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UtahStateUniversity
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FACULTY SENATE EXECUTIVE COMMITTEE
January 21, 2020
3:30 – 4:30 p.m.
Old Main-Champ Hall

Agenda

3:30 **Call to Order** ..... Patrick Belmont
Approval of Minutes – December 16, 2019

3:35 **University Business** ..... Noelle Cockett, President | Frank Galey, Provost

3:50 **Information**
EPC Monthly Report – January 9, 2020 ..... Paul Barr
Human Resources Current and Proposed Code 321 ..... Patrick Belmont

4:00 **Reports**
Professional Responsibilities and Procedures Committee (PRPC) Annual Report . David Farrelly
Office of Research Annual Report ..... Lisa Berreau
School of Graduate Studies Annual Report ..... Richard Inouye

4:15 **Old Business**
401.3.3 Tenured and Tenure-Eligible Faculty (second reading) ..... Britt Fagerheim
405.3.1 Tenure and Promotion: Criteria for Librarians (second reading) ..... Britt Fagerheim
Faculty Code Updates ..... Patrick Belmont

4:30 **New Business**

Adjourn:

FACULTY SENATE EXECUTIVE COMMITTEE MINUTES
December 16, 2019
3:30 – 5:00 p.m.
Old Main-Champ Hall

Present:	Patrick Belmont (President), Becki Lawver (Past-President), Timothy Taylor (President-Elect), Frank Galey (Ex-officio), Danielle Ross for Vonda Jump, Christopher Monz, Erin Davis, Don Busenbark, Robert Wagner, Jan Thornton, Michele Hillard, Thomas Lachmar, Yoon Lee, Paul Barr, Benjamin George, Konrad Lee for Daniel Holland
Absent:	Noelle Cockett (Ex-officio), Nancy Hills, Richard Heflebower, Spencer Wendel,
Guests:	Renee Galliher, Mitchell Colver, Kimberly Lott, Craig Whyte,

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Call to Order - Patrick Belmont
Approval of Minutes – November 18, 201
Minutes approved as distributed.

University Business - Noelle Cockett, President | Frank Galey, Provost
The President and Provost are looking at ways to position USU for raising its ranking in the US World and News Report. One of the major goals is access. As a land grant university, we want to continue access, but the rankings go down because of our access policies. Graduation rates are also a problem as USU is not able to compete with the big universities. Relative ranking is a little higher this year at 36% vs. 32% last year. Currently we are ranked 254 out of 400 institutions and USU reports the whole system, including statewide campuses. Right now the university is working on gathering the first set of data from the general education assessment task force. As soon as data is available the Provost will bring it to the Faculty Senate Executive Committee. President Cockett will provide this info to NWCCU to show that USU is doing exactly what they have been asked to do.

Information
EPC Monthly Report – December 5, 2019 - Paul Barr
The General Education Subcommittee approved four designations
Discussed a potential misalignment between the expectations of the different designation subcommittees. This is an ongoing discussion with the goal of standardizing those expectations.

Academic Standards subcommittee discussed concerns regarding the current Excused Absence Policy in the general catalog.

Curriculum subcommittee approved 94 semester course approval forms.
Withdrew 10 semester course approval forms.
Approved seven R401 proposals.
Moved the January 2 meeting to January 9.
Motion to move the EPC Monthly Report to the Faculty Senate agenda made by Thomas Lachmar. Seconded by Ben George. Moved to Faculty Senate.

Interim Day Expectations for Faculty - Renee Galliher
Last spring the calendar committee was receiving a lot of questions regarding schedules for finals week and commencement. Faculty are reminded that there should be not assignments/test that would affect the student's grades. Also need to clarify and stress the restrictions on no test week.
Motion to move the Interim Day Expectations for Faculty to the Faculty Senate agenda made by Erin Davis. Seconded by Yoon Lee. Moved to Faculty Senate.

Student Analytics Report - Mitchell Colver
Working with a 3rd party vendor, Civitas and learning to identify variables and behaviors that predict student well-being at USU. This process has grown and has produced a number of great insights and the time has come to develop a book that will help the university community learn about the insights and utilize that information to help students. This information will be presented to student groups as well as faculty and staff. Students' reactions have been overwhelmingly positive. This will help groups figure out how to develop/update their programs. Data protection is an issue for faculty and students. How do we contract with a third party and hand over our students' data? USU has taken steps to protect student information. Civitas is required to follow rules/regulations the same as the institution. Academic advising has access to strengths and limitation models. Advising is the #1 student support outside of the classroom. Further questions can be sent to analytics@usu.edu. Second supplement will come out in mid-March to early April and will cover President Cockett's initiatives.
Motion to move the Student Analytics Report to the Faculty Senate agenda made by Timothy Taylor. Seconded Robert Wagner. Moved to Faculty Senate.

Reports
Council on Teacher Education (CTE) (One Pager) - Annual Report - Kimberly Lott
Council on Teacher Education is made up of many programs that are involved in teacher licensure. State is now requiring a more comprehensive assessment. Accreditation team came to USU and 7-year accreditation has been approved.
Motion to move the Council on Teacher Education Annual report to the Faculty Senate agenda made by Ben George. Seconded by Thomas Lachmar. Moved to Faculty Senate.

Scholarship Advisory Board Annual Report - Craig Whyte
Previously scholarship office has worked with Budget and Finance. The new realignment has moved them into Academic Instructional Services. Craig Whyte will now be the new scholarship director. The total # of recipients (statewide) last year was 11,023 students and this year is 11,527. Financials last year were $81M and this year USU is up to $93.6M. Merit based awards are now two-year awards vs. one-year award. There are new endowments set up to help with diversity. Sometimes diversity is hard to define. Increased funds this year to reflect diversity.
Motion to move the Scholarship Advisory Board Annual report to the Faculty Senate agenda made by Timothy Taylor. Seconded by Yoon Lee. Moved to Faculty Senate.

New Business
401.3.3 Tenured and Tenure-Eligible Faculty (first reading) - Erin Davis
Getting code in line with actual practice. Never used affiliate librarian. Moved assistant librarian code to be in line with affiliate.
Motion to move 401.3.3 code to Faculty Senate agenda made by Ben George. Seconded by Danielle Ross. Moved to Faculty Senate.

405.3.1 Tenure and Promotion: Criteria for Librarians (first reading) - Erin Davis
Clarifying MLS and taking out three year work experience and lined up with role statement.
Motion to move 405.3.1 code to Faculty Senate agenda made by Ben George. Seconded by Danielle Ross. Moved to Faculty Senate.

407.2 | 407.4 Procedures for Sanctions and other Reprimands (first reading) - Patrick Belmont
Issue being addressed is the lack of paper trail regarding sanctions/reprimands. Currently there is no documentation for reprimands. Rectify problem with the additions. If there is a complaint against a faculty member the conversations leading up to a reprimand will need to be documented. Faculty member should be able to reply to the complaint. One of the most challenging things will be the timelines. Documenting within 24 hours and having the faculty member respond within three days is pretty tight timeline. Looking for some behavioral words to avoid no action being taken or too much action being taken. From a due process review we might want to add more time in case someone is traveling, etc. Strike regional campus deans – they no longer exist.
Motion to move 407.2 | 407.4 to Faculty Senate agenda made by Thomas Lachmar. Seconded by Christopher Monz. Moved to Faculty Senate.

Adjourn: 4:45 pm

Report from the Educational Policies Committee
January 9, 2020

The Educational Policies Committee (EPC) met on January 9, 2020. The agenda and minutes of the meeting are posted on the Educational Policies Committee web page (www.usu.edu/epc).

During the January 9, 2020 meeting of the EPC, the following actions were taken:

1. **General Education Subcommittee**

- Four General Education designations were approved:
  - WILD 4100 (CI)
  - RELS 3456/HIST 3456 (DHA)
  - ENGL 4230 (DSS)
  - POLS 4500 (DSS)

- In order to help standardize proposals received for general education designations, examples of exemplary proposals will be provided. Future proposals will be asked to follow guidelines and examples. Proposals that are unclear will be returned to the originator for resubmission.

2. **Academic Standards Subcommittee**

- No December meeting to report

3. **Curriculum Subcommittee**

- Approval of 154 course requests.

Approval of a request from the School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences requests approval to offer a **Minor in Community-Based Education.**

Approval of a request from the Department of Kinesiology and Health Science in the Emma Eccles Jones College of Education and Human Services to suspend the **Sports Medicine Specialization in the Health and Human Movement Master of Science program.**

Approval of a request from the Departments of History and Political Science in the College of Humanities and Social Sciences to create a **Certificate of Proficiency in Global Peacebuilding.**

Approval of a request from the Department of Biology in the College of Science requests approval to add a **Human Biology Emphasis to the existing Bachelor of Arts degree in Biology.**

4. **Other Business**

A proposal to require curriculum complexity maps as part of the R401 long form requests as well as all R411 program reviews was discussed. There have been several departments that have benefited from this analysis.

A review of departmental CIP codes will be performed. There have been a few cases where the incorrect CIP code has been assigned to a department. This has impacts on student VISAs.

Utah State University

POLICY MANUAL

GENERAL

~~Number~~ **Policy** 321
Subject: ~~**Employee Rights**~~ **Respectful Workplace**
Date of Origin: ~~**January 24, 1997**~~

Originated Final

321.1Purpose and Scope

Utah State University (USU) is committed to maintaining a work environment that encourages mutual respect and facilitates collegial relationships. To build and promote trust, all USU employees are collectively responsible to set a positive example and to avoid behaving disrespectfully, including behavior that would reasonably offend, intimidate, embarrass, or humiliate others, whether deliberately or unintentionally.

~~321.1~~321.2 ~~POLICY~~

~~All employees have a right to work in an environment free from mistreatment intended to demean, impugn, or harass. The University prohibits mistreatment of its employees by supervisors, administrators, faculty, coworkers, and students.~~ University related interactions should be conducted with courtesy, civility, decency, and a concern for personal dignity. Disrespectful behavior or abusive conduct, including but not limited to, mistreatment, bullying, humiliation and/or intimidation will not be tolerated. Expectations include, but are not limited to, using professional language, not recording interactions without all parties consent, and are not providing unrelated third parties unauthorized access to university and/or employee information (see USU Policy 319: Employee Privacy and Confidentiality and Policy 556: Information Privacy for more information).

Employees violating this policy are subject to disciplinary action, ~~ranging from a written warning to~~ up to and including termination of employment per USU Policy 311: Corrective Action, which applies to benefited non-faculty employees, and USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures, which applies to faculty. ~~depending on the seriousness of the offense.~~

For ~~questions~~ issues regarding sexual harassment, please refer to ~~the University's Sexual Harassment~~ USU Policy ~~(339).~~ 339: Sexual Harassment. For ~~behaviors~~ issues ~~in violation of~~ regarding~~protections afforded by federal law~~ discrimination, refer to USU Policy 303: Affirmative Action/Equal Opportunity.
~~the AA/EO Policy (303).~~
This policy does not limit USU leadership's right to manage. Performance management, work assignment and evaluation, and disciplinary measures taken by USU for any valid reason do not constitute disrespectful behavior, abusive conduct, and/or bullying. Such management actions should be done in ways that are consistent with the intent and expectations of this respectful workplace policy.

~~321.2PROCEDURES~~

~~Identification of Mistreatment~~2.1 ~~——~~Reporting and Resolution of Disrespectful Behavior or Abusive Conduct

~~Mistreatment occurs when~~ If an employee is ~~the~~ subjected to or observes disrespectful or abusive conduct of another by an individual or group of individuals, the employee ~~of actions of another employee or group of employees that have no work or business basis; demean, intimidate, harass or disrupt the employee; and are reoccurring.~~

~~1.1.~~ Resolution Procedure

~~Employees~~ should first attempt to resolve ~~problems~~ concerns ~~involving mistreatment~~ within their own area~~s~~ per USU Policy 325: Employment Grievance Procedures. This should be done by ~~meeting~~ discussing their concerns or observations with their ~~appropriate~~ immediate supervisor~~administrator,~~. ~~who can effectively determine the nature and extent of the problem~~ The immediate supervisor will then ~~and~~ initiate a process to determine the nature and extent of the issue and initiate an effective resolution.

If an employee does not feel comfortable ~~in~~ contacting their ~~administrator(s)~~ immediate supervisor~~-~~, ~~within his/her administrative area,~~ the employee may contact another level of management within their reporting chain or the Office of Human Resources, who will meet with the employee to discuss their concerns or observations. Human Resources will ~~and~~ then initiate ~~an appropriate informal~~ a process to determine the nature and extent of the ~~problem~~ issue and ~~appropriate~~ collaborate with the appropriate leadership and employee(s) to initiate an effective resolution. ~~The Office of Human Resources works as a mediator in resolving issues and does not exercise any formal controls or sanctions.~~

~~If the problem is not resolved through the above processes, the employee may exercise his/her rights under the appropriate grievance process as outlined in policy 325.~~

321.3RESPONSIBILITY

3.1 ~~University Administrators~~ Supervisors

~~It is the obligation of all University administrators~~ Supervisors have an obligation to set expectations in their areas to ensure a safe, collegial, and respectful workplace for all employees and address issues as they arise. ~~to guarantee the rights and dignity of employees. If an administrator~~ If a supervisor becomes aware of a situation within ~~his/her~~their area that may violate~~s~~ this policy, the ~~administrator~~ supervisor should ~~make every effort~~take appropriate steps to resolve the problem ~~first~~ on an informal basis. If informal processes ~~fail~~are not adequate to address the situation, then formal disciplinary procedures should be utilized per USU Policy 311: Corrective Action, which applies to benefited employees (non-faculty) and USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures (faculty).

3.2 Employees

All ~~E~~employees have an obligation to ~~recognize and~~ promote and preserve the reputation of

Original Policy - Final

the University by demonstrating respect toward all members of the campus community, including students, faculty, and staff. ~~the rights of coworkers, supervisors, and the University.~~ Employees are responsible for responding to and reporting perceived disrespectful or abusive conduct in accordance with this policy. ~~harassment according to the guidelines in this policy. For assistance, employees should contact their supervisor or the Office of Human Resources.~~

3.3 Office of Human Resource

The Office of Human Resource may investigate, make determinations, advise, assist, and/or mediate between employees and departments in resolving possible violations of the policy.

321.4 RELATED USU POLICIES

Policy 303: Affirmative Action/Equal Opportunity
Policy 311: Corrective Action
Policy 319: Employee Privacy and Confidentiality
Policy 325: Employment Grievance Procedures
Policy 339: Sexual Harassment
Policy 407: Academic Due Process: Sanctions and Hearing Procedures
Policy 556: Information Privacy

321.5 DEFINITIONS

5.1 **Abusive Conduct –** Verbal, non-verbal, or physical conduct of one party to another that, based on its severity, nature, and frequency of occurrence, a reasonable person would ~~determine that it is intended to cause intimidation, humiliation, or unwarranted distress or~~ harm.

5.2 **Bullying –** Conduct that seeks to harm, intimidate, coerce, persecute, or torment; often repeated or habitual.

5.3 **Employee –** Any individual legally employed by Utah State University in any capacity.

5.4 **Formal Disciplinary Procedures –** Corrective action as set forth by USU Policy 311: Corrective Action which applies to benefited employees (non-faculty) and Policy 407: Academic Due Process: Sanctions and Hearing Procedures (faculty).

5.5 **Humiliation –** Conduct that would reasonably be expected to cause undue embarrassment, shame, disgrace, or dishonor.

5.6 **Informal Processes –** Any process that does not follow the formal corrective action set forth by USU Policy 311: Corrective Action or USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures (e.g. conversation, letter of expectation).

5.7 **Intimidation –** Conduct that would reasonably be expected to cause undue fear and distress.

5.8 **Reporting Chain –** Levels of supervisory roles within a department or unit.

5.9 **Supervisor –** A person employed by Utah State University who has hiring authority and/or holds a position that directly supervises an employee of Utah State University.

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5.10 **University Related Interactions** – Any job function that pertains to Utah State University.

Information below is not included as part of the contents of the official Policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the President, subject to review by the USU Policy Committee.

RESOURCES

(List resources to aid in compliance or indicate "None.") [Arial Narrow 10]

Procedures

- None

Guidance

- None

Related Forms and Tools

- None

Contacts

- Human Resources Solution Center, hr@usu.edu, (435) 797-0122

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2020/03/13

Next scheduled review date:

Previous revision dates: 2020/03/13, 2015/03/06, and 1997/01/24

Original redlined Final

ITEM FOR ACTION

Re: Amendments to USU Policy 321: Respectful Workplace (formerly Employee Rights)

Key

- Red – Deletions
- Blue – Additions
- Black – Original to Policy
- Green – Movements of original text placement
- Underline – Hyperlinks

SUMMARY OF CHANGES

- **Retitled and Reframed Policy-** In alignment with USU's belief in fostering respect and dignity for all members of the USU community[1] and the Presidential priorities of diversity, inclusion, and respect[2], we are retitling this policy from Employee Rights to Respectful Workplace and reformatting/reframing content.

- **Clarified Language and Expectations-** HR worked with Legal, Faculty Senate President, and HR to update policy language around use of professional language, recording of interactions with all parties consent, and preventing unauthorized access. Incorporated language and reference to employee privacy and communication (Policy 319) and information privacy (Policy 556). Also added/clarified definitions and standards for abusive conduct, bullying, humiliation, and intimidation.

- **Clarified Applicable Disciplinary Policies-** Added policy references for staff (Policy 311) and faculty (Policy 407) that will apply if/when policy violations occur.

- **Clarified USU Leadership's Right to Manage-** Added clarification that valid performance management activities and/or discipline do not constitute a violation of this policy and will be done in a respectful manner. Policy was silent previously.

- **Clarified to Whom to Report Concerns-** Clarified that employees should work first with their immediate supervisor. If they are not comfortable, they may contact another level of management in their chain and/or HR.

- **Clarified/Strengthened Supervisory Responsibilities-** Updated language and strengthened obligations of supervisors to ensure safe, collegial, and respectful workplace.

- **Clarified/Strengthened Employee Responsibilities-** Updated language and strengthened obligations of employees to respond to and report perceived disrespectful or abusive conduct.

Legislative Note: HB 12 Abusive Conduct Reporting Amendments has been introduced again this session. HR/Legal will monitor progress and make any additional policy language changes required if/when this bill passes.

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[1] See https://equity.usu.edu/

[2] See https://www.usu.edu/today/index.cfm?id=58635

PROFESSIONAL RESPONSIBILITIES AND PROCEDURES COMMITTEE (PRPC)
ANNUAL REPORT FOR FEBRUARY 2019 - JANUARY 2020

Membership (February 1 - June 30, 2019)

Agriculture and Applied Sciences – Nikki Kendrick
Education and Human Services – Susan Turner
Extension – Andree Walker Bravo
Science – David Farrelly
University Libraries – Erin Davis
University Libraries – Britt Fagerheim (Chair, on sabbatical Feb. 1 - June 30)
USU Eastern – Jan Thornton
USU Statewide Campuses (Roosevelt) – Marilyn Cuch (Acting Chair)

Membership (July 1, 2019 - date)

Agriculture and Applied Sciences – Nikki Kendrick
Agriculture and Applied Sciences – Jennifer MacAdam
Arts – Corey Christiansen
Extension – Andree Walker Bravo
Science – David Farrelly (Chair)
University Libraries – Britt Fagerheim
USU Eastern – Jan Thornton

Mission as Defined in USU Policies and Procedures

The Professional Responsibilities and Procedures Committee shall advise the Faculty Senate regarding composition, interpretation, and revision of Section 400 in University Policies and Procedures. Recommended revisions shall be submitted to the Senate for its consideration. The procedures for code amendments are specified in Section 202 of the USU Policy Manual.

