to help personnel determine which trainings are required, based on job function.
- A printable .pdf version of the Training Matrix was developed.
- PI's are now able to access EHS training records on-line via the EHS Assistant Database.
- Information related to the implementation of the Globally Harmonized System of Hazardous Chemical Classification and Labeling (GHS) system was developed and

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posted on the website. This information includes new pictogram descriptions, hazard classification definitions, new label requirements, information about safety data sheets, etc.

EHS personnel conducted laboratory inspections of College of Engineering teaching lab locations in anticipation of and as part of the preparation for the ABET accreditation process. Lab inspections were conducted for the Utah Veterinary Diagnostic Lab in anticipation of their re-accreditation process. EHS personnel assisted the Department of Art and Design with compiling responses related to the NASAD accreditation process.

EHS personnel were involved in responding to numerous indoor air quality (IAQ) concerns throughout the campus community. Most issues were identified and dealt with at the time of the call. A few of the issues were not immediately obvious, and a more intensive investigation was

conducted. Ongoing smell complaint issues in the VSB and AGRS buildings were resolved.

Annual fume hood function tests were conducted for the 400 fume hoods utilized across campus.

Laboratory inspections have been completed in Widtsoe Hall, Maeser Lab, and the Geology, Agricultural Sciences (AGRS), Veterinary Science and Bacteriology (VSB), and Laboratory Animal Research Center (LARC) buildings

Air monitoring was conducted in the Department of Art and Design photography dark room. The purpose of the sampling was to identify activities that could present an exposure hazard for student participation in classes in these facilities. The sampling was the first step in identifying activities that could be made less hazardous with the implementation/installation of ventilation controls.

Institutional Review Board

The 2014-2015 academic year was a landmark year for the Institutional Review Board. The USU IRB said farewell to its longtime administrator, True Rubal, who retired after more than twenty years of service to researchers on USU's campus. Following her retirement, Nancy Sassano and Janet Roberts moved to full-time positions in Proposal Development for the Emma Eccles Jones College of Education and Human Services.

In February of 2015, Nicole Vouvalis took over as director of the USU IRB. She comes to the IRB with a background in law and diversity work, and has been with Utah State University for three years. Maggie Duersch, who graduated from USU last spring with a degree in Psychology, was recently hired as the IRB assistant. A new IRB coordinator will be joining the office this fall.

Over the course of the last year, new research applications (protocols) have increased approximately 10% (336 total), following an 8% increase from the year prior. Continuation reviews and amendments remain fairly stable; the IRB

processes approximately 12-15 continuations and 15-20 amendments each month. While the full board typically reviews none or one protocol each year, it has reviewed five this last year alone, a number that is expected to increase, given the growing complexity of research being conducted by campus researchers.

In the year to come, the IRB looks forward to working more closely with researchers to introduce the new institutional conflict of interest policy. The policy, expected to come into effect spring of next year, will allow researchers to ensure that any financial conflicts of interest (held by the researcher, department, college, or institution) are identified, managed, and eliminated or minimized to ensure the integrity of human subjects research on Utah State University's campus.

During the 2015-2016 year, USU will also be working closely with the Association for the Accreditation of Human Research Protection Programs (AAHRPP) to renew its

accreditation. AAHRPP accreditation represents acknowledgement that the research infrastructure at USU provides strong and effective protections for human participants. This process requires a detailed self-assessment and in-depth site

visit, during which time site visitors will meet with RGS personnel, IRB members, and campus researchers. The IRB looks forward to successful completion of the reaccreditation process.

Integrity and Compliance

Export Controls

During FY 2015, the Departments of State and Commerce made changes under export control reforms. A major shift has been made of space-based technologies from the U.S. Munitions List, to the less restrictive Commerce Control

List, making it feasible for USU to perform more leading-edge research involving satellite systems and space weather sensing on its main campus. Export control systems and training have been developed and implemented to support this new work.

Laboratory Animal Research Center (LARC) and Institutional Animal Care and Use Committee (IACUC)

During the course of the previous year, the LARC has continued to see increased use, with a 13% increase in the average daily animal census, representing the third straight year in which the average animal census has increased. This increase in animal numbers has been primarily due to increased use of the animal facilities on the central campus. While the biocontainment facilities at the 650 Bioinnovations building represent a small component of the overall animal program, these areas showed a more than 100% increase in the average number of animals housed there, demonstrating the continued strength of infectious disease research at USU.