Membership

The membership of this committee will consist of seven Faculty Senate members appointed by the Committee on Committees. Term of members; officers; and meetings and quorum of the Professional Responsibilities and Procedures Committee shall be parallel to those of the Academic Freedom and Tenure Committee, as stated in policy 402.12.3(2) through 12.3(5).

Committee Business February 2019 - January 2020

This report covers code changes and reviews since the previous PRPC Annual Report which was presented by Britt Fagerheim and approved by Faculty Senate (FS) at the January 7, 2019 meeting. There have been a number of code changes initiated or completed during the past year. Since the start of fall semester 2019 PRPC has been meeting almost weekly to deal with these potential revisions to the code. PRPC expects these weekly meetings to continue in spring semester 2020.

A focus for the current (spring 2020) semester is to continue the conversations started last semester with the General Counsel's Office, the Office of Equity, and the Provost in regard to possible substantial revisions to section 407 of the faculty code ("the code"). The 407 code changes being contemplated relate principally – but not exclusively – to how sexual harassment cases are handled. The goal is to make the faculty code consistent with both the law and the procedures described in Section 300 of the University Policy Library (Personnel Policies). Among the various forms of harassment and discrimination that are possible, only *sexual* harassment has a specific protocol described in 400-level code; all others are dealt with exclusively through the Equity Office, at least initially, by trained investigators. Sexual harassment is also dealt with by the Equity Office but *via* a quite different set of procedures than described in Section 407. Thus, there are two parallel but different protocols in place and *both* of which, according to the code, must be followed. Because Section 300 is also undergoing changes this will be an iterative process between PRPC and the other stakeholders. The goal of PRPC is to bring these proposed changes to the FS no later than the March 9, 2020 FS meeting for a first reading in the context of the to-be changed 300-level code. The timing will depend, in part, on how soon the proposed revisions of 300-level code become available.

PRPC is also concerned about some items occasionally falling into administrative "black holes" after leaving the FS. We will be working with the Administration on ways to streamline the notification and feedback process (e.g., if an item is sent back to PRPC after having been approved by, and having left, the FS).

The following is a summary of code changes and reports presented by PRPC to the FS at its monthly meetings, as well as their current disposition, in the order of the dates in which PRPC presented them. Only code changes that have been approved or rejected on first reading or beyond will be described. Exceptions relate to first readings of several proposed changes to Section 407 code – specifically: 407.1.1, 407.8.5(3), 407.11.2(2), and 407.11.3 which all received first readings at the February 4, 2019 FS meeting. Because of the anticipated major revisions to Section 407 these changes are currently on hold and will not be described here. Instead, if considered appropriate and consistent with the proposed broader changes to Section 407, they will be incorporated into the revised version of Section 407 to be presented to the FS as discussed above.

Specific Items of Business

– February 4, 2019 Faculty Senate Meeting

1. **405.7.2 Additional Events During the Year in which a Tenure Decision is to be Made.** This addressed issues with external reviewer letters, including conflicts of interest and the possible difficulty for smaller departments to identify a pool of potential external reviewers. FS letter sent to the University President on 2/27/19. Current status: unknown.
2. **407.1.1, 407.8.5(3), 407.11.2(2), and 407.11.3. (Various related to Sanctions and/or Sexual Harassment.)** First readings approved. Current status: tabled for the reasons described above.

– March 4, 2019 Faculty Senate Meeting

1. **405.12.2 Review of Faculty.** This was a student-initiated suggestion to include professional conduct as a criterion for faculty evaluation. This was not approved on its first reading at FS. Current status: tabled permanently.

– April 1, 2019 Faculty Senate Meeting

1. **405.11.2 Term Appointment Promotions.** This is to align the process for term appointment faculty to be similar to the process for advancement to full professor. Second reading approved at FS. Approved by the Executive Committee and Provost. Current status: included in the agenda for the January, 10, 2020 Board of Trustees meeting.
2. **405.2, 405.3, 405.5, and 405.9.** Include Carnegie Community Engagement wording in the faculty code. Second reading approved at FS. Current status: FS letter sent to the University President and Provost on 11/1/19.

– October 7, 2019 Faculty Senate Meeting

1. **403.3.1 Standards of Conduct – Faculty Responsibilities to Students.** Faculty members do not engage in discrimination or harassment. Second reading approved by FS. Current status: FS letter sent to the University President and Provost on 11/1/19.
2. **403.3.2 Standards of Conduct – Professional Obligations.** Faculty members do not engage in discrimination or harassment. Second reading approved by FS. Current status: FS letter sent to the University President and Provost on 11/1/19.

– December 2, 2019 Faculty Senate Meeting

1. **401.5 Faculty with Special Appointments.** State legislature has provided funding for career and technical education certificates at statewide campuses. A new section describing rules governing these positions was added to section 401 of the code. Approved by the Executive Committee and Provost. Current status: included in the agenda for the January, 10, 2020 Board of Trustees meeting.

1. **401.3.3 Tenured and Tenure-Eligible Faculty.** Matches code with preferred practice for Librarians. First reading approved. Current status: awaiting second reading.
2. **405.3 Tenure and Promotion: Criteria for Librarians.** Matches code with preferred practice for Librarians. First reading approved. Current status: awaiting second reading.
3. **407.2 Sanctions.** New code to ensure that all conversations with faculty specifically about potential 403 code violations are documented in a timely manner. The intent is to memorialize the content of these conversations – so that all sides are clear on what was said – rather than to establish facts, innocence or guilt. First reading. Current status: clarifying revisions were requested by FS. These will be presented at a future FS meeting after consultation with the Department Heads Executive Council (DHEC) as recommended by FS. The next meeting of DHEC is Feb. 6. Projected second reading at the March 9, FS meeting.

Unfinished Business from Prior Years

There are also two items of unfinished business which PRPC is actively considering.

1. **405.11.4(1) Events During the Year in which a Promotion Decision is to be made: External Peer Reviews.** This relates to term appointments. The proposed changes were in response to the concerns of Central Committee reviewers that some external review letters were essentially letters of recommendation rather than evaluations and did not directly address suitability for promotion. After a first reading on 1/8/18 it was returned to PRPC. One concern was that some fields are very small and it may be hard to find reviewers that have enough distance from the faculty member to be truly objective. A substantially modified version will be presented for a first reading at an upcoming FS meeting. The goal is to revise code in such a way that the procedures for promotion of term appointment faculty match closely those for tenure track faculty.
2. **405.8.2(3) Faculty with Tenure below the Rank of Professor: Procedures for Promotion.** This concerns the timing and participation in promotion advisory committee (PAC) meetings and the role of the Department Head (DH) or Supervisor. A second reading was approved by FS on 2/5/18 and a FS letter sent to the University President on 10/26/18. This was returned to PRPC by the Executive Committee. The issue of concern is whether Department Heads should provide a preliminary written assessment of a candidate's suitability for promotion based on a review of the candidate's dossier and the report of the PAC. This would occur in the academic year prior to that in which the case for promotion is desired to be made by the candidate. However, this could be seen as pre-judging the outcome by the DH, or possibly, even being a mechanism to delay the process indefinitely without any external evaluations to hand. A substantially modified version will be presented for a first reading at an upcoming FS meeting.

– End –

OFFICE OF

RESEARCH

UtahStateUniversity

2019

Annual Report

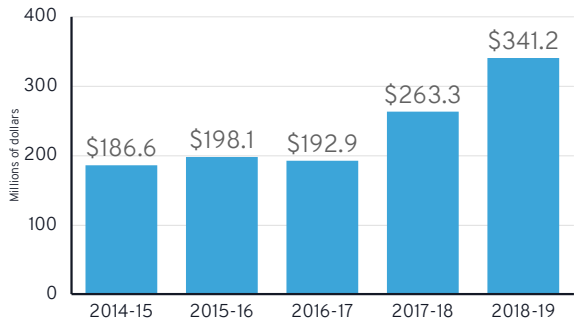
MISSION STATEMENT

The mission of USU's Office of Research 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.

Utah State University ***Office of Research***

2018-19 HIGHLIGHTS

1.



USU RECEIVES RECORD RESEARCH AWARDS

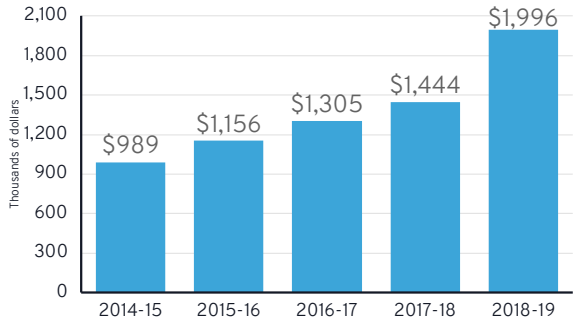
In FY19, USU strengthened its research distinction, as total USU research awards increased by nearly 30% over last year, making it the highest annual award level ever. Much of that increase is due to a doubling of contracts by the Space Dynamics Laboratory.

2.

RESEARCH LANDSCAPES HIGHLIGHTS LAND, WATER, AND AIR

In an effort to develop and communicate excellence in land, water, and air research, USU created Research Landscapes, an initiative that is successfully sharing research highlights and creating relationships with Wasatch front business leaders, policy makers and other community stakeholders.

3.



TECHNOLOGY TRANSFER GENERATES RECORD REVENUE

USU received nearly $2 million in intellectual property commercialization revenue, which is the highlest level ever. From that revenue, nearly all of it (93%) was distributed back to inventors, departments and the university, which helps facilitate further faculty entrepreneurship.

4.

UNDERGRADUATE RESEARCH GROWS IMPACT WITH PEAK FELLOWS PROGRAM

To further expand experiential learning opportunities, USU grew a variety of existing undergraduate research programs and introduced the new Peak Fellows summer research program, named after USU professors and benefactors David and Terry Peak.

RESEARCH COMMUNICATIONS

Research Landscapes

The most significant addition to the Office of Research communication efforts was the creation of the Research Landscapes series, an initiative that developed out of a directive from President Cockett to reaffirm Utah State's research leadership in the areas of land, water, and air among business and community stakeholders and decision-makers along the Wasatch Front.

The series launched in November 2018 with a luncheon at the Alta Club in downtown Salt Lake City. At the introductory luncheon, Lt. Gov. Spencer Cox addressed Utah's need for further insights and continuing research in its understanding of the land, water, and air challenges facing the state; the lieutenant governor also pointed to Utah State University's unique positioning to provide answers to those questions. President Cockett also spoke at the event, sharing the history of USU as a land-grant university and how research and the sharing of those discoveries is core to the university's identity and purpose.

The presentation events, hosted at the O.C. Tanner headquarters in Salt Lake City, began in February 2019 with Dr. Randy Martin of the Civil and Environmental Engineering department sharing research about the state's air quality concerns. Later, in June 2019, Dr. Michelle Baker of the Department of Biology discussed relevant research in regards to Utah's water quantity and water quality.

Utah Lt. Gov. Spencer Cox spoke at the introductory luncheon for Research Landscapes. The new initiative, launched during FY19, showcases to a Wasatch Front audience Utah State University's research leadership in the areas of land, water, and air.

The Research Landscapes initiative is designed to build connections between Utah State University researchers and business leaders, community decision-makers, and other stakeholders along the Wasatch Front. The events provide a unique level of access to the researchers that allows for one-on-one conversations and discussions.

Training for Research Faculty

Training for Research Faculty is a workshop series that features training on topics of special interest to USU researchers, helping to enhance individual capacity development of USU faculty. Based on feedback received the previous year, streaming broadcasts of the presentations were offered in FY19, as well as online preservation of the video recordings of each workshop. Similar to past years, workshop topics were selected based on feedback from interested faculty. In 2018-19, two workshops were offered: the first event presented a panel of multi-discipline faculty members with experience in graduate mentoring to share advice on creating a positive lab culture for new students; in the second event, a faculty panel discussed their experiences in applying for NSF CAREER grants and the lessons they learned to help applications stand out from the crowd.

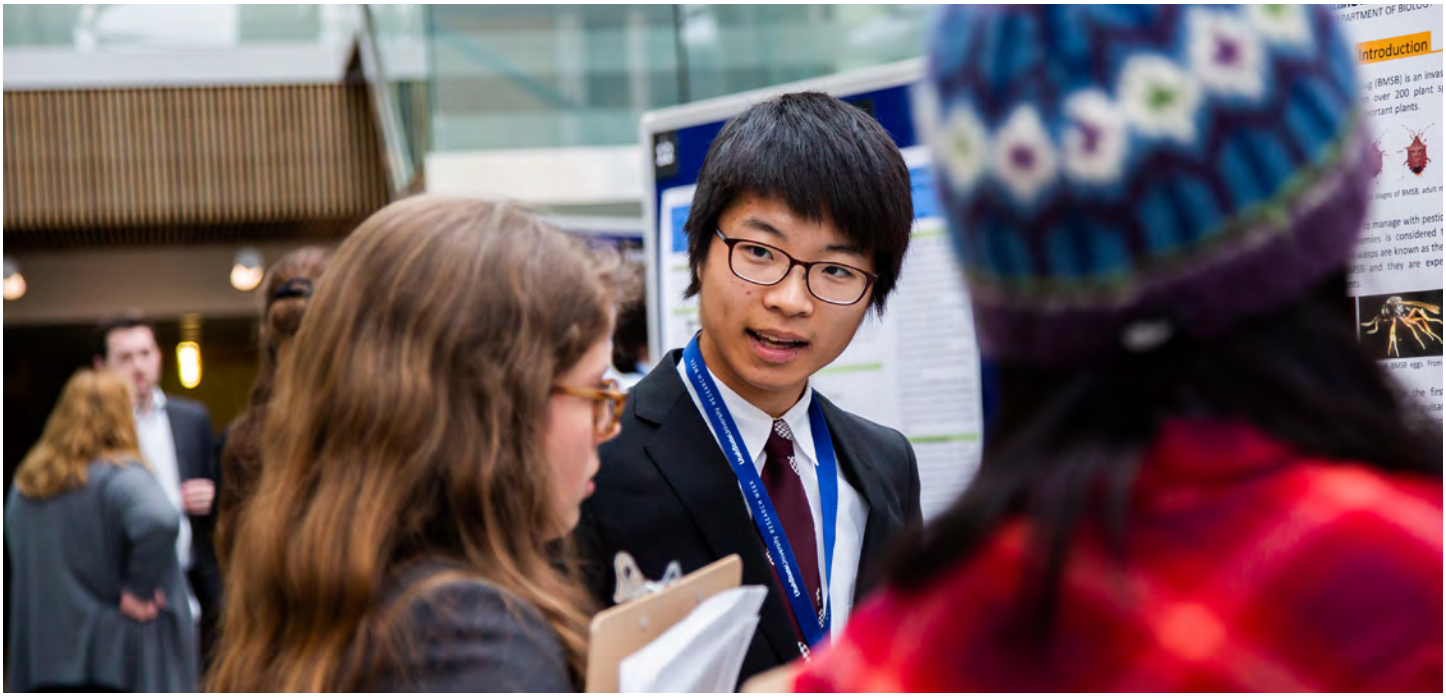
Sunrise Sessions, sponsored by Regence BlueCross BlueShield and hosted at the Little America hotel in Salt Lake City, provides a platform for USU researchers to share the latest findings in their fields.

Sunrise Session

The Office of Research continued Sunrise Sessions, its long-running Salt Lake City-based research presentation event series, in FY19. Sponsored by Regence BlueCross BlueShield and hosted at the Little America Hotel near downtown SLC, the presentations bring in nearly 120 attendees per session and are digitally archived at sunrise.usu.edu. Attendees at the 2018-19 series learned from four Utah State University researchers: Dr. Abby Benninghoff, of the Animal, Dairy and Veterinary Sciences Department, shared her findings on the use of functional foods to fight cancer; Dr. Joseph Wilson, of the Biology Department, discussed the incredible diversity of the bee population in the Beehive State; Dr. Michael Twohig, a licensed psychologist and professor in the Psychology Department, presented his latest research findings on new therapy methods; and Dr. Peter Howe, of the Department of Environment and Society, shared his findings regarding how Americans view climate change and the surprising consensus about how to approach the problem.

Research Week

The 15th Annual Research Week, hosted in the Merrill-Cazier library in April 2019, showcased the accomplishments and successes of faculty and student research at Utah State. At the presentation of the D. Wynne Thorne Career Research Award, attendees were honored to hear from Dr. Joyce Kinkead, the 2018 recipient, and celebrated Dr. Charles Hawkins, of the Department of Watershed Sciences, the 2019 honoree. The Student Research Symposium was the most visible portion of Research Week, with dozens of concurrent oral and poster presentations throughout the library; in total, more than 400 students participated in the two-day symposium.



The 2019 Student Research Symposium, hosted during Research Week, gave Utah State University graduate and undergraduate researchers the opportunity to share their research through oral and poster presentations, as well as through musical performances and art displays. More than 400 students participated in the event.

Division Reports

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

AAALAC International is the primary non-governmental organization that accredits laboratory animal care programs and facilities seeking to provide excellent animal care in support of research. In March of 2019, the Laboratory Animal Research Center and the Institutional Animal Care and Use Committee participated in a triennial site visit by AAALAC International.

At the completion of the site visit, the University animal care program was recommended to continue full accreditation, extending the continuous accreditation of the program at Utah State University since 1985.

The LARC has supported the ongoing remodeling of the Biology building by providing housing space for animals previously held within Biology, and by providing guidance to the design team leading the remodel of animal housing space in the newly remodeled building.

The IACUC continues to provide oversight of all animal-related activities on campus by conducting regular inspections of all animal handling areas.

SPONSORED PROGRAMS

The Sponsored Programs Office (SPO) at Utah State University is responsible for reviewing and approving proposals to federal and state agencies, foundations, and other public and private sources, and interpreting, negotiating and accepting contracts and grants for proposals that are awarded. In FY2019, Sponsored Programs divided into two teams to improve efficiencies with current resources, increase specialization, and provide greater support to campus researchers.

Staffing

The pre-award team works directly with faculty and campus support staff to assist with Kuali, review proposals for compliance, endorse final proposals, and submit proposals to sponsors. Kellie Hedin was promoted to SPO associate director and manages the pre-award team, which consists of three grant and contract officers (GCOs): Katie Dana, Narayne Rougeau, and Jen Smith.

The award management team is responsible for negotiating, approving, and finalizing contract and grants on behalf of USU. Devin Hansen was promoted to SPO associate director and leads the award management team, which consists of one Sr. GCO (Nan Buxton), two GCOs (Logan Hager and Maren Redd), and one grant and contract administrator (GCA) (Sam Coster). In FY2019, the award management team processed 1,043 award actions totaling $105.6 million

In FY2019, subaward activities were consolidated to the GCA, and closeout verifications were assigned to the SPO administrative assistant, Kim Velasquez.

Award

In FY019, federal funding made up the largest portion of total campus funding received at $54.2million (51%), followed by State of Utah funding at $20.9 million (20%), and private funding at $16.7 million (16%).

Campus awards are evenly split between other sponsored activities (47%) and research (47%), with instruction and training making up the remaining difference (6%).

The Emma Eccles Jones College of Education and Human Services led all campus units in award funding ($39.2 million), as well as in the number of award actions (217).

Proposals

In FY2019, the preaward GCOs submitted 1,146 proposals, or about 382 proposals per preaward GCO. The preaward team met individually with over 75 faculty researchers, and provided over 50 trainings focused on Kuali and preaward activities.

Sixty-five percent of campus proposals are classified as research, 31% are classified as other sponsored activities, 3% are classified as instruction and training, and 1% are classified as fellowships.

The Emma Eccles Jones College of Education and Human Services lead all campus units in proposal funding ($74.5 million), while the College of Engineering submitted the most proposals (244).

Kuali

Kuali is the campus research contract and grant system of record. Kuali provides USU departments and colleges with reports on contract and grant proposals and awards administered within the unit. In FY2019, 163 proposals were submitted via the S2S functionality in Kuali, which facilitates submission of federal proposals created in Kuali to grants.gov. The information and attachments provided in the Kuali proposal record populate the necessary forms and

RESEARCH DEVELOPMENT

GrantForward

In FY2019, the Research Development Division brought to campus the GrantForward funding search and grant recommendation service (https://research.usu.edu/rd/grantforward/). GrantForward replaced the Funding Finder database, which had been in use since 2013.

GrantForward uses specialized data-crawling technology to constantly add to and update an extensive database of sponsors, pre-solicitations, funding opportunities, and funded awards. The database covers more than 13,000 main sponsors and over 40,000 funding opportunities. Every grant opportunity is thoroughly analyzed and verified by a team of specialists to ensure accuracy. The search algorithm and adaptive search filters prevent users from wasting time sifting through grants that aren't relevant to them and their research. By building a researcher profile, users can receive grant recommendations related to their field and research interests. GrantForward puts a strong emphasis on education and training through monthly webinars, topical tutorials, focused QuickTips, and its YouTube channel, meaning help is available anytime from anywhere.

GrantForward is available to all USU faculty, staff, and students. Access to the system is obtained by logging in with a usu.edu or aggiemail.usu.edu email address.

RD Staff

The Research Development Division team consists of a director, a part-time program assistant, and six proposal development specialists (Agriculture, Education, Engineering, Extension [2], and Science).

The proposal development specialists are valuable and relied upon allies, aiding faculty in the search for external funding and the development of competitive proposals, coordinating with Sponsored Programs on the internal submission and review process, and helping faculty grow into more effective proposal writers.

Grantsmanship Training Program

Faculty

The general grant writing seminar tailored to faculty was offered once in FY2019, during the fall semester. The event was attended by 67 faculty and research support staff.

Graduate Students

The grant writing seminar tailored to graduate students was offered once in FY2019, also during the fall semester, with more than 100 graduate students and/or postdocs participating. This was the second highest attendance in the eight years this seminar has been offered (highest attendance was the first year).

All seminars were presented by AtKisson Training Group (*https://atg.consulting/*). The Office of Research covered seminar expenses for participants, including material costs, lunch, and breaks.

Proposal Writing Institute

The Proposal Writing Institute completed training its eleventh cohort in FY2019. Fifteen 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 141 faculty. As a result of the proposals worked on during the Proposal Writing Institute over the past eleven years, faculty participants have been awarded $12.9 million in external awards.

Seed Grant Program

In FY2019, the Office of Research seed grant program received 42 applications and funded 17 awards through its biannual competition cycles, with 34 applications and 13 awards through the Research Catalyst (RC) program, and eight applications and four awards through the Seed Program to Advance Research Collaborations (SPARC). No applications were received to the Grant-Writing Experience through Mentorship program.

Capital Equipment Grant Program

After taking a hiatus in FY2018 due to budget constraints, the capital equipment grant program accepted 23 applications and funded 13 awards in FY2019.

INTEGRITY AND COMPLIANCE

The Division of Research Integrity and Compliance (DRIC) has been working to improve the processes for responsible conduct of research (RCR) training, conflict of interest (COI) and export compliance with the goal of reducing burden on faculty and students while maintaining compliance with federal, state, and local regulations as well as institutional and agency policies.

Responsible Conduct of Research (RCR) Training

As of Spring 2019, the DRIC only tracks the RCR training requirements for individuals who are funded by the National Institute of Health (NIH), National Science Foundation (NSF), and the National Institute of Food and Agriculture (USDA-NIFA). The majority of those that must complete required training can do so via the CITI program. NSF and USDA-NIFA allow this online training. This includes researchers, staff, and students. NIH only allows undergraduates to complete the training online, whereas all graduate students and postdocs are required to attend the training in person.

In Fall 2018, an ARGOS report was created to identify those individuals who have been hired and paid by these three funding agencies. The DRIC, in collaboration with the researchers, reach out to these individuals to notify them of the training requirement. These efforts have resulted in an overall institutional compliance rate of 66%.

Conflict of Interest

All faculty and staff with role statements which include a research component are required to complete an annual conflict of interest disclosure. Additionally, as researchers submit funding proposals, they are required to complete a project-specific disclosure. These disclosures are submitted via Kuali, which includes much of the proposal information to avoid duplication. These project-specific disclosures must be completed before the proposals are submitted, as many of the funding agencies require them at the time of submission. The disclosure form has been streamlined for brevity and clarity. In collaboration with the deans and associate deans, the overall institutional compliance rate has risen from 35% to 81%.

Export Compliance

Universities are diverse places that encourage collaborative environments, which results in many avenues for exports. Export compliance becomes a concern when researchers and staff work on projects that are considered controlled or have publication restrictions that include foreign persons or foreign collaborators. Researchers have the primary compliance responsibility regarding export control laws and regulations. An export is the transfer of sensitive equipment, commodities, technology, information, technical data, software or services to: (a)Anyone outside the U.S. including a U.S. citizen; (b) A "foreign national" whether in the U.S. or abroad; or (c) A foreign embassy or affiliate. Most researchers and staff are not aware of these restrictions.

In order to take steps to safeguard our faculty who have projects that are considered controlled by the federal government, Utah State University has been registered with the Department of Commerce and the State Department with Dr. Lisa Berreau, interim vice president for research, as USU's Empowered Official. Additionally, the DRIC has purchased software that can conduct restricted party screening on individuals and organizations with whom researchers may conduct business. The software will also assist in the identification of materials that require a license or exemptions, improving the overall efficiency in identifying if a license is required. Additionally, a ServiceNow form for export compliance review and approval routing has been created to facilitate the process and lessen the burden on researchers. In collaboration with the Offices of Risk Management and Global Engagement, we are working to assist researchers with international travel processes which may require export licenses.

ENVIRONMENTAL HEALTH AND SAFETY

Administration

The Environmental Health and Safety (EH&S) office has had a successful year with an excellent team of professionals. The search for a new safety professional at the USU Eastern campus was exceptionally fruitful, identifying Logan Bollough, who assumed the responsibility for USU campuses in eastern Utah, including Price, Uintah Basin, Blanding and Moab.

The Safety Committee for Regional Campuses was restructured to better support branch campuses and regional learning centers. David Vernon, associate VP over the Salt Lake campus, accepted the appointment as chair of the committee with six members representing each geographical region within the state, including Greg Dart, associate VP of USU Eastern and Logan Bollough of EH&S.

Chemical Hygiene

The EH&S office went live with the hybrid online/face-to-face training program for initial laboratory safety in January of 2019. Over the past six months, 147 new researchers have taken the course. This course has significantly reduced EH&S staff time commitments for training, but the EH&S office still provided training for 658 students in seven different courses dedicated to the safe handling of chemicals.

The EH&S office responded to 15 emergency indoor air quality issues involving natural gas leaks, construction exhaust, building HVAC failures, chemical releases, and sewer gas. Three long-term exposure assessments of ventilation systems in laboratories, classrooms and arts studios were conducted to determine if corrective action or personal protective equipment (PPE) was warranted.

Biological Safety

EH&S office personnel assisted auditors from the United States Department of Agriculture and the Centers for Disease Control in the inspection of all select agent areas and BSL 2/3 laboratories on two separate occasions. Routine audits are conducted to assure compliance with all required and prudent laboratory practices.

The EH&S office has been working in conjunction with USU Facilities to explore the possibility of a much needed upgrade to the ventilation system in the select

agents laboratory (P3) in the Laboratory Animal Research Center. We were able to secure $200 thousand from the state building fund to initiate the design and engineering for the project. In the coming years, additional funds will be requested to implement the proposed changes.

Industrial Hygiene

EH&S personnel aided the Athletics Department in procuring UL-approved "flame towers," safe to operate and providing a good show. A State of Utah registered fireworks professional was identified and contracted to inspect the system and to conduct all home-game performances. EH&S personnel provided leak detection and system readiness checks prior to each home-game performance, and all dress rehearsals.

The EH&S office teamed with USU's Fire Marshal to meet with the Athletics Department, Student Services, and the president's council to explain the hazards associated with "corn starch white out" activities. Explosions from these types of activities have resulted in loss of life and damage to buildings and equipment at other institutions. Student Services, in conjunction with the Athletics Department, has agreed to have EH&S and the Fire Marshall review and approve all new and proposed activities for potential hazards prior to all future events.

Occupational Safety

In FY19, the EH&S office investigated 26 laboratory accidents and 52 accidents occurring in field activities including farms, research, and the Utah Conservation Corps. An additional 127 minor accidents, where injured employees simply needed to be reminded of safety protocols already in place, from all facets of USU activities, were also reviewed.

Hazardous Waste

EH&S personnel were instrumental in preparing the biology building (BNR) for the FY20 remodel. Over a three-month period the entire EH&S staff worked with researchers, laboratory personnel and students to catalog all chemicals to determine which would be discarded and which would be moved to a new home. Each container of chemicals was removed from its storage location within BNR and prepared for transport in compliance with all applicable Department of Transportation (DOT) requirements.

Chemicals were either sent for disposal or transported to a permanent home in the new life sciences building or temporary lab space. Following the safe transport of chemicals to their designated new home, EH&S personnel worked with laboratory personnel to unpack each chemical to assure it was not damaged during transport. In total, 24 research groups and all teaching labs in the Biology Department were moved without incident or delay to the starting of the BNR remodel project.

Radiation

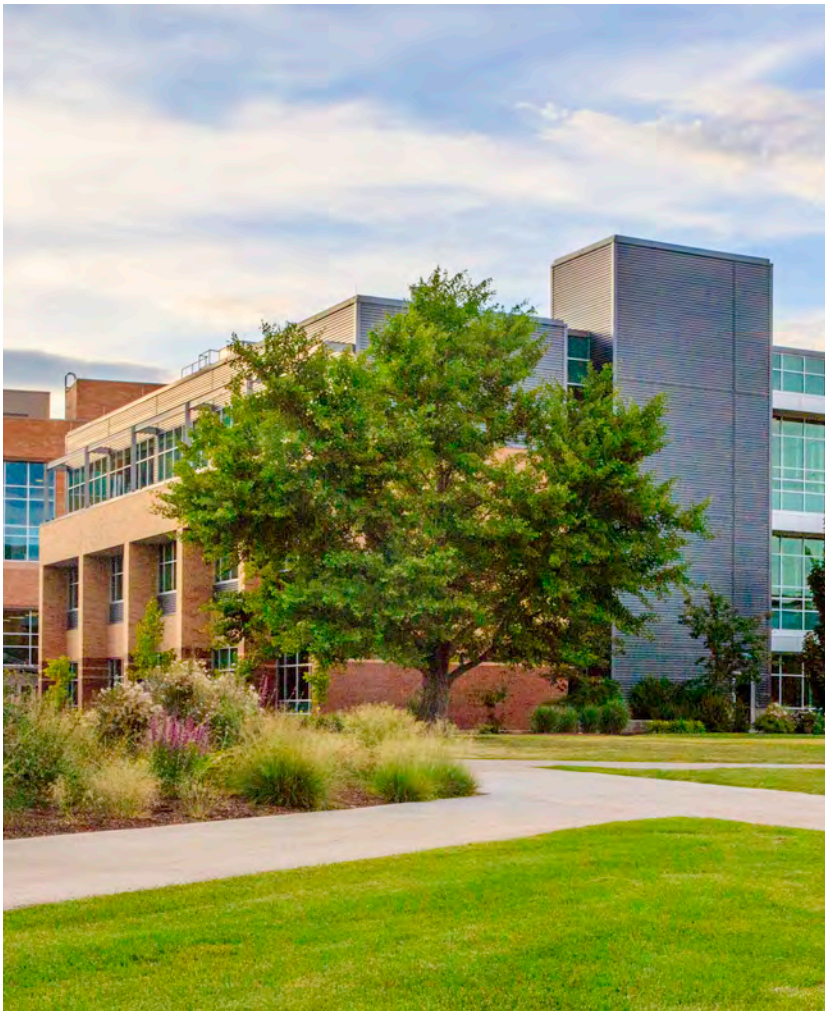
Eighty-seven inspections of radioactive material areas on campus were conducted in FY19, for the safe use of dispensable isotopes. All of the 42 existing research personnel working in these areas received annual refresher training, and 27 new investigators received the initial training.

Phase I Site Assessments

The EH&S office investigated four properties that were purchased or donated to the university for environmental liability. The largest site was a 110-acre property donation in Herriman, Utah that will be used as the Salt Lake center for agriculture outreach and research. The site will also serve the south end of the Salt Lake Valley as a regional campus for all eight colleges. The site was historically used as a dry farm that was, unfortunately, heavily contaminated by Kennecott Mining operations and mine tailings.

Contamination from wind erosion and storm water on-flow deposited elevated levels of the heavy metals lead and arsenic. The results from that site

posed a significant environmental liability, and they were presented to the College of Agriculture and Applied Sciences and the President's Executive Committee in a presentation in June. The property was subsequently forwarded to an outside contractor to conduct a Phase II site evaluation to determine the actual levels of lead and arsenic. The Phase I and Phase II results will be used to determine if development of a branch campus will pose any threat to persons farming, conducting research or attending classes.



Air Quality

The EH&S office compiled the annual emission inventory for priority pollutants (NOx, SOx, particulates, CO, and VOCs) released by university activities. The report listed a 13% decrease from FY18, indicating a mild winter and effective pollution reduction measures.

Emergency Response

EH&S personnel responded to and contained numerous small spills across campus, including acrylamide in the chemistry building and a bourbon spill in USTAR 620. "Midnight Dumping" has become an increasing problem on campus in FY19, with three drums of an unknown chemical being discovered behind the Skaggs building and a box of old paint appearing on the RACC dock. USU Police were contacted on both occasions, but they said there was little hope in discovering the responsible parties, due to the open nature of USU campus.

INSTITUTIONAL REVIEW BOARD

Regulatory Updates

January 21, 2019 marked the implementation date for a long-awaited overhaul of the regulations governing research with human participants.

The updated Federal Policy for the Protection of Human Subjects substantially broadened the categories of exempt research, brought identifiable biospecimens under the purview of the federal rule, updated requirements for documenting informed consent, and removed the need for annual approval of newly expedited research projects. In conjunction with the implementation date, the USU IRB created many educative resources, held several trainings, and updated forms and templates relating to the new rule (the "Revised Common Rule").

Another change under the Revised Common Rule that comes into effect in 2020 regards single IRB review. Utah State University was one of the earliest adopters of SMART IRB, an online reliance system that permits institutions to keep track of Single IRB agreements in a shared electronic portal. SMART IRB has now grown to include over 600 institutions. Updated paper-based reliance agreements are still available for investigators working with colleagues whose institutions have not adopted SMART IRB.

Policy Revisions

USU's Policy 584, the institutional policy on research involving human participants, was updated following implementation of the Revised Common Rule. In addition to making substantial updates regarding federal requirements, IRB staff took the opportunity to remove several items from its purview. Most notably, faculty no longer need to seek IRB review of classroom-based activities that do not meet the definition of "research" within the federal regulations. While this only decreases IRB submissions by approximately 3%, the IRB hopes that this deregulatory effort permits faculty to get a smoother start to the semester.

Increased IRB Capacity

To meet the increased demand for convened IRB reviews, the board began meeting twice per month in the spring 2019 semester. The IRB had a record high 22 protocols needing initial, continuing, and amendment review by the convened IRB. The twice-monthly meetings permit research proposed to the board to move along more quickly, while still receiving high-quality reviews. Additionally, incentive payments for community members approved last fiscal year by President Cockett have assisted the IRB in achieving quorum more consistently.

TECHNOLOGY TRANSFER SERVICES

Technology Transfer Services does our best to look into the future and identify the best technologies to protect and commercialize. We are often amazed at what the future brings. We saw good successes in FY19 and credit USU's innovative and supportive faculty for this success.

USU received a record $1,995,875 in Intellectual Property commercialization revenue, of which $1,870,976 (93%) was distributed back to inventors, departments and the university. Of disappointing note, in FY19 the licensed patent for a method of producing textured whey protein expired. As a result, USU will no longer receive royalties from our long-time licensee. Our ongoing challenge is to replace this revenue with other successful commercialization opportunities.

TTS continues to support our faculty by assisting in the negotiation, execution and tracking of research, development and commercialization-related agreements. In FY19 TTS assisted with two inter-institutional Agreements, three Joint Research agreements, 16 material transfer agreements, 33 non-disclosure agreements and 30 license agreements.

USU faculty disclosed 33 new inventions to TTS in FY19. We were pleased to receive these disclosures, but disappointed the number of disclosures are trending down since the peak in FY10. We feel one factor in this downward trend is the smallness of our team; we are limited in our ability to be more visible and interact with our faculty and researchers as much as we would like. We hope to right size our team in the future and would expect to see the number of invention disclosures increase. Encouragingly, TTS received nine disclosures from faculty who had not previously disclosed an invention. We are excited to interact and serve all of our faculty, especially our new faculty.

An important part of our service to the university community is the protection of IP. In FY19, TTS filed six provisional patent applications, 19 non-provisional patent applications and filed trademark protection for 17 new trademarks. The end goal of a patent application is for the US Patent and Trademark Office (USPTO) to issue the patent. This is a multi-year and expensive process. In FY19 the USPTO issued patents for 15 USU innovations.

The TTS team is small, but we are dedicated to providing the support and services to protect and promote the commercialization of USU's innovative discoveries and technologies. Being a small team, TTS will, out of necessity, focus our time and efforts on the most impactful opportunities and tasks.

UNDERGRADUATE AND GRADUATE STUDENT RESEARCH

Overview

The high level of student engagement in research makes USU stand out from other institutions in the state and beyond.

In 2019, the excellence of our undergraduate research programs received national recognition when we were selected as a finalist for the Council on Undergraduate Research's Campus-Wide Award for Undergraduate Research Accomplishments (AURA).

This year also saw the return of the Presidential Doctoral Research Fellows (PDRF) program, designed to attract and support top-tier PhD students across the disciplines.

Our Undergraduate Research Fellows (URF) program continued to build on its history of student success with two Goldwater Scholarships, five primary-authored articles in peer-reviewed professional journals, and dozens of poster and oral presentations at national and international conferences.