The LARC has been engaged in an ongoing effort to review and set animal care per diem rates. The LARC is required to set rates in accordance with federal guidelines to achieve cost recovery. This process involves cost and labor studies involving all members of the animal care team. We have also chosen to include faculty members in a per diem review committee to ensure that the LARC has input from its users. One significant goal of the current per diem review process is to make our methods for charging per diem consistent with

most institutions of higher education by shifting from charging on a per animal basis to charging on a per cage basis for most animal species. The shift in charge is pending approval from the Office of Naval Research, USU's cognizant federal audit agency. Upon the expected approval from the ONR, we will complete the per diem review process and implement new rates and charging methods.

In response to a news article alleging abuse and misuse of animals at a United States Department of Agriculture Agricultural Research Services (USDA-ARS) site in Nebraska, the USDA convened an Animal Health and Welfare Review Panel to review animal care and oversight process within ARS. Dr. Aaron Olsen, the LARC director, was invited to participate on and chair the review panel. In this position, Dr. Olsen had the opportunity to visit multiple ARS research sites and review the animal care and oversight programs at each location, and to ultimately provide a review of the animal care processes within ARS. This review included recommendations to the Secretary of Agriculture and USDA on how to improve animal

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oversight processes throughout the ARS research system.

The IACUC has continued to serve the research community at USU by providing review and oversight of animal related research and teaching activities. The committee is currently experiencing change with the departure of some

long-standing members and introduction of new members. In particular, we wish to note the departure of Mary Leavitt. She was a previous committee chair and has served continuously on the committee for 23 years. We are extremely grateful for her long and valuable service to the committee and the university.

Research Development

New Research Development division

The Proposal Development division was rebranded as the Research Development division in late FY 2015. This change better reflects the goals and services the division provides to faculty. More than just assisting with the development of proposals, division staff and the services offered help faculty craft their research programs to be more competitive and better positioned to garner external funding. The current efforts of the division will continue, with new staff and services coming in FY 2016.

Grantsmanship training program

Faculty

The grant-writing seminar tailored specifically to faculty and focused on “writing to the review process” was offered once in FY 2015:

- 1 seminar – fall semester
- 43 faculty and research support staff attended

Grant Writers' Seminars & Workshops (www.grantcentral.com) presented the seminar. RGS covered all seminar expenses for participants (including lunch and breaks).

Graduate students

Grant-writing seminars tailored specifically to the needs of graduate students were offered twice in FY 2015:

- 1 seminar – fall semester
- 1 seminar – spring semester

- 178 graduate students and/or postdocs attended

Grant Writers' Seminars & Workshops (www.grantcentral.com) presented both seminars. RGS covered all seminar expenses for participants (including lunch and breaks).

Proposal Writing Institute

The Proposal Writing Institute completed training its seventh cohort in FY 2015. Thirteen 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 86 faculty over the years. Those faculty members have submitted 96 proposals worth \$57 million that can be tied directly to the proposals worked on during the institute. Of those submitted proposals, institute faculty have received 13 awards worth \$6 million.

Funding Finder

The decision was made in FY 2015 to make the Funding Finder database the primary USU-provided source for faculty to find funding opportunities. All faculty are encouraged to sign up for the weekly Funding Finder Newsletter, which can be done by visiting the main page (<https://fundingfinder.usu.edu/>) and clicking the “Sign Up” button on the right side. There are currently 443 newsletter subscribers (381 faculty, 42 staff, 20 graduate students).

RGS seed grant program

The Grant-writing Experience through Mentorship (GEM) program provides funding to enhance the professional development of new investigators through one-on-one research and grant-writing interactions with successful research mentors. The purpose of this program is to build USU's research capability and increase extramural funding for scholarly activities by enhancing the proposal development skills of newly hired USU researchers.

The Research Catalyst (RC) program provides funding to help applicants develop new initiatives or directions in their discipline that will lead to new externally funded grants. The purpose of this program is to build USU's research capability and increase external funding for scholarly activities from government agencies and private sources.

The Seed Program to Advance Research Collaborations (SPARC) program provides funding

to catalyze development of interdisciplinary research teams and projects that involve scholarly research in more than one department, research center, college, or institution. Successful SPARC proposals require mutual effort by researchers from multiple disciplines. They must also provide outcomes that enhance USU faculty success in securing new, large-scale, interdisciplinary externally-funded grants.

GEM, RC, and SPARC awardees are required to develop and submit at least one proposal to an external funding agency within three months of project completion. Because proposal submission deadlines vary widely among different agencies, funding for RGS seed grant programs is offered twice yearly, with start dates of January 1 or July 1.