Seventy-five undergraduates were awarded $1,000 scholarships plus research funding for their independent research and creative projects through the Undergraduate Research and Creative Opportunities (URCO) grant program, now in its 44th year. And new initiatives for increasing access to and inclusion in student research, including Research Opportunities for Work Study (ROWS), got off the ground.

Finally, the summer of 2019 saw the inauguration of the Peak Summer Research Fellows, a donor-sponsored 10-week intensive research experience for undergraduates from the Colleges of Science and Humanities and Social Sciences.

Undergraduate Research Engagement

Undergraduates at USU participated in research and independent creative inquiry across all eight colleges, as represented by the record numbers of student posters, presentations, and performances at Research Week's Student Research Symposium in April 2019, and at the Fall Student Research Symposium in December 2019. More than 350 undergraduates and almost 100 graduate students presented at SRS over a two-day period. Every single student participant received feedback from multiple reviewers, including faculty, professional staff, and advanced graduate students, making this as much a learning experience as it is an opportunity to share work with the broadest possible public. In addition, the Fall SRS event saw a 100% jump in participation, with more than 100 undergraduate presentations.

Students from USU also presented at numerous national conferences, including the National Conference on Undergraduate Research, Utah Conference on Undergraduate Research, Research on Capitol Hill (Utah), Posters on the Hill (Washington, D.C.), American Geophysical Union, American Psychological Association, the Montreux Jazz Festival, and the Society for Applied Anthropology. We provided matching travel funds for more than 100 students.

PDRF relaunch

The Presidential Doctoral Research Fellows program, initiated in 2014, suspended recruitment for AY 2018-2019 while we reassessed program priorities and met with stakeholders to discover how this initiative to attract and retain top PhD students at USU could be strengthened. Support for its continuation was strong from existing students in the program, PIs, department heads, and deans, so the decision was made to reopen recruitment for fall 2020.

Deans have allocated the 12 open positions to their departments and faculty, and recruitment efforts have already begun. Meanwhile, in 2019, PDRF's already in the program garnered three NSF Graduate Research Fellowships as well as predoctoral fellowships from the American Heart Association, the Ford Foundation, USDA NIFA, Utah NASA Space Consortium, the National Park Service, The Geological Society of America, Western SARE, the American Alpine Club, and others, totaling almost $400,000 in support.

Peak Summer Research Fellows

Dr. David Peak (Physics) and Dr. Terry Peak (Sociology), generous supporters and mentors of USU's undergraduate researchers for more than three decades, made a $50,000 gift to the Office of Research in the winter of 2018 to support a summer research program for undergraduates in the Colleges of Science and

Humanities and Social Sciences.
We worked closely with the Peaks to develop a framework for the Peak Summer Research Fellows that would ensure that the students selected would be given an experience equivalent in rigor to the NSF's Research Experiences for Undergraduates (REU), on which we modeled the program.

Students wrote in-depth grant proposals, endorsed by their faculty mentors, and these were reviewed for their feasibility, originality, and potential to advance the students' eligibility for national scholarships and grants. Eleven students received the fellowship and ten completed the program, which immersed them in research for ten weeks during the summer of 2019 and culminated with a colloquium in September at which they presented their work to faculty and peers. The donors were pleased with the outcome, and have funded a second year for summer 2020.

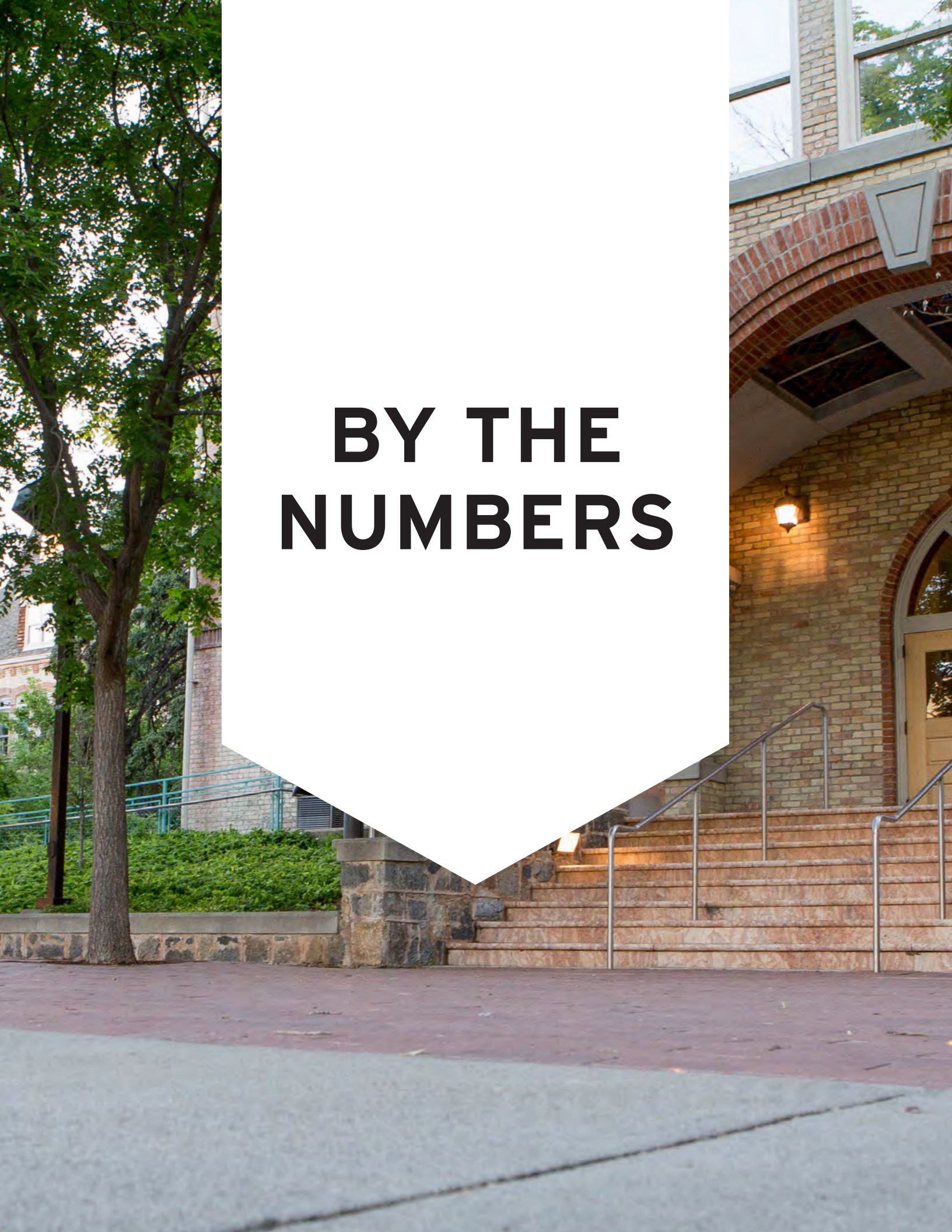
Increasing access

A continuing objective for UR at USU is to increase awareness and participation among those student populations most likely to benefit academically and personally from UR, but least likely to know about it or to pursue these opportunities. To this end, in 2019, we launched ROWS, working closely with Career Services to identify students eligible for Federal Work Study and pair them with faculty seeking entry-level research assistants.

Through paid research assistantship experience, the 33 students in this initial cohort are learning not only the skills, but also the mindset of researchers.

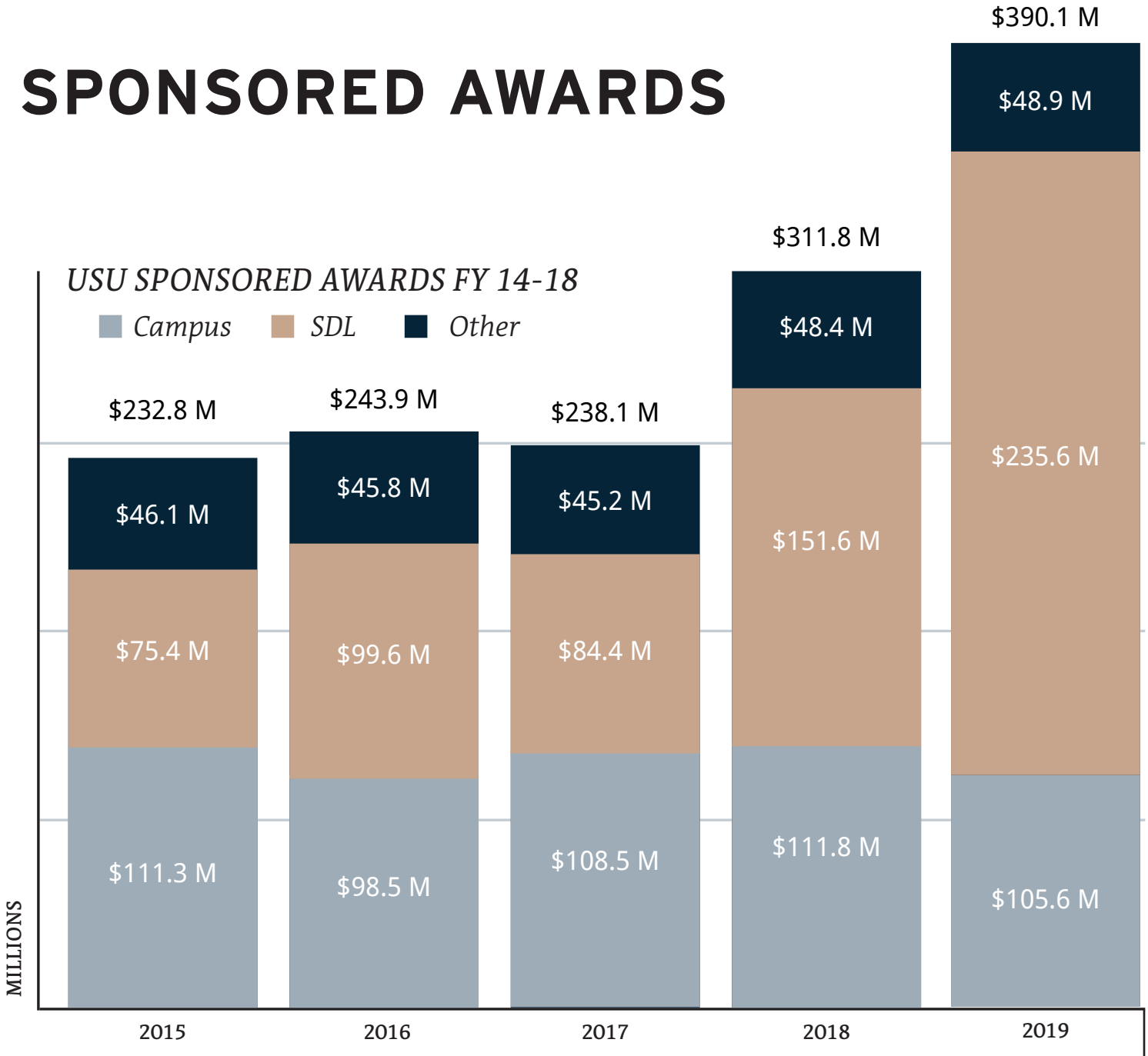
Meanwhile, our work with Admissions has led to the inclusion of UR in recruitment events focused not only on our typical demographic of high-achieving high school seniors, but also on first-generation college students, LatinX students, and non-traditional students. We are also coordinating with Aggie First Scholars and the Black Student Union to get information about research opportunities to students participating in their programs.

At Research on Capitol Hill, undergraduate students from Utah State University share their research efforts and discoveries with the state's leaders at the Capitol building in Salt Lake City.



BY THE NUMBERS

SPONSORED AWARDS



USU SPONSORED AWARDS FY 15-19

	FY15	FY16	FY17	FY18	FY19	Change over LY
Campus	$111,297,272	$98,540,187	$108,500,244	$111,772,405	$105,641,440	-5%
SDL	$75,352,922	$99,581,109	$84,372,932	$151,558,668	$235,596,858	55%
Other	$46,144,128	$45,812,584	$45,241,795	$48,448,656	$48,897,684	1%
USU Grand Total	*$232,794,322*	*$243,933,880*	*$238,114,971*	*$311,779,729*	*$390,135,981*	*25%*

COMPARATIVE DATA

	($M) Research Expenditures		Research Expenditures Ranking		Tenured Faculty		Tenure-Track Faculty	
	FY17	FY18	2017	2018	2017	2018	2017	2018
Colorado State University	338.4	375	70	65	756	743	279	310
Kansas State University	196.5	218.3	109	106	537	509	243	213
Montana State University	129.6	125.1	140	145	339	339	161	167
New Mexico State University	106.0	94.5	148	160	378	368	143	135
Oregon State University	267.1	272.4	87	87	614	626	300	272
University of Nebraska - Lincoln	302.2	308.1	77	78	761	734	319	315
University of Nevada - Reno	105.9	144.4	149	139	377	366	268	287
University of Wyoming	125.0	113.1	142	150	386	379	146	155
Washington State University	356.9	360.5	66	71	624	619	259	233
Utah State University	**187.3**	**219.4**	**116**	**105**	**488**	**484**	**233**	**236**

	Carnegie Ranking		F&A Rate		Total Faculty		Expenditures per Tenured Faculty ($K)	
	2015	2018	FY 18	FY 19	2017	2018	FY 17	FY 17
Colorado State University	R1	R1	52.0%	52.0%	1,035	1.053	448	505
Kansas State University	R1	R1	52.0%	52.0%	780	722	366	429
Montana State University	R2	R1	44.0%	44.0%	500	506	382	369
New Mexico State University	R2	R2	48.0%	48.0%	521	503	280	257
Oregon State University	R1	R1	47.0%	47.0%	914	898	435	435
University of Nebraska - Lincoln	R1	R1		55.5%	1,080	1,049	397	420
University of Nevada - Reno	R2	R1	44.0%	44.0%	645	653	281	395
University of Wyoming	R2	R2	44.5%	44.5%	532	534	324	298
Washington State University	R1	R1	53.0%	53.0%	883	852	572	582
Utah State University	**R2**	**R2**	**42.6%**	**45.0%**	**721**	**720**	**384**	**453**

SEED GRANTS

Seed Program to Advance Research Collaborations (SPARC)

Researcher	Dept	College	Project Title	Co-PIs	($) Amount
Zhongde Wang	ADVS	College of Agriculture and Applied Sciences	Developing a hamster model for inflammation in beta thalassemia and sickle cell disease	Justin Jones, Mark Richards	$34,413.89
Kezia Manlove	WILD	College of Natural Resources	Identifying factors driving population-level mixing patterns in wildlife	Kevin Moon, David Brown	$26,472.00
Brian Gowen	ADVS	College of Agriculture and Applied Sciences	Evaluating the utility of golden Syrian hamsters as models for preclinical development of triglyceride-modulating therapeutics to treat infections	Zhongde Wang, Michael Lefevre	$34,996.81
Breanna Litts	ITLS	College of Education and Human Services	Cultivating connections: Designing field experiences to develop sixth graders' cultural competence	Melissa Tehee, Eric Newell	$34,999.54

RESEARCH CATALYST (RC) GRANTS

Researcher	Dept	College	Project Title	Co-PIs	($) Amount
Clark Rushing	WILD	College of Natural Resources	Combining theory and technology to understand the factors limiting populations of Lazuli buntings breeding along an elevational gradient in Cache Valley, UT		$19,856.08
Maryellen McClain Verdoes	PSY	College of Education and Human Services	The Effects of Background Noise on Reading in Children with Autism Spectrum Disorder	Sarah Yoho Leopold	$19,998.46
Anna Cohen	SSWA	College of Humanities and Social Sciences	Isolation and Interaction in Ancient Honduras	Juan Carlos Fernandez-Diaz	$19,760.50
Tianbaio Liu	CHEM	College of Science	Developing Mg-Sulfur Battery Chemistry Using Advanced Electrolyte and Electrode Designs		$20,000.00
Patrick Singleton	CEE	College of Engineering	Needs-based approaches for representing personal transportation decision-making	Antje Graul	$20,000.00
Tal Avgar	WILD	College of Natural Resources	Coupling individual and population perspectives to enhance understanding and management of wildlife space-use patterns	Jeanette Norton	$19,951.36
Tom Chang	CHEM	College of Science	Fast and Sensitive Detection fo Fungal Infection and Contamination		$20,000.00
Rakesh Kaundal	PSC	College of Education and Human Services	Promoting Sustainability in Nitrogen Cycling: Artificial Intelligence to Explore Diversity of Enzymes involved with Nitrification and Mineralization in Agricultural Soils		$19,999.60
Bonnie Waring	BIO	College of Humanities and Social Sciences	Testing new conceptual models to predict effects of nutrient deposition on the soil C sink		$19,620.00
Ryan Jackson	CHEM	College of Education and Human Services	Determining molecular structures and activities of the Type V CRISPR effector nuclease Cms1/Cas12f		$19,995.00

Karen Munoz	COMD	College of Natural Resources	Can eHealth coaching after early childhood hearing aid fitting improve parents coping and child outcomes?	Michael Twohig, Mechael Levin	$19,685.72
Yu Huang	BE	College of Education and Human Services	Development of Electrically Acutated High-resolution Micro-Engineered Diffusers for Neuronal Outgrowth	David Bolton	$20,000.00
Cristopher Warren	PSY	College of Education and Human Services	The Role of Neural Modulation and Cognition in Reactive Balance		$19,998.27

CAPITAL EQUIPMENT GRANT AWARDS

Researcher	Dept	College	Project Title	($) Amount
Steve Young	PSC	College of Agriculture and Applied Sciences	Undergroud Observation Boxes	$20,000.00
Jennifer MacAdam	PSC	College of Agriculture and Applied Sciences	Case IH MD72 Rotary Mower with 3-point hitch	$6,157.50
Aaron Thomas	ADVS	College of Agriculture and Applied Sciences	Automated capillary electrophoresis instrument	$20,081.15
Irina Polejaeva	ADVS	College of Agriculture and Applied Sciences	iBright FL 1000 imaging system	$17,502.00
Amita Kaundal	PSC	College of Agriculture and Applied Sciences	SPEX SamplePrep 2010 Geno/Grinder	$13,019.00
Dan Murphy	Art & Design	College of Arts	Ram press	$11,169.53
Dale Wagner	KHS	College of Education and Human Services	Air displacement plethysmograph for body composition assessment: Bod Pod GS	$25,737.50
Wade Goodridge	Engineering Education	College of Engineering	CGX EEG Headset - Quick-8 System	$3,262.00
Charles Miller	Biological Engineering	College of Engineering	Medium Steam Sterilizer	$38,063.00
Bethany Neilson	CEE	College of Engineering	EXO2 Water Quality Sonde	$11,000.00
Ryan Berke	MAE	College of Engineering	Two-color pyrometer	$7,697.05
Janice Brahney	WS	College of Natural Resources	Sequoia LISST-Portable/XR	$14,737.50
Nicholas Dickenson	C&B	College of Science	Primus autoclave	$34,342.50

FACILITIES AND ADMINISTRATION ALLOCATION (IN THOUSANDS)

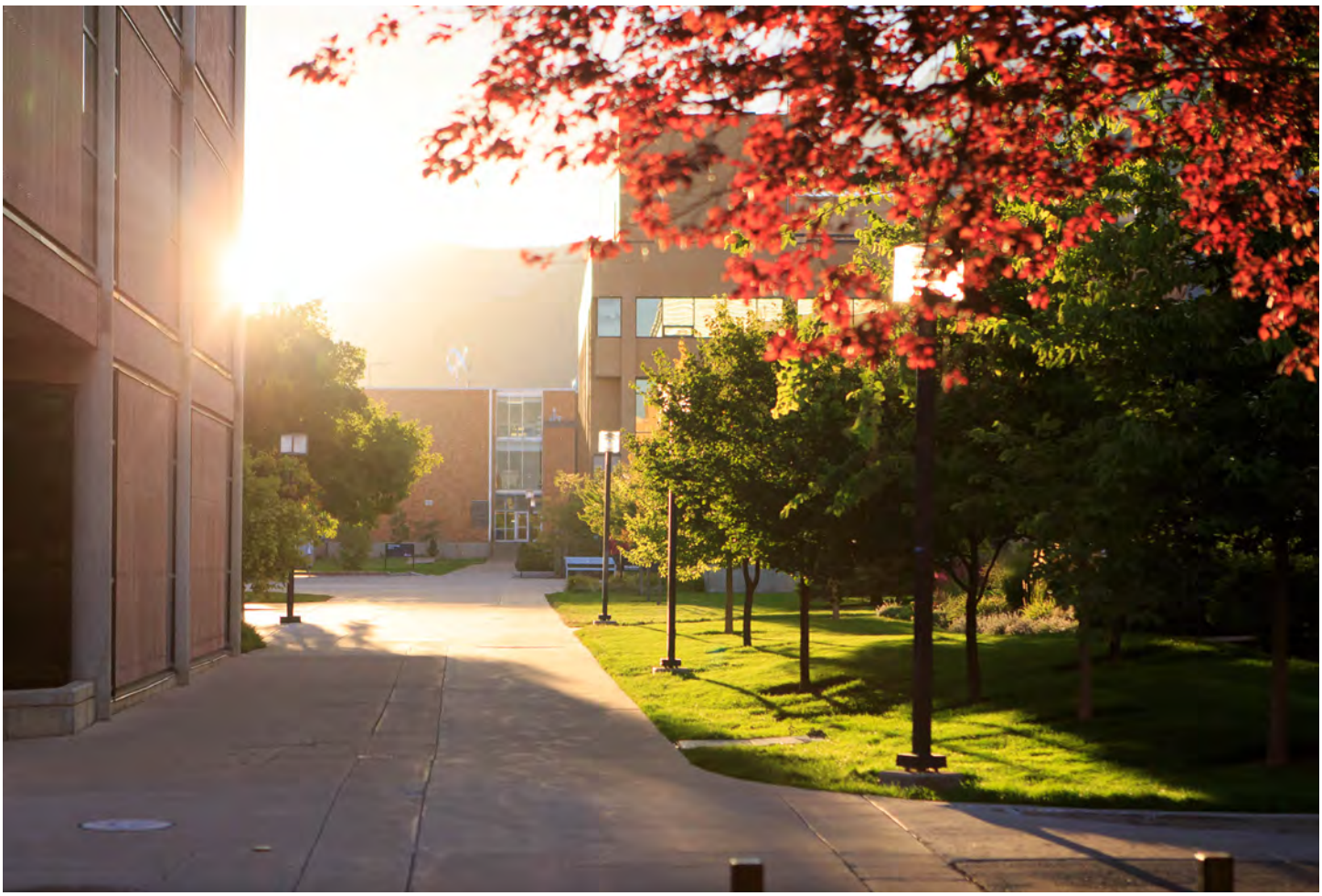
F&A Revenue	FY 2019 Actuals	% of Total Allocation
USU Eastern Revenues – 100% Returned	225.7	
30% to USU Colleges/Dept/P.I.s	3,709.1	
70% to Central F&A Pool	8,654.5	
Total F&A Generated	**12,363.6**	
Funds Available for Distribution by RGS		
F&A Revenues in Central Pool (70%)	8,654.5	
Unused Prior Period Allocations Returned to Central Pool	101.8	
Carry Forward	159.6	
Total F&A Available for Distribution	**8,916.0**	

Office of Research Allocations from Central Pool (70% of Central F&A pool):

Office of Research Operating	**1,725.9**	**19.6%**
Central Administrative Support		
O&M	1,217.1	
Salary & Benefits	514.264	
Information Technology	387.395	
Miscellaneous	99.501	
Total Central Administrative Support	**2,218.2**	**25.2%**
Indirect College Support		
Faculty & Staff Training	35.0	
Information Access	13.5	
Faculty Recognition/Presentation	20.0	
Reserve for Disallowance	25.0	
Total Indirect College Support	**93.5**	**1.1%**
Core Facility Support		
LARC	71.0	
Microscopy	96.1	
NMR	27.9	
Engr Pipe Building	9.5	
Total Core Facility Support	**204.4**	**2.3%**
Direct College Support		
New Faculty Startup	2,844.2	
Dean's College Allocations	378.0	
Seed Grants	378.2	
Equipment Grants	200.0	
PDRF	150.0	
Agreements/Requests	421.3	
Total Direct College Support	**4,371.7**	**49.6%**
Direct Student Support		
Undergraduate Research Fellows	100	
URCO	50	
Graduate Student Travel	50	
Total Direct Student Support	**200**	**2.3%**
Total F&A Allocations	**8,813.65**	**100.0%**
FY2018 (Over)/Under Allocated	**102.35**	**1.2%**

TECHNOLOGY TRANSFER FY 15-19

	FY19	FY18	FY17	FY16	FY15
Disclosures:	33	71	43	59	45
First Time Faculty Disclosures:	9	8	11		
IP Applications:					
Non-Provisional	19	15	12	13	26
Provisional	6	13	11	8	16
Trademark	17	5			2
Patents Issued:	15	14	14	27	17
New Licenses:	30	33	29		
Revenue:	$1,995,875	$1,443,674.35	$1,783,600.00	$1,117,014.00	$969,769.00



Annual Report

UTAH STATE UNIVERSITY SCHOOL OF GRADUATE STUDIES

2019

SCHOOL OF
GRADUATE STUDIES
UtahStateUniversity

UTAH STATE UNIVERSITY
SCHOOL OF GRADUATE STUDIES

2019

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Core Values

SCHOOL OF GRADUATE STUDIES

SERVICE

The School of Graduate Studies provides administrative, financial, and professional support for graduate programs and graduate students in all disciplines and on all USU campuses.

INTEGRITY

Scholarship and training should be conducted with the highest ethical and regulatory standards. This is particularly important in graduate programs, as they prepare students to serve in professional and leadership roles.

INDIVIDUAL CAPACITY DEVELOPMENT

Faculty, graduate students, and staff should continue to learn how best to conduct research and scholarly activities, to mentor others, and to support graduate education.

STUDENT ENGAGEMENT

Students will have better educational experiences, leading to better outcomes, if they are fully engaged in their graduate programs, and in their professional, university, and civic communities.

DIVERSITY, INCLUSION, ACCESSIBILITY

A diversity of experiences and approaches can strengthen learning and problem solving. The diversity of our graduate students is enhanced by including, and ensuring accessibility to, students from a broad range of backgrounds, experiences, and approaches to problem solving.

TRANSPARENCY

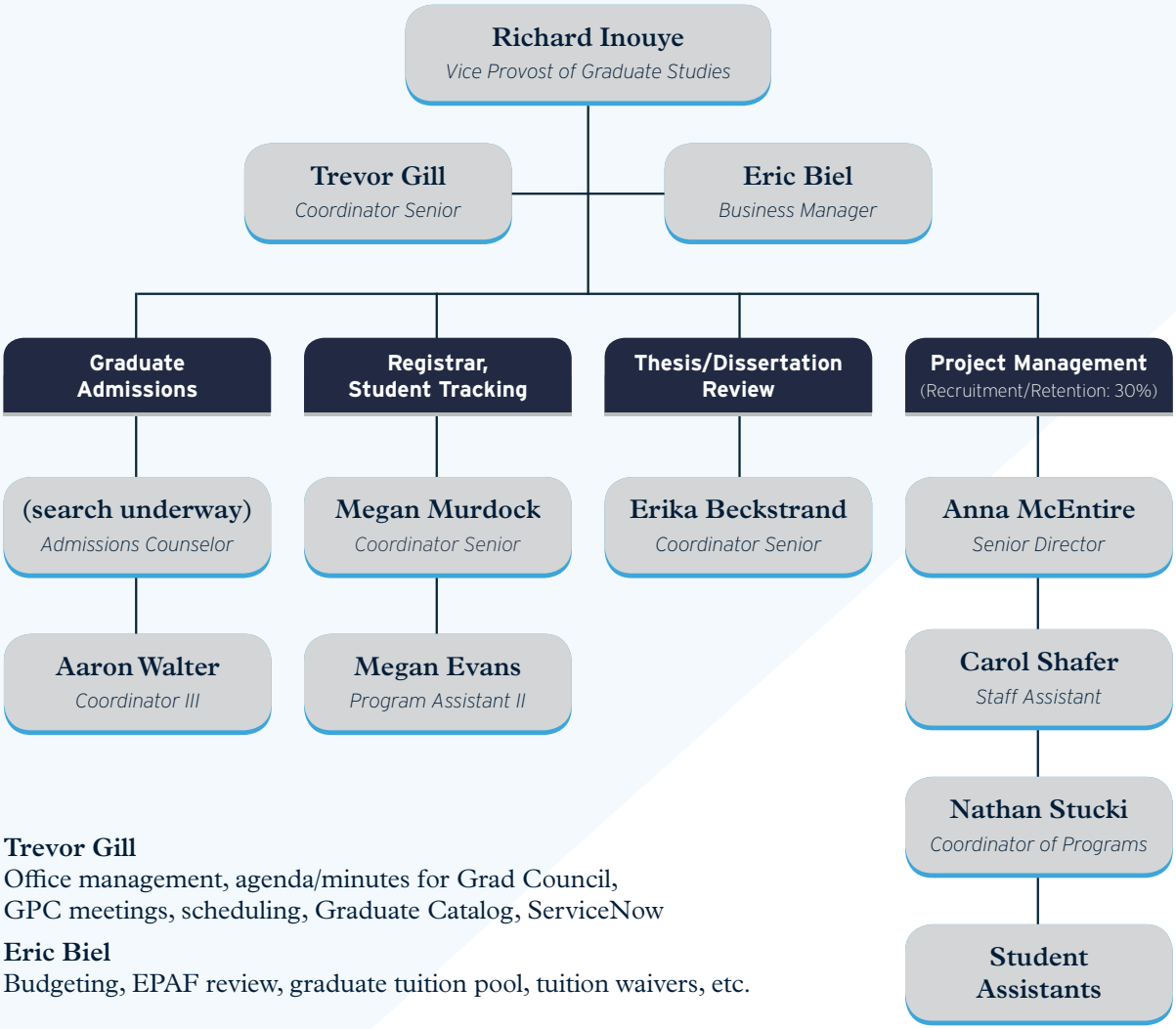
As a public institution, all USU stakeholders, including students, faculty, staff, and the public, should have access to a clear understanding of Graduate School functions and operations.

Goals

SCHOOL OF GRADUATE STUDIES

Goal	Process/Activity	Metric
Student Success	Graduate Training Series (GrTS) Writing Center Travel awards Dissertation awards Tuition awards Graduate Program Coordinators Research symposium Awareness of university resources	Retention Graduation Time to degree Jobs in field
Engagement	New graduate student orientation Travel Awards Grad Student Socials	Professional activities presentations internships
Professional Development	Students: *GrTS, Travel awards, TA workshops* Grad Program Coordinators: *GPC training* SGS Staff: *Graduate training*	Graduation, Jobs in field Clear path to degree completion Career advancement Opportunities to pursue graduate degrees
Diversity, Inclusion, and Accessibility	Application fee waivers (e.g., McNair, SACNAS) Diversity & Inclusion Assistantships MLK, Patel Fellowships Diversity recruitment awards Web site accessibility International double degree programs (with OGE)	Match between the demographics of domestic graduate students and that of the State of Utah
Graduate Program Success	Recruiting Recruiting Grants GradSchoolMatch Weekend Visit Financial Support Tuition awards Special circumstances	Application numbers Quality of applicants Enrollment numbers Time to degree Degrees awarded Employment after graduation

UTAH STATE UNIVERSITY
SCHOOL OF GRADUATE STUDIES STAFF



Trevor Gill
Office management, agenda/minutes for Grad Council, GPC meetings, scheduling, Graduate Catalog, ServiceNow

Eric Biel
Budgeting, EPAF review, graduate tuition pool, tuition waivers, etc.

GRADUATE ADMISSIONS

Admissions Counselor (search underway)
Admissions, DSO for international applications, GPC training

Aaron Walter
Application processing

REGISTRAR, STUDENT TRACKING

Megan Murdock
Graduate registrar, degree checks, programs of study, leave of absense, etc.

Megan Evans
Front desk, student tracking (forms), degree transfer forms

THESIS, DISSERTATION REVIEW

Erika Beckstrand
Thesis/dissertation review, grad student travel, TA Training

RECRUITMENT & RETENTION

Project Management Team (shared with Office of Research)

Note: SGS staffing as of 1/13/2020

Note: All staff contribute to ongoing training of Graduate Program Coordinators

SGS Timeline

July 2018	Mark McLellan leaves USU, Laurens Smith appointed Interim VPR and Dean
September	Started transition from DocuSign to ServiceNow
	Graduate Training Series (GrTS): Tips for Teaching Undergrad Students
October	Kaitlyn Fjeldsted hired (Staff Assistant II)
	GrTS: Tips for Successful Literature Reviews
November	GrTS: Tips for Dealing with Conflict
January 2019	School of Graduate Studies separated from Research Office, moved to Office of Provost and Executive Vice President
	Inouye appointed Vice Provost of Graduate Studies
	Graduate Training Series (GrTS): Tips for Interviewing for a Job
February	SGS Business Officer hired (Eric Biel)
	Weekend Visit: 3rd annual on-campus graduate student recruiting event
	GrTS: Tips for Effective Data Visualization
March	GrTS: Tips for Persuasive Public Speaking
April	Regional campus commencements: Graduate degrees awarded at Beaver, Brigham City, Tooele, Moab, Blanding, Price, Uintah Basin
May	Karli Salisbury hired (Coordinator of Programs II)
June	Joan Rudd changed to 75% time
	Kaitlyn Fjeldsted reclassified to Coordinator of Programs
	20 SGS forms active in ServiceNow (4 others active by 9/19)
September	GrTS: How to Mentor and Be Mentored
October	GrTS: Building Successful Teaching Opportunities
November	Geneva Harline resigned
	Karli Salisbury resigned
	Joan Rudd moved to MAE
	Kurt Adison moved to Registrar/Athletics
	GrTS: Tips for Navigating the Publishing Process
	Megan Evans hired to replace Karli Salisbury
December	Trevor Gill hired to replace Geneva Harline
	Aaron Walter hired to fill position formerly held by Kaitlyn Fjeldsted
	Megan Murdock hired to replace Kurt Adison
	Kaitlyn Fjeldsted moved to Computer Science

Graduate Council

The Graduate Council is the primary advisory group for the School of Graduate Studies. The Council provides input and guidance to the Provost and the Vice Provost of Graduate Studies on matters that impact all aspects of graduate education. The Council includes a representative from each College/School, the Faculty Senate, the Library, the Office of Research, and the USUSA Graduate Senator and USUSA Director of Graduate Campus Affairs. Responsibilities of the Council include review and approval of changes to graduate degree programs, review of applications to be included in the Western Regional Graduate Program (part of WICHE), and review of requests from departments to accept a portfolio in place of a graduate admissions exam.

Administrative Move

In 2019 the School of Graduate Studies (SGS) moved from what was the Office of Research and Graduate Studies (RGS) to the Office of the Executive Vice President and Provost. This change in the administrative home of the Graduate School did not result in any substantive changes to SGS policies or procedures; the only change in personnel titles was the designation of a Vice Provost of Graduate Studies rather than Dean of the Graduate School.

The Business Services personnel who supported both the Research Office and the Graduate School remained with the Office of Research. This required the creation of a new Business Manager position to support the Graduate School. Eric Biel was hired into this position; Eric reports both to the Provost Office Financial Officer and the Vice Provost of Graduate Education.

The Project Management Team (PMT), which supported all parts of RGS, continues to support the Office of Research and SGS under a memorandum that assigns 30% of PMT effort to SGS.

Technological Innovation

Transition to ServiceNow

In 2019 the Graduate School completed a transition from using DocuSign to collect verifiable electronic signatures to ServiceNow. With excellent support from the ServiceNow team (special thanks to Steve Funk and Isela Phelps), SGS moved all forms to the ServiceNow platform. Benefits from this transition include financial savings (based on announced DocuSign price increase, an estimated $14,000/year), increased transparency (it is easier to track the progress of forms as they are routed for signatures), improved access (avoiding operating system incompatibilities associated with some fillable pdfs), and better reporting capabilities. A total of 4,816 forms were submitted through ServiceNow from September 2018 through December 2019. A list of SGS forms that are submitted and approved through ServiceNow is in **Appendix A**.

Graduate Program Coordinator Training

Graduate Program Coordinators (GPCs) are the primary link between the Graduate School and departmental graduate programs. GPCs are a diverse group that includes Staff Assistants at various levels, Program Coordinators, Lecturers, and Faculty. Over the past seven years, there has been a turnover rate among GPCs of more than 25% each year. This turnover, the fact that in departments with small graduate programs the GPC's responsibilities may constitute a small percentage of the person's overall job responsibilities, and changes in Graduate School operations (e.g., the transition to ServiceNow) results in a need for ongoing training. Some of this is accomplished by having Graduate School staff work one-on-one with new GPCs, and some is accomplished in monthly GPC meetings.

In summer 2019, the School of Graduate Studies offered a series of training workshops focused on various processes that include GPCs. Videos of these workshops are available in Box as part of our GPC Training and Informational Materials, where they can be accessed at any time. Topics for these workshops included Applications and International Student Requirements, Supervisory Committee Approval, EPAFs, Student Tracking, Final Defenses, and Degree Completion.

Changes to Graduate Student Commencement Ceremonies

In 2018, significant changes were announced with regard to USU commencement activities. Due to the reduced number of spring instruction days and the increasing number of total graduates, commencement activities were restructured to better accommodate more events in the D. Glen Smith Spectrum earlier in the week. One of those changes included the discontinuation of the graduate student commencement ceremony. Beginning in 2019, the School of Graduate Studies no longer oversees a separate event for graduate students; instead, graduate students are included in their respective college convocations. As part of the aspirational goals for this change, undergraduate students witness the hooding of graduate students at both the master's and Ph.D. level. Hooding ceremonies are held within the college convocation or in a separate ceremony for graduate students within their college. Graduate students are also encouraged to participate in the main commencement ceremony on Thursday morning with the undergraduate students. Awarding of graduate degrees at statewide campuses continues to be a part of the commencement ceremonies at those campuses.