For FY 2015, the RGS seed grant program made 26 awards through its biannual competition cycles.

Sponsored Programs

Office restructure

In order to improve the efficiency of Sponsored Programs, a new office structure was implemented in August 2015. Under the new office structure, Sponsored Programs is divided into three teams, consisting of a Senior Grant and Contract Officer, Grant and Contract Officer, and Grant and Contract Administrator. Each team member has a role in (1) ensuring that proposals are thoroughly reviewed, approved, and submitted to sponsors, (2) negotiating and approving award documents, and (3) managing contractual post-award issues.

The benefits of the office restructure follow:

- One main point of contact for campus
- Knowledgeable interactions with

Sponsored Programs

- Increased visibility of Sponsored Programs staff at the campus and department level
- Improved compliance monitoring and enforcement
- Consistent support
- Built-in back-up system
- Quicker turnaround times on proposals and awards

Proposals and awards

Sponsored Programs processed more award actions (1,125) in FY15 than in any prior fiscal year. Sponsored Programs submitted more proposals (1,372) in FY15 than in any prior fiscal year.



OFFICE
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GRADUATE STUDIES

UtahStateUniversity

Section 405.6.5

6.5 Ombudspersons

All academic units will appoint ombudspersons to serve in the promotion, tenure, and post-tenure review processes. Ombudspersons will be tenured faculty members (as defined in section 401.2.1) and elected or appointed in their respective academic units. The provost's office will develop and implement a plan for the ombudsperson program that defines the election or appointment process, the terms of office, the training, and the implementation of the ombudsperson program.

An ombudsperson must be present in person or by electronic conferencing at all meetings of a promotion advisory committee or a tenure advisory committee. Ombudspersons must receive adequate advance notice of a committee meeting from the chairperson.

For post-tenure **quinquennial** review meetings and for meetings held between either the department head or supervisor and the tenure, promotion, or review candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson.

The ombudsperson is responsible for ensuring that the rights of the candidate and the university are protected and that due process is followed according to section 400 of the USU Policy Manual. Ombudspersons shall not judge or assess the candidate, and therefore is not a member of the promotion, tenure, or review committee, or a supervisor of the candidate.

Ombudspersons who observe a violation of due process during a committee meeting should immediately intervene to identify the violation. Committee reports shall be submitted to the department head or supervisor only if they include the ombudsperson's signed statement that due process has been followed. If the ombudsperson cannot sign such a statement, then the ombudsperson shall report irregularities to the department head or supervisor and the appropriate dean or other administrator. After conferring with the ombudsperson, the department head or supervisor, dean or other administrator will determine what, if any, actions should be taken.