Supporting Graduate Students in Distress

In 2019, the School of Graduate Studies joined in several meetings and conversations with other organizations on campus to better determine how to assist graduate students who encounter negative experiences on campus. These discussions resulted in plans that will be realized in FY2020. A graduate student ombudsperson position will be established and designated as a resource for graduate students. Additionally, the array of available resources will be listed in a single location on the School of Graduate Studies website.

SGS
METRICS

RECRUITMENT

Weekend Visit

Bringing prospective students to campus is a recognized best practice for convincing strong applicants to join graduate degree programs. For the past three years the School of Graduate Studies has held an annual Weekend Visit, providing central programming for applicants that departments bring to Logan. Outcomes from those visits are shown below. Over the three years, more than 50% of the applicants brought to campus have enrolled in a USU graduate program. This is a noteworthy outcome, given that departments generally bring in their strongest applicants for these visits. The School of Graduate Studies plans to continue this recruiting effort.

The Weekend Visit event started in 2017 in response to the annual Utah State University New Student Survey finding that 34% of candidate students who visited campus were more likely to enroll because of their visit. This was also supported by 2018 pre-survey responses, which indicated 22% of our candidate students felt they could not make an acceptance decision prior to visiting campus. The 2019 pre-survey for weekend visits showed 55% of participants were likely to attend Utah State University if accepted.

Weekend Visit is used in a variety of ways to meet various needs of department and programs. Some departments use this program as an interviewing process for potential graduate students, and others invite prospective students to come to campus as a final push into getting students to accept offers to USU.

The third annual weekend visit took place at the USU campus on February 21-23, 2019 and was hosted by the SGS Recruitment Team. Programming provided by SGS included a morning welcome breakfast with student and staff presentations about USU; campus tour; coffee mixer in the Merrill-Cazier Library to mingle with other participants and current graduate students; dinner at a local restaurant with department staff and students; and a choice of various Saturday outdoor excursions. Programming provided by individual departments included department visits and time for participants to spend with department faculty, staff and students.

Data further shows support for the weekend visit as noted in the recruitment grant report, which shows 58% of departments who have participated in campus visits from 2016 to present report success in recruiting students to join their program within the following two semesters of attending the weekend visit.

OUTCOMES FROM WEEKEND VISIT

	2017		2018		2019	
# Departments	13		10		10	
# Participants	56		54		40	
Accepted by Dept.	49		45		33	
Accepted Offer	28	57%	22	49%	17	52%
Rejected Offer	21	43%	23	51%	16	48%

Recruitment Grants

SGS offers $1,500 recruitment grants that may be used for any aspect of recruitment (e.g., recruiting trips, promotional materials, travel to bring applicants to campus). Each department may receive one grant per year, contingent on submission of a report describing use and outcomes of a prior award. Departments may submit a second request that focuses on increasing diversity (**see page 18**). In 2019 SGS awarded 16 recruitment grants and funded GRE searches for four departments. Numbers of grants awarded to departments over the past three years are shown in **Appendix B**.

Graduate Socials

Graduate student socials were established several years ago in response to comments from students that they wanted more informal opportunities to interact with other graduate students, including students from other graduate programs. Graduate student socials generally take place from 6:00 to 8:00 pm on the second or third Thursday of the month. Students from across the university come to socialize with other students outside of their department, or to spend more time with those within the department in a non-academic setting. Previously, the social has been held at the Logan Country Club, but in the 2018-2019 academic year, socials were held at a variety of locations, including the Perry Pavilion, Impact Commons, and the Quad, with an average attendance of around 120 students. Five socials will take place during the 2019-2020 year, with the majority of events taking place on campus at the Nora Eccles Harrison Museum of Art.

2019 Workshop Schedule

January 16, 2019
Tips for Interviewing for a Job

February 20, 2019
Tips for Effective Data Visualization

March 27, 2019
Tips for Persuasive Public Speaking

Sept. 17, 2019
How to Mentor and be Mentored

Oct 16, 2019
Building Successful Teaching Opportunities

Nov 19th, 2019
Navigating the Publishing Process

Graduate Training Series

The Graduate Training Series (GrTS) provides monthly opportunities for graduate students to augment their studies with professional development that will prepare them for the next steps in their career paths. Topics are chosen with input from graduate students through surveys and focus groups. The workshops cover a variety of topics from presentation and job hunting tips to utilizing experts from across the university to teach grad students useful tools for navigating their graduate degree and after. GrTS workshops are available to any USU graduate student, regardless of discipline or degree, and are live-streamed and posted online for those who are not able to attend in person.

Graduate Student Orientation

The School of Graduate Studies offers a centralized new student orientation program each year (in late August) for new graduate students. While many departments and programs have their own orientation programming and choose to not participate, our centralized orientation is offered to any department who do not have the resources to host their own orientation or could benefit from placing their efforts in other areas. Attendance for 2019 was 233.

In 2019, graduate orientation was focused on three main messages:

1. We care about the health, wellbeing, and success of our students.
2. We firmly believe in the necessity of safety and integrity within our programs.
3. We want students to have access to the tools and resources they need to address their concerns.

The event was organized into three segments. A main session, three breakout sessions, and a social. The main session covered SGS and GPCs, senators, SGS programming, student code, and academic records and privacy. There were three breakout sessions offering four workshops. Sessions included "Welcome to Cache Valley," "Intro to Graduate Studies," "Intro to Research," and "University Resources."

Invitations were sent out to current USU graduate students to attend the grad student social at the end of orientation. This way new students had a chance to network with other successful graduate students.

In preparation for 2020, SGS has begun extensive research looking for ways to better improve the balance of individual department orientations with a campuswide, centralized orientation. Other peer institutions around Utah and Idaho have faced a similar challenge trying to get facetime in front of graduate students before school starts but have not yet found a solution. The School of Graduate Studies has collected programming and itinerary from all departments across the university and are compiling data to help us determine what orientation content would best serve a greater portion of USU grad students, while being mindful of each individual department's efforts. The School of Graduate Studies is also looking into the possibility of hosting SGS orientation online, as our USU undergraduate orientation does. Changes to itinerary and programming will be prepared by June of 2020, to be implemented into the fall 2020 orientation.

APPLICATIONS

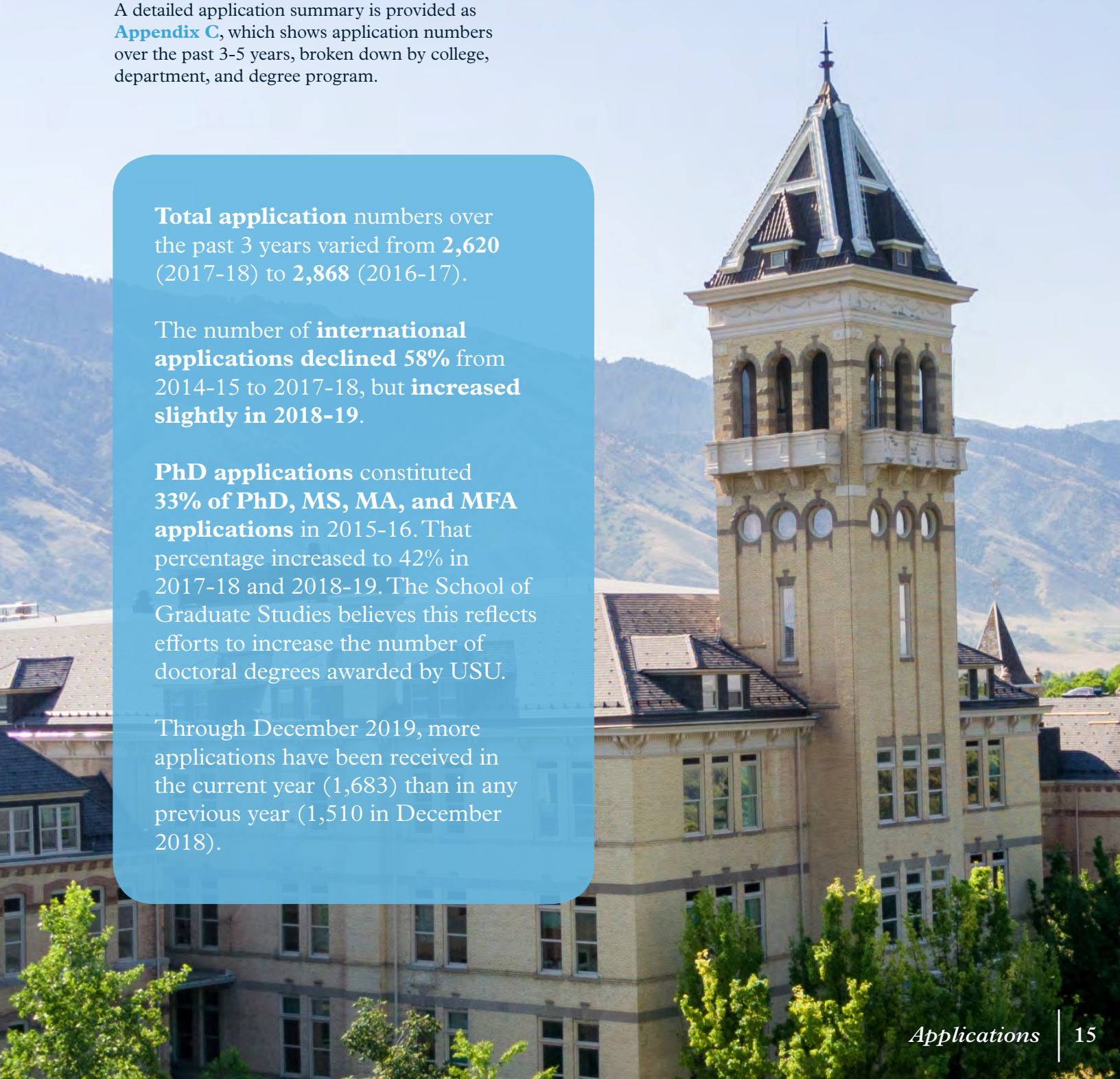
A detailed application summary is provided as **Appendix C**, which shows application numbers over the past 3-5 years, broken down by college, department, and degree program.

Total application numbers over the past 3 years varied from **2,620** (2017-18) to **2,868** (2016-17).

The number of **international applications declined 58%** from 2014-15 to 2017-18, but **increased slightly in 2018-19**.

PhD applications constituted **33% of PhD, MS, MA, and MFA applications** in 2015-16. That percentage increased to 42% in 2017-18 and 2018-19. The School of Graduate Studies believes this reflects efforts to increase the number of doctoral degrees awarded by USU.

Through December 2019, more applications have been received in the current year (1,683) than in any previous year (1,510 in December 2018).



ENROLLMENT

A detailed report of fall degree-seeking graduate student enrollment is in **Appendix D**. Data in this report are from Banner Warehouse and differ slightly from the day 15 reports because of changes to enrollment after day 15.

• Following a decline from 2015 to 2016, graduate enrollment increased in each of the last 3 years. **Fall 2019 enrollment was 2,633** (up 2% from 2018), the highest it has been since 2011.

• **The College of Education and Human Services continues to have the highest enrollment of degree-seeking graduate students (878)**, followed by the Huntsman School of Business (436), the College of Science (295), and the College of Agriculture and Applied Sciences (282).

• **The number of PhD students increased for the third consecutive year to 650**, the fourth highest number in any year.

• The number and percentage of international graduate students has generally declined in the past seven years. In Fall 2019, **239 international students comprised 8% of degree-seeking graduate students.** The 92 international students in the College of Engineering comprised 34% of degree-seeking graduate students in that college (down from 44% in 2016). The Caine College of Arts had 8 international students (29%), and the College of Science had 83 (28%).

• Across all graduate degree programs, the **percent of students who are female has been 54 – 56% in each of the past 5 years.** This percentage varies substantially across colleges and degree programs. For example, 92% of AUD and EdD students are female. At the college level, the disparity in numbers of male versus female students is greatest in the College of Engineering (82% male) and the Huntsman School of Business (74% male). In contrast, degree-seeking graduate students in the College of Education and Human Services are 71% female.

DEGREES AWARDED

A total of 957 graduate degrees were awarded during the 2018-19 academic year. This was down from 2017-18 (1,086), largely because of a drop in the number of professional degrees (543, down from 702) that was driven by the 3-year cohort in the Master of Social Work program (98 degrees in 2017-18, 14 degrees in 2018-19). The total of 957 was greater than the number of degrees awarded in the two years prior to 2017-18. The number of doctoral degrees was more than 10% higher in 2018-19 than the previous year, and was larger than in any of the previous 9 years. The number of Master of Science (MS) degrees awarded in 2018-19 was greater than in the previous three years (the period since most MS/C degrees were converted to Professional Degrees. Those two results, a record number of doctoral degrees and a several year increase in MS degrees, are indicative of expanding research programs at USU.

A detailed degree summary is provided as **Appendix E**, which shows degree numbers over the past 5-6 years, in total and broken down by degree type, college, department, and degree program.

GRADUATE STUDENT TRAVEL

The Graduate School budgets $50,000 each year to support travel by students who are giving presentations at regional, national, and international conferences. SGS travel funds must be matched by the student's department or college. In the 2018-19 academic year, SGS funded 187 travel awards for a total of $55,765.

An additional 48 travel requests, for $14,000, were denied because funding was not available or because the student was not eligible for a travel award. [more detail about this funding is in a report in Box: SGS Business Services > SGS Grad Travel > Grad Student Travel Awards > FY19 Grad Travel Report.docx]

DIVERSITY & INCLUSION

USU is a state-funded and land grant university, and it is a goal of the Graduate School that the domestic graduate student body reflects the racial and ethnic composition of the population of Utah. The changing demographics of Utah (e.g., the rapid growth of the Hispanic population) and a historic underrepresentation of most minority populations (e.g., Native Americans), make this a difficult goal to achieve. Furthermore, data for race/ethnicity are self-reported and many students do not provide this information.

The proportion of degree-seeking graduate students who self-reported as White/non-Hispanic has declined from 91% in 2015 to 89% in 2019, however that decrease is a consequence of a larger decrease in students identified as 'White, Non-Hispanic' compared to other categories. The absolute number of graduate students self-identified as other than 'White, Non-Hispanic' declined from fall 2015 (191) to Fall 2019 (153) (**Appendix F**).

Graduate application fees have been identified as a substantial financial hurdle for some potential graduate students. In fall 2019, departments were told that SGS would waive graduate application fees for a modest number (~5) of applicants, if the department established a procedure to identify applicants who are facing financial hardship that might prevent them from applying to a graduate program.

Departments may request a second recruiting grant if the funds will be used to target individuals from groups that are underrepresented in the department. Four such awards were made in FY2018; no requests were submitted in FY2019. A new opportunity, funding for Diversity & Inclusion Assistantships, was created for FY2020. Three of these awards have been made as of January 2020; results of these activities will be described in the FY2020 SGS Annual Report.

APPENDIX

Form Name	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Admission Waiver Justification		3	7	4	7	4	1	10	2	0	0	0	38
Application for Candidacy					19	29	11	11	5	6	7	12	100
Appointment of Examination							7	16	11	24	53	6	117
Authorship and Copyright				39	30	29	47	32	14	25	19	25	260
Change Department or Degree Program			3	26	17	8	4	27	11	8	12	8	124
Concurrent Graduate Degrees								7	1	1	2	1	12
Degree Advancement				2					1	2	1	1	7
Early Commencemnt Request		13	142	22						1	0	0	178
Embargo Request									2	4	3	0	9
Full-Time Student at 3 Credits	20	3	1	17	8	7	5	28	6	3	14	16	128
Leave of Absence/Continuous Registration	30	26	10	6	1	6	6	33	12	7	5	9	151
Graduate Student Travel		9	28	60	28	15	31	31	27	39	16	19	303
Petition to Work Greater than 20hrs/Week	14	14	1	4	3	1	5	8	5	2	8	8	73
Program of Study		22	193	259	153	150	59	156	120	89	88	83	1372
Readmissions to Graduate School			1	5	5	1	2	7	1	1	10	1	34
Record of Examination						4	27	32	6	13	28	43	153
SCAF Initial	116	65	96	115	41	34	19	39	72	44	62	72	775
SCAF Revision	39	18	40	33	18	31	16	52	23	20	23	14	327
Split Form				93	9	4	1	12	8	8	16	18	169
Supplemental Language Tuition Support			1							0	0	2	3
Thesis/Dissertation Format and Style			14	64	24	29	58	32	14	20	22	23	300

In July 2018, the School of Graduate Studies (SGS) began to work with Steve Funk and his team to transition SGS forms from Adobe fillable pdfs to an electronic format in ServiceNow. The Admission Waiver Justification form was the first form to go live, and that was completed in September 2018. All major SGS forms (24 total) had the first version on line by August 2019, with only minor updates or revisions needed after that point. In October 2018, Utah State University was informed that Docusign, the electronic signature service used by SGS for form approval, was raising the cost of the service to $3 per envelope on November 1st. Due to the raise in Docusign usage rates, it is estimated that the transition of SGS forms from pdf to ServiceNow saved the School of Graduate Studies approximately $14,000 in 2019.

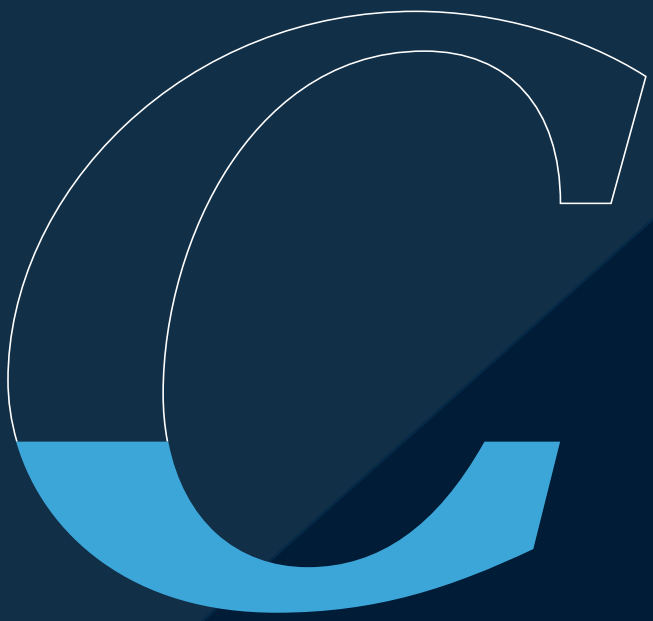
B

APPENDIX

Recruiting Grants (#, $) awarded to colleges and departments in the past three fiscal years.

	diversity	GRE Search	GSR	2017 Total	diversity	GRE Search	GSR	2018 Total	GRE Search	GSR	2019 Total
AGR		1		1	1	1	1	3	1	1	2
ADVS							1	1			
APEC					1			1			
LAEP		1		1		1		1	1	1	2
ART							1	1			
THAR							1	1			
BUS			3	3			2	2		2	2
ACCT			1	1			1	1		1	1
MBA			1	1							
MIS			1	1			1	1		1	1
CHaSS		1		1	1		2	3		5	5
ENGL					1		1	2		1	1
HIST										1	1
LPCS - MCS										1	1
LPCS - SLT										1	1
SSWA		1		1			1	1		1	1
EDUC		1	4	5	1		3	4		2	2
ITLS			1	1			1	1		1	1
KAHS		1	1	2			1	1			
MPH										1	1
PSYC			2	2	1		1	2			
ENG		1	3	4		1		1	1	2	3
BENG		1	1	2							
CS						1		1	1		1
EED			1	1							
MAE										1	1
SHPE			1	1							
Water Lab										1	1
NR		1	4	5		1	3	4		3	3
ENVS		1	1	2		1	1	2		1	1
WATS			1	1			1	1		1	1
WILD			1	1			1	1		1	1
SCI	1	2	4	7	1	2	4	7	2	1	3
BIOL			2	2			1	1		1	1
CHEM		1		1		1	2	3			
GEOL	1		1	2							
MTST		1	1	2	1	1	1	3	2		2
Total	1	7	18	26	4	5	16	25	4	16	20

	diversity	GRE Search	GSR	2017 Total	diversity	GRE Search	GSR	2018 Total	GRE Search	GSR	2019 Total
AGR		$70		$70	$1,000	$440	$1,500	$2,940	$205	$1,500	$1,705
ADVS							$1,500	$1,500			
APEC					$1,000			$1,000			
LAEP		$70		$70		$440		$440	$205	$1,500	$1,705
ART							$1,500	$1,500			
THAR							$1,500	$1,500			
BUS			$4,500	$4,500			$3,000	$3,000		$3,000	$3,000
ACCT			$1,500	$1,500			$1,500	$1,500		$1,500	$1,500
MBA			$1,500	$1,500							
MIS			$1,500	$1,500			$1,500	$1,500		$1,500	$1,500
CHaSS		$30		$30	$1,500		$3,000	$4,500		$7,500	$7,500
ENGL					$1,500		$1,500	$3,000		$1,500	$1,500
HIST										$1,500	$1,500
LPCS - MCS										$1,500	$1,500
LPCS - SLT										$1,500	$1,500
SSWA		$30		$30			$1,500	$1,500		$1,500	$1,500
EDUC		$281	$4,800	$5,081	$1,500		$4,000	$5,500		$3,000	$3,000
ITLS			$1,500	$1,500			$1,500	$1,500		$1,500	$1,500
KAHS		$281	$1,500	$1,781			$1,000	$1,000			
MPH										$1,500	$1,500
PSYC			$1,800	$1,800	$1,500		$1,500	$3,000			
ENG		$78	$4,500	$4,578		$20		$20	$44	$1,900	$1,944
BENG		$78	$1,500	$1,578							
CS						$20		$20	$44		$44
EED			$1,500	$1,500							
MAE										$1,500	$1,500
SHPE			$1,500	$1,500							
Water Lab										$400	$400
NR		$294	$5,500	$5,794		$402	$4,500	$4,902		$4,500	$4,500
ENVS		$294	$1,500	$1,794		$402	$1,500	$1,902		$1,500	$1,500
WATS			$1,500	$1,500			$1,500	$1,500		$1,500	$1,500
WILD			$1,500	$1,500			$1,500	$1,500		$1,500	$1,500
SCI	$6,000	$362	$6,500	$12,862	$2,000	$506	$5,000	$7,506	$290	$1,500	$1,790
BIOL			$3,000	$3,000			$1,500	$1,500		$1,500	$1,500
CHEM		$128		$128		$112	$2,000	$2,112			
GEOL	$6,000		$2,000	$8,000							
MTST		$234	$1,500	$1,734	$2,000	$394	$1,500	$3,894	$290		$290
Total	$6,000	$1,114	$25,800	$32,914	$6,000	$1,369	$22,500	$29,869	$539	$22,900	$23,439



APPENDIX

Graduate Application Summary: 2018 – 2019 Application Year

Annual and Monthly Application Summary 1
Applications to PhD versus Research Master's Degree Programs 2
Applications to Certificate Programs (e.g., GIS) 2
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Applications by College, Department, Degree
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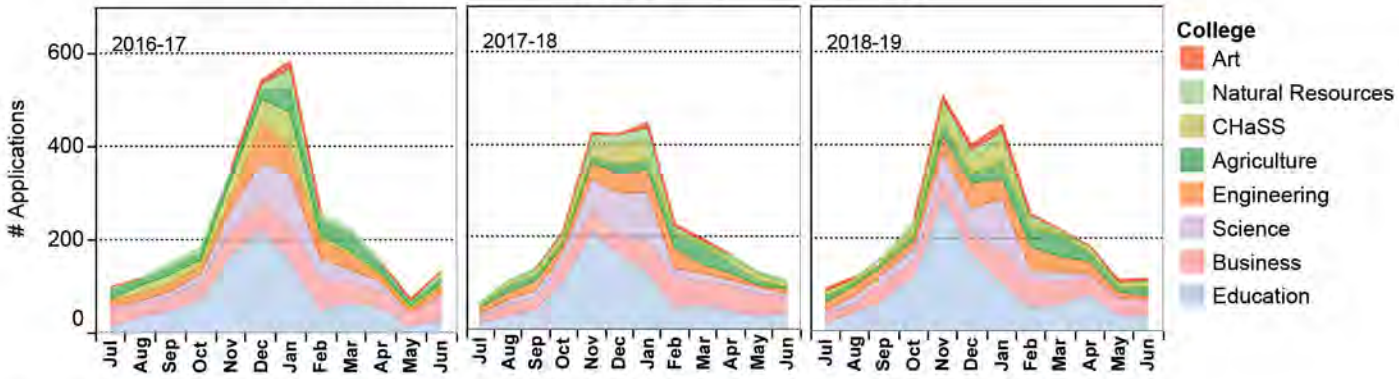
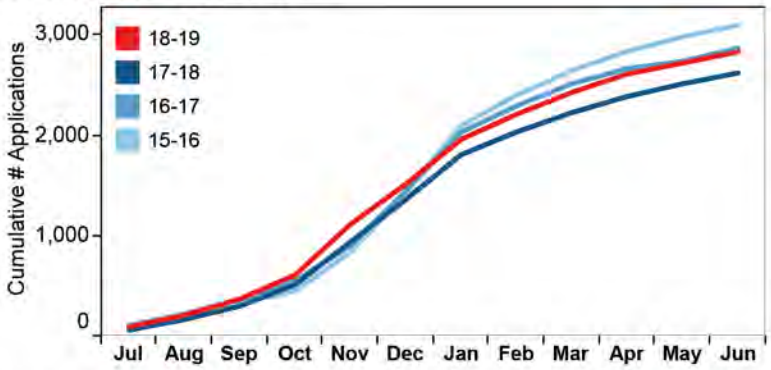
Annual and Monthly Application Summary

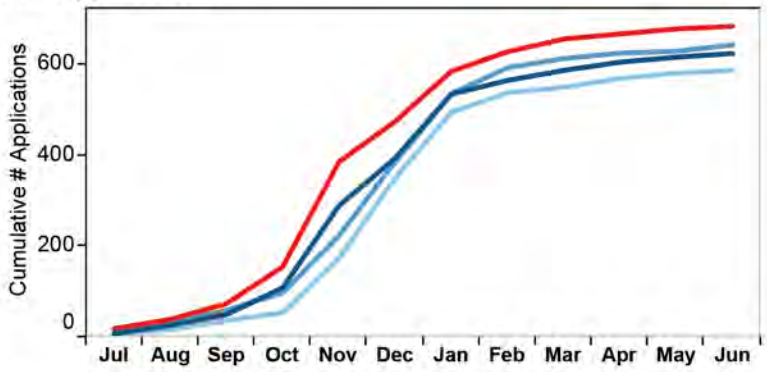


Monthly totals for graduate applications in three application years. Numbers do not include application to certificate programs (e.g., GIS).

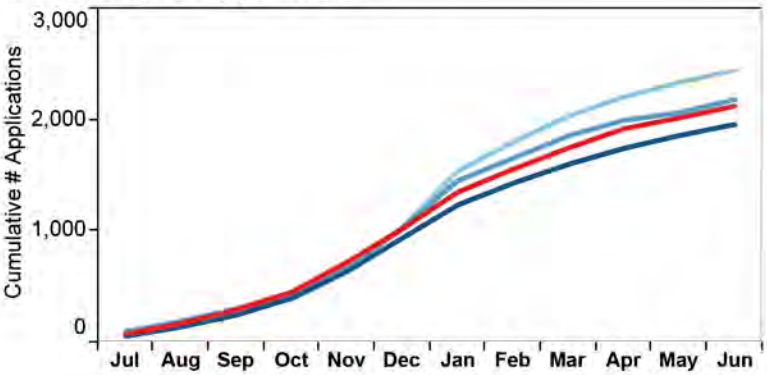
All Graduate Applications



PhD Applications



Master's Degree Applications



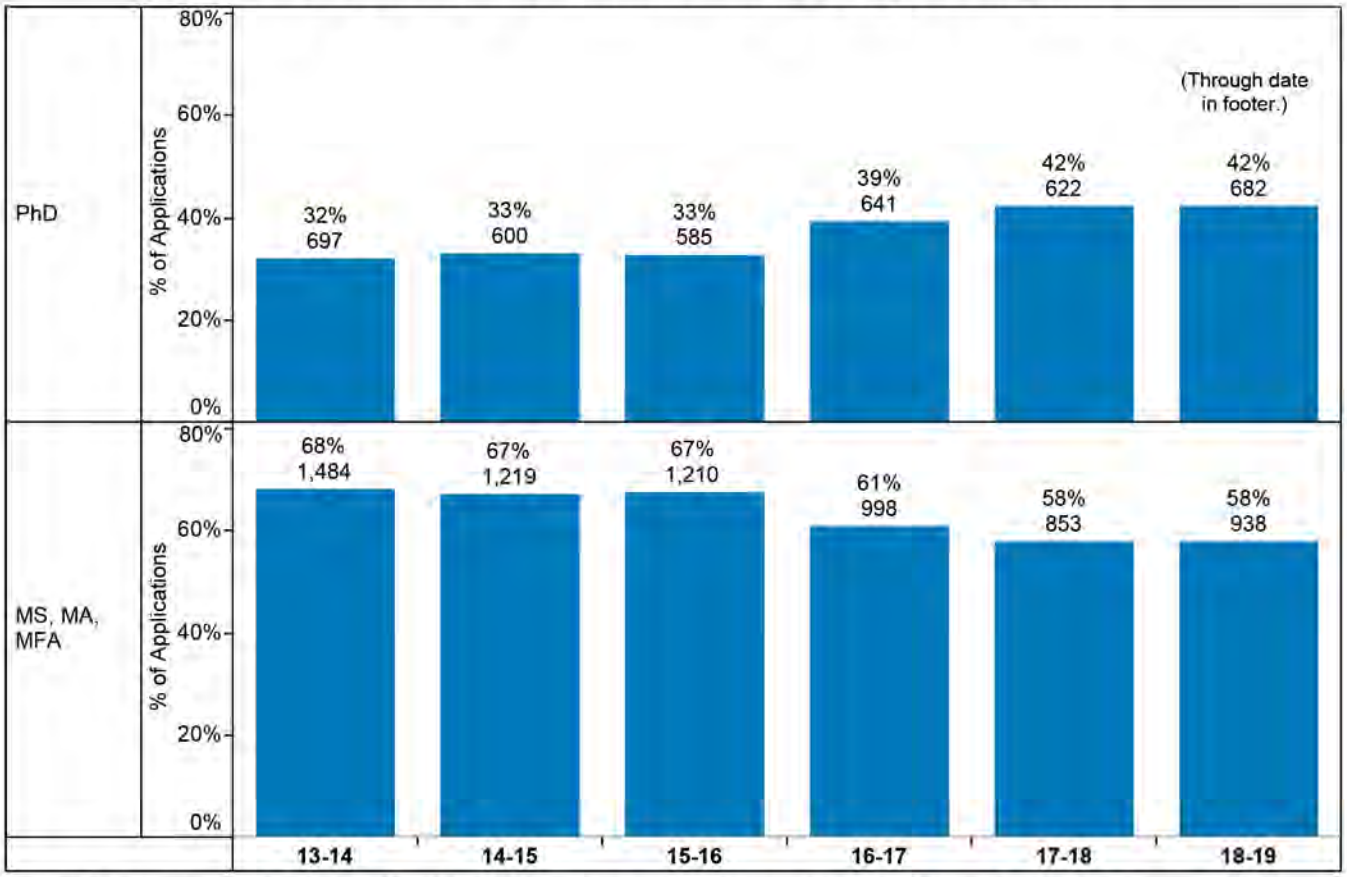
Cumulative

	15-16	16-17	17-18	18-19
Jul	106	99	58	90
Aug	207	216	163	206
Sep	329	365	296	367
Oct	448	547	510	607
Nov	833	901	936	1,112
Dec	1,426	1,445	1,359	1,512
Jan	2,095	2,030	1,806	1,958
Feb	2,398	2,292	2,032	2,208
Mar	2,646	2,513	2,225	2,427
Apr	2,837	2,664	2,386	2,610
May	2,981	2,736	2,512	2,719
Jun	3,096	2,868	2,620	2,831

	15-16	16-17	17-18	18-19
Jul	7	12	7	18
Aug	15	31	25	38
Sep	36	58	49	73
Oct	53	97	108	154
Nov	172	222	288	384
Dec	349	384	392	473
Jan	493	534	533	583
Feb	536	591	563	626
Mar	548	611	585	654
Apr	567	623	603	665
May	579	627	614	676
Jun	585	641	622	682

	15-16	16-17	17-18	18-19
Jul	96	87	51	72
Aug	188	182	134	167
Sep	287	298	241	291
Oct	384	436	393	447
Nov	636	659	633	715
Dec	1,030	1,023	933	1,016
Jan	1,536	1,448	1,230	1,346
Feb	1,794	1,651	1,426	1,552
Mar	2,029	1,852	1,596	1,743
Apr	2,200	1,991	1,739	1,915
May	2,332	2,059	1,854	2,013
Jun	2,441	2,177	1,954	2,119

Applications to PhD versus Research Master's Degree Programs



Percent of research degree (PhD, MS, MA, MFA) applications that were to PhD or Master's degree programs.

The first number above each bar indicates the number of applications received. The upper number indicates the percentage of applications of a given type received in that year.

Data for years prior to 2018-19 are for the entire application year (July - June).
Data for 2018-19 are incomplete (through date in footer).

Applications to other degree programs (e.g., AUD, EdD, Professional Master's) are not included in this summary.

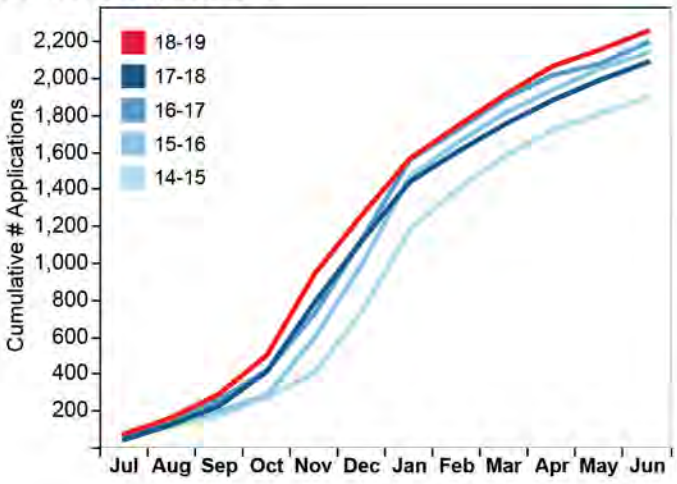
Applications to Certificate Programs and Endorsements

College	Dept	Academic Program	17-18	18-19
Agriculture	NDFS	Dietetic Internship Certificate		61
CHaSS	W&G	Women & Gender Studies Certificate	1	5
Education	SPER	Rehabilitation Counseling Certificate		14
	TEAL	Education Endorsement - Administrative/Supervisor		36
		Education Endorsement - Elementary Math		4
		Education Endorsement - English as a Second Language		2
		Education Endorsement - Gifted and Talented		1
		Education Endorsement - Reading		2
		School Library Media Administration Endorsement		2
Natural Resources	GIS	GIS Certificate	28	59
	NR	NEPA (National Environmental Policy Act) Graduate Certificate		25
Grand Total			29	211

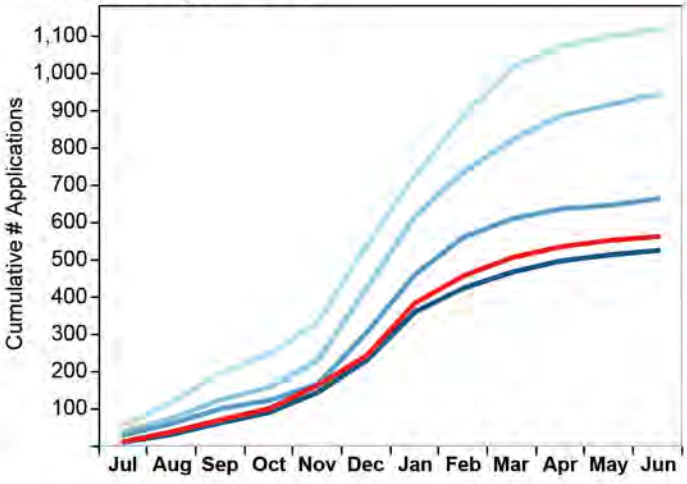
Certificates and endorsements were first added to Recruit in 2018, thus data for 2017-18 do not reflect all applications to these programs.