Post-Tenure Review Timeline Following Negative Review

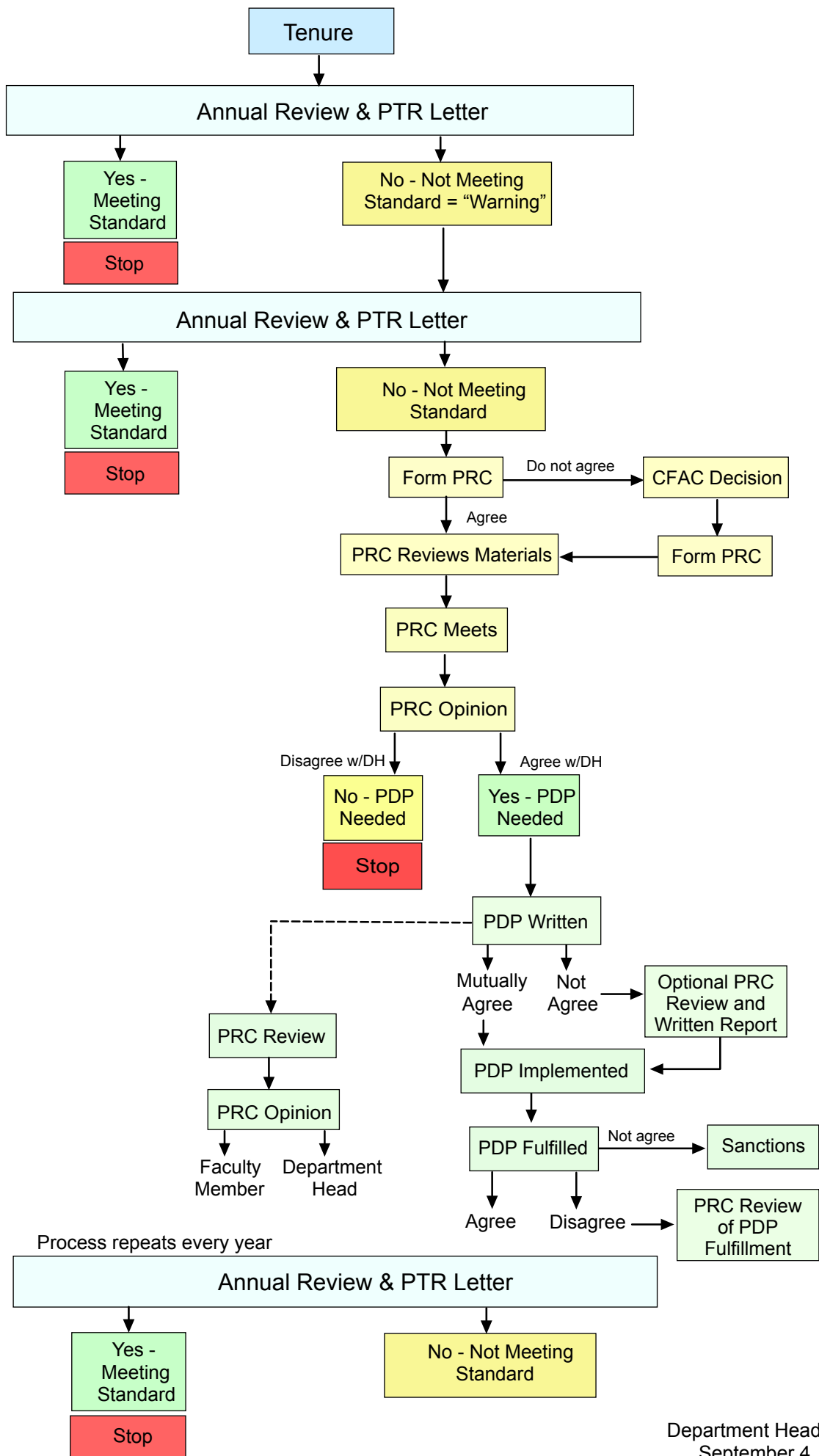
Clock

Y1

Y5

Y6

Y7+



Federal and State Cooperator Faculty Positions

Currently, Faculty Code (401.4.2(4) designates a non-tenure, term appointment faculty rank of "Federal Cooperator." It is described as:

"Faculty members who are federal employees, who are paid by agencies of the federal government, whose primary function at the university is equivalent to core faculty, and who serve as faculty under cooperative agreements between the university and the federal government (e.g., U.S. Department of the Interior, Fish and Wildlife Service) may be appointed to one of the following ranks: instructor (FC), assistant professor (FC), associate professor (FC), or professor (FC), after full consultation between the department head and the faculty of the department that grants credit in this area. Appointments to federal cooperator ranks are made only in academic units where such cooperative agreements exist."

In the Quinney College of Natural Resources, we have had Federal Cooperators working as our faculty for decades. More recently (2013), we have entered into a similar relationship with a state employee of the Utah Division of Wildlife Resources. This employee (with a PhD) performs duties similar in academic responsibility to our federal cooperators under a cooperative agreement.

I recommend that we amend the Faculty Code to allow state employees whose primary function at the university is equivalent to core faculty, and who serve as faculty under cooperative agreements between the university and the state government (e.g., Utah Division of Wildlife Resources), to receive this term appointment faculty rank as well.

Robert Schmidt, PhD
Certified Wildlife Biologist ®
Distinguished Associate Professor of Honors Education

405.7 PROCEDURES SPECIFIC TO THE TENURE PROCESS

7.2 Additional Events During the Year in which a Tenure Decision is to be Made

(1) External peer reviews.

Prior to September 15, the department head or supervisor will make a solicitation of letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If fewer than four letters arrive, additional letters will be solicited only to attain the minimum of four letters. The reviewers must be external to the university and must be held with respect in academe. The candidate will be asked to submit the names of potential reviewers and to state the nature of his or her acquaintance with each of them. The number of names should be at least equal to the number of letters to be solicited. At least one-half of the reviewers must be selected from the candidate's list. The candidate may also submit names of potential reviewers that he or she does not want contacted, although this list is not binding on the department head or supervisor.

The department head or supervisor and the tenure advisory committee shall mutually agree to the peer reviewers from whom letters will be solicited. A summary of the pertinent information in his or her file initially prepared by the candidate and a cover letter initially drafted by the department head or supervisor with final drafts mutually agreed upon by the candidate, the tenure advisory committee, and the department head or supervisor shall be sent to each reviewer by the department head or supervisor. Each external reviewer should be asked to state, the nature of his or her acquaintance with the candidate and to evaluate the performance, record, accomplishments, recognition and standing of the candidate in the major area of emphasis of his or her role statement. If the candidate, department head, and tenure advisory committee all agree, external reviewers may be asked to evaluate the secondary area of emphasis in the role statement as well. Copies of these letters will become supplementary material to the candidate's file (see Code 405.6.3). A waiver of the external review process may be granted by the president when such a process is operationally not feasible for a particular set of academic titles and ranks.

405.8 PROCEDURES SPECIFIC TO THE PROMOTION PROCESS

8.1 Faculty without Tenure

(1) Instructors, affiliate librarians, extension instructors, and professional career and technical instructors, shall be promoted to the ranks of assistant professor, assistant librarian, extension assistant professor, professional career and technical education assistant professor, respectively, once the criteria in 405.2.1, 405.3.1, 405.4, or 405.5.1 have been met.

(2) Assistant professors, assistant librarians, extension assistant professors, and professional career and technical education assistant professors shall be promoted to the ranks of associate professor, associate librarian, extension associate professor, and professional career and technical education associate professor, respectively when tenure is granted.

8.3 Procedures for Promotion

(1) External peer reviews.

Prior to September 15, the department head or supervisor will solicit letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If fewer than four letters arrive, additional letters will be solicited only to attain the minimum of four letters. The reviewers must be external to the university and must be held with respect in academe. The candidate will be asked to

submit the names of potential reviewers and to state the nature of his or her acquaintance with each of them. The number of names should be at least equal to the number of letters to be solicited. At least one-half of the reviewers must be selected from the candidate's list. The candidate may also submit names of potential reviewers that he or she does not want contacted, although this list is not binding on the department head or supervisor.

The department head or supervisor and the promotion advisory committee shall mutually agree to the peer reviewers from whom letters will be solicited. A summary of the pertinent information in his or her file initially prepared by the candidate and a cover letter initially drafted by the department head or supervisor with final drafts mutually agreed upon by the candidate, the promotion advisory committee, and the department head or supervisor shall be sent to each reviewer by the department head or supervisor. Each external reviewer should be asked to state the nature of his or her acquaintance with the candidate, and to evaluate the performance, record, accomplishments, recognition and standing of the candidate in the major area of emphasis of his or her role statement. If the candidate, department head, and promotion advisory committee all agree, external reviewers may be asked to evaluate the secondary area of emphasis in the role statement as well. Copies of these letters will become supplementary material to the candidate's file.

405.10 TERM APPOINTMENTS AND PROMOTION: CRITERIA

10.1 Criteria for Promotion to the Penultimate Ranks:

Clinical or Research Assistant Professor, Assistant Professor (Federal Cooperator), Assistant Professor (Federal Research), Lecturer, Professional Practice Instructor to Clinical or Research Associate Professor, Associate Professor (Federal Cooperator), Associate Professor (Federal Research), Senior Lecturer, and Professional Practice Associate Professor. ADD STATE cooperator or researcher here?

11.4 Events During the Year in which a Promotion Decision is to be Made

(1) External peer reviews

Prior to September 15, the department head or supervisor will make a single solicitation of letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If less than four letters arrive, additional letters will be solicited to attain the minimum of four letters. The reviewers must be external to the university and must be respected in their fields. The candidate will be asked to submit the names of potential reviewers and to state the nature of his or her acquaintance with each of them. The number of names should be at least equal to the number of letters to be solicited. At least one-half of the reviewers must be selected from candidate's list. The department head or supervisor and the promotion advisory committee shall mutually agree to the peer reviewers from whom letters will be solicited. A summary of the pertinent information in his or her file initially drafted by the department head or supervisor, with final drafts agreed upon by the candidate, the promotion advisory committee, and the department head or supervisor, shall be sent to each reviewer by the department head or supervisor. Each reviewer should be asked to state at the very least the nature of his or her acquaintance with the candidate, and to evaluate the candidate's work, recognition, and standing among his or her peers. Copies of these letters will become supplementary material to the candidate's file. The external review process is not required for those seeking promotion in the lecturer ranks.

A waiver of the external review process may be granted by the president when such a process is operationally not feasible for a particular set of academic titles and ranks.