Domestic & International Applications

Domestic Applications



International Applications



Applications to graduate degree programs (not certificates, endorsements). The number of international applications dropped from over 1,100 in 2014-15 to fewer than 500 in 2017-18. This number increased slightly in 2018-19.

of Graduate Applications

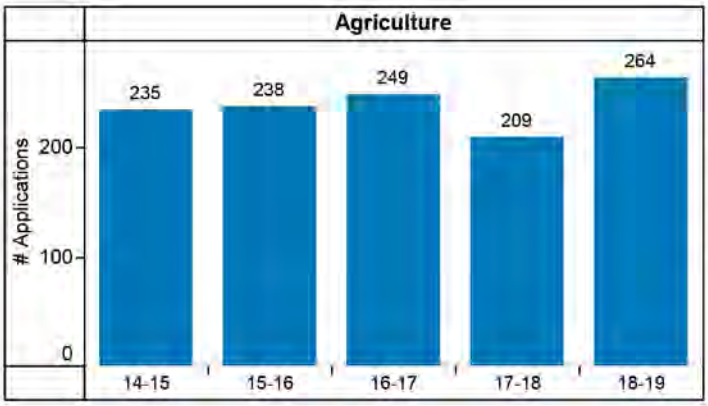
Citizenship	13-14	14-15	15-16	16-17	17-18	18-19
U.S. Citizen	1,963	1,899	2,105	2,167	2,054	2,228
Permanent Resident	1	1	17	27	36	30
International Student	1,349	1,121	937	657	482	518
Non U.S. Citizen Studying Outside the U.S.			32	9	42	45
Deferred Action for Childhood Arrival			3	2	1	5
Refugee/Asylee				2	3	1
Undocumented				4	2	

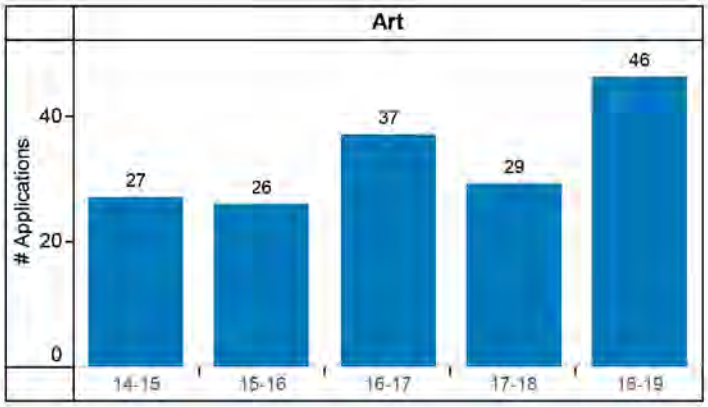
% of Graduate Applications

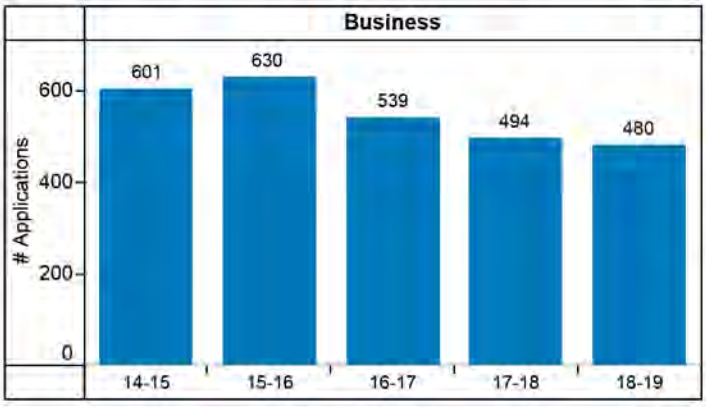
Citizenship	13-14	14-15	15-16	16-17	17-18	18-19
U.S. Citizen	59%	63%	68%	76%	78%	79%
Permanent Resident	0%	0%	1%	1%	1%	1%
International Student	41%	37%	30%	23%	18%	18%
Non U.S. Citizen Studying Outside the U.S.			1%	0%	2%	2%
Deferred Action for Childhood Arrival			0%	0%	0%	0%
Refugee/Asylee				0%	0%	0%
Undocumented				0%	0%	

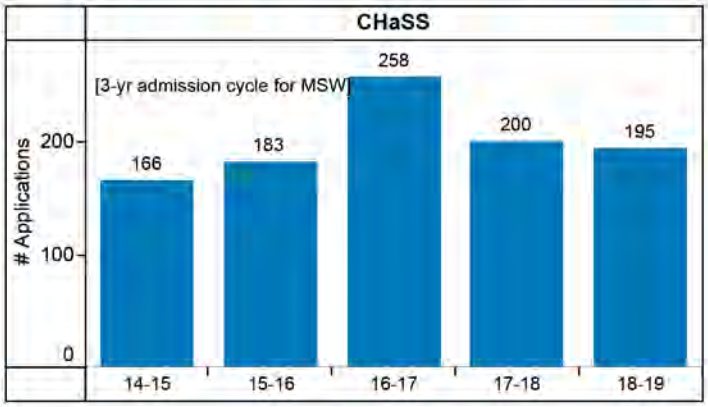
Application numbers for 2018-19 are current through the date in the footer. Application numbers for prior years are for the entire application year (July - June).

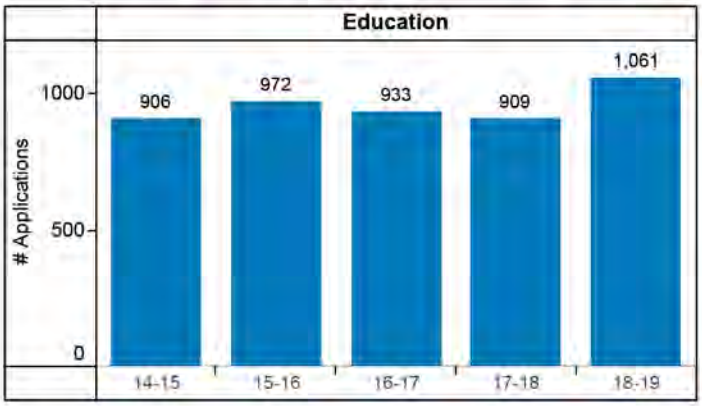
Annual Applications, by College (all degrees, no certificates)

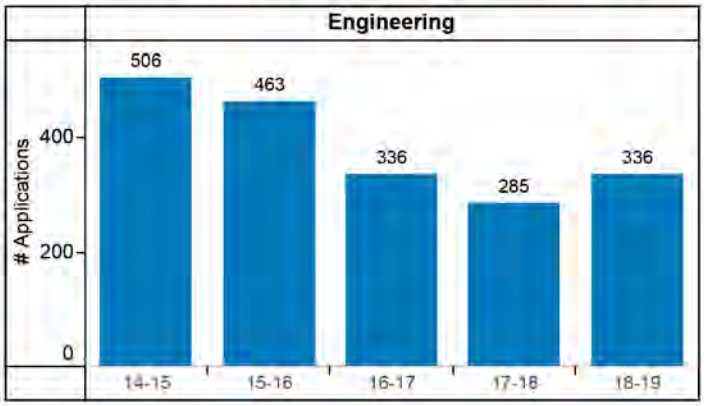


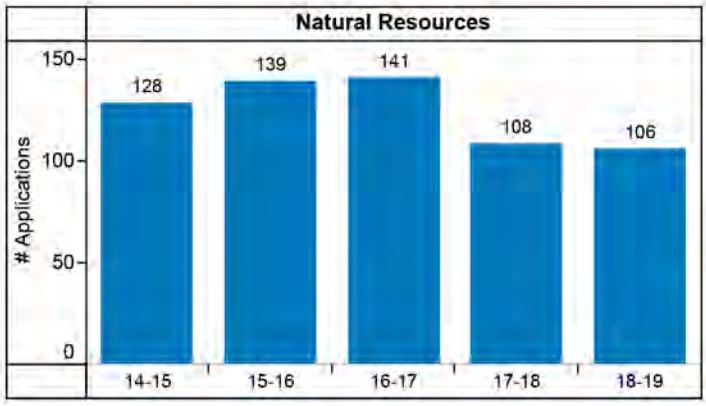


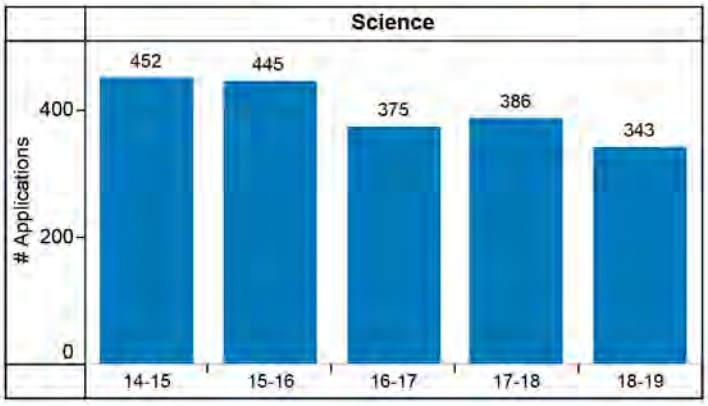






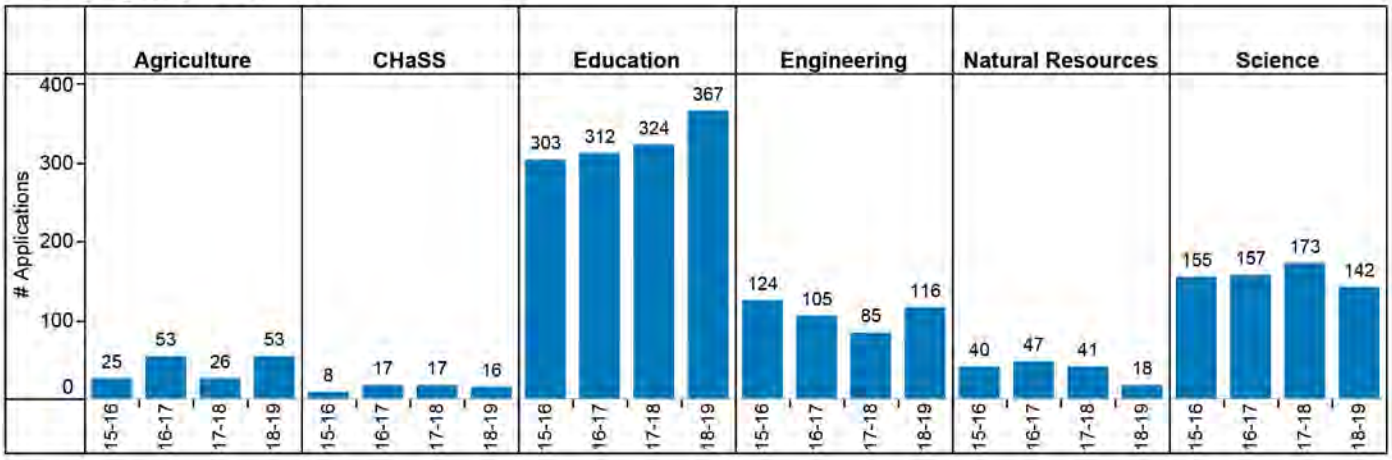




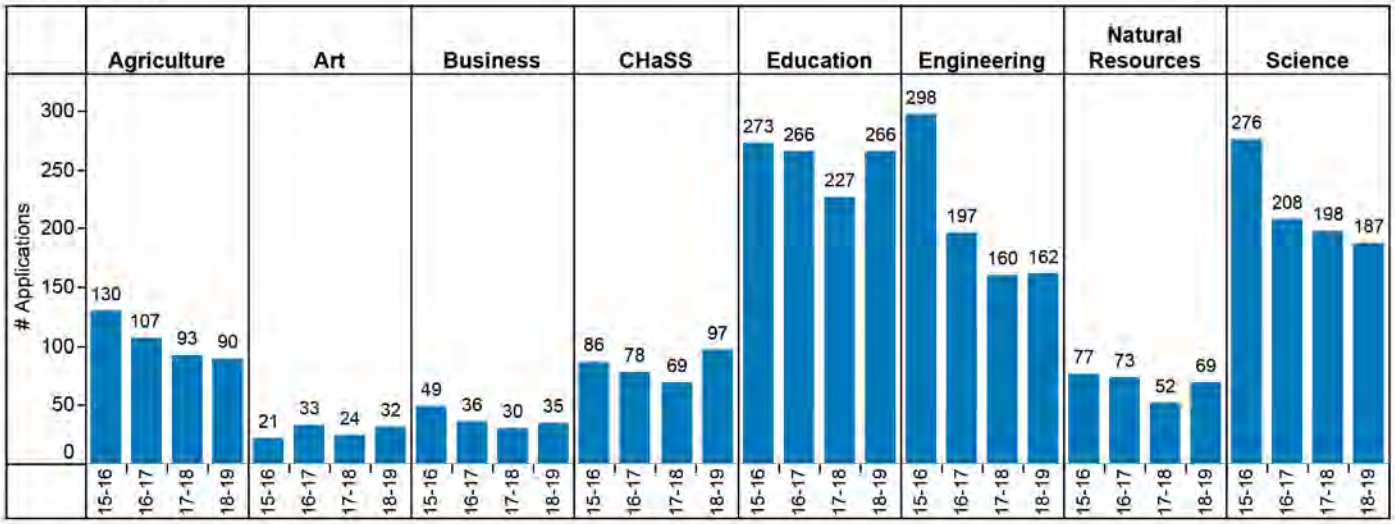


Annual Applications, by Degree Type and College

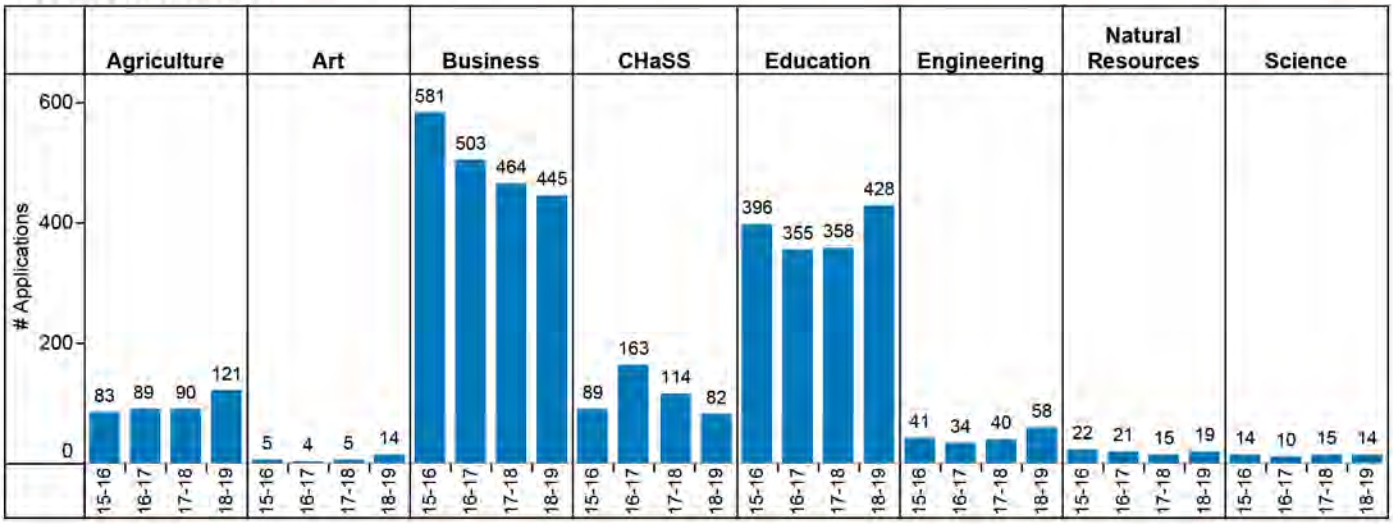
Doctoral (AUD, EdD, PhD)



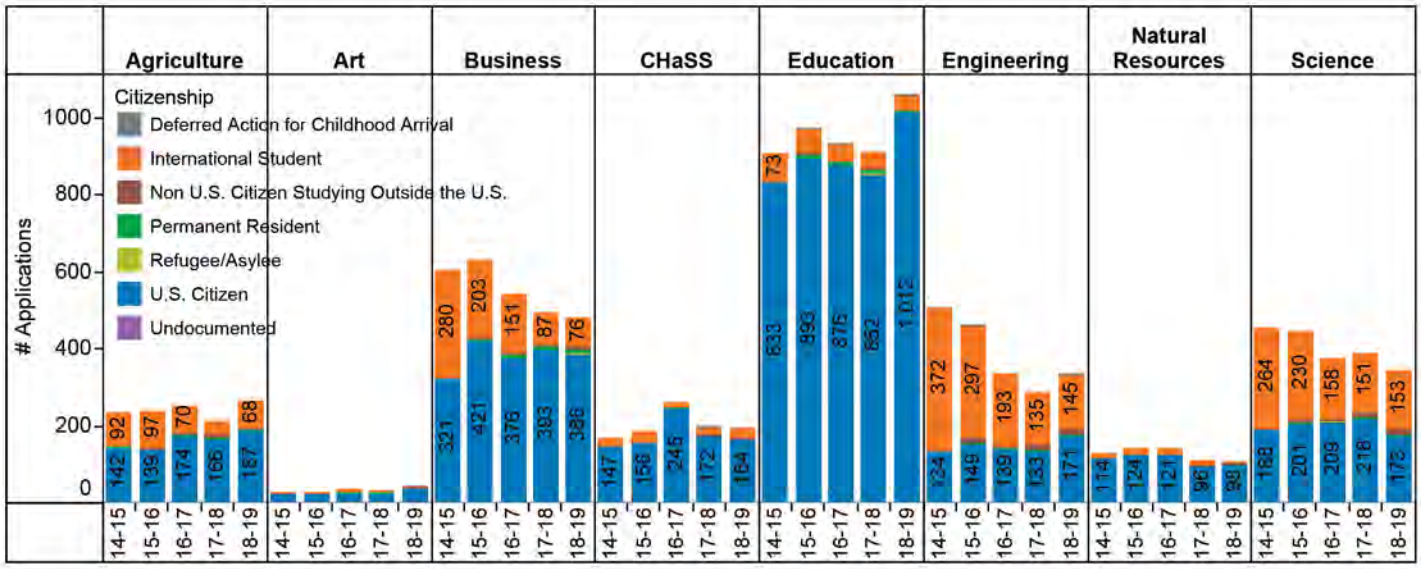
MS, MA, MFA



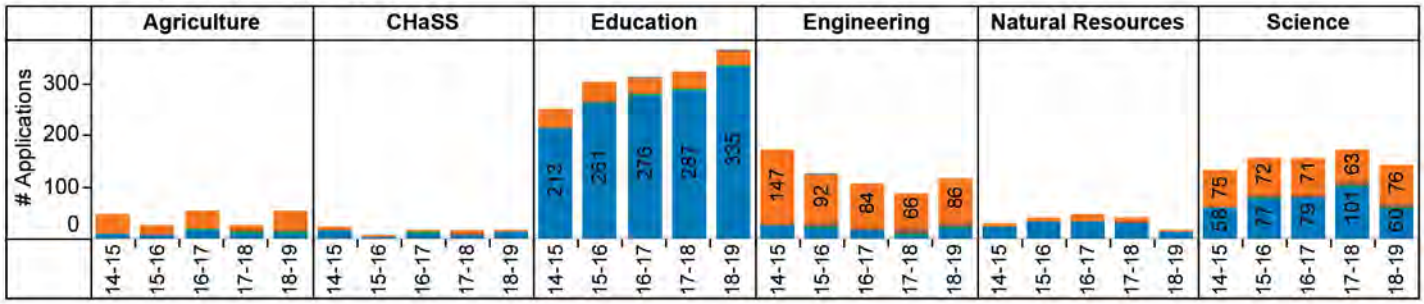
Professional Master's



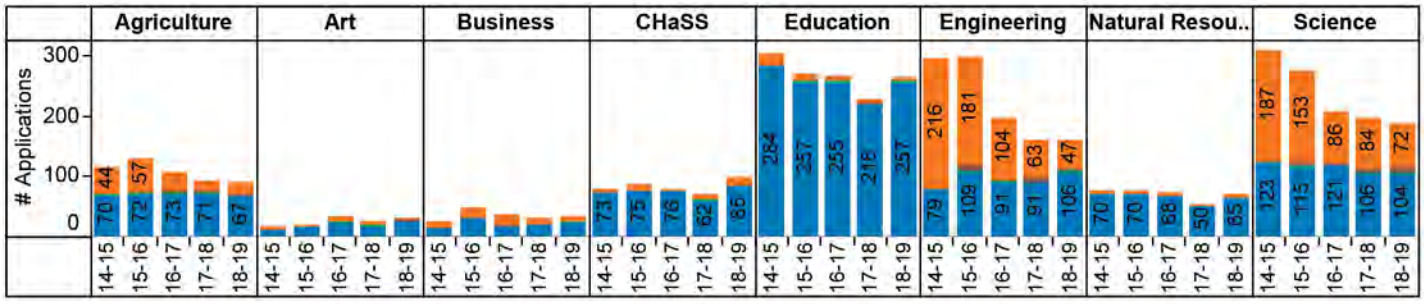
Annual Applications, Citizenship, Degree Type, College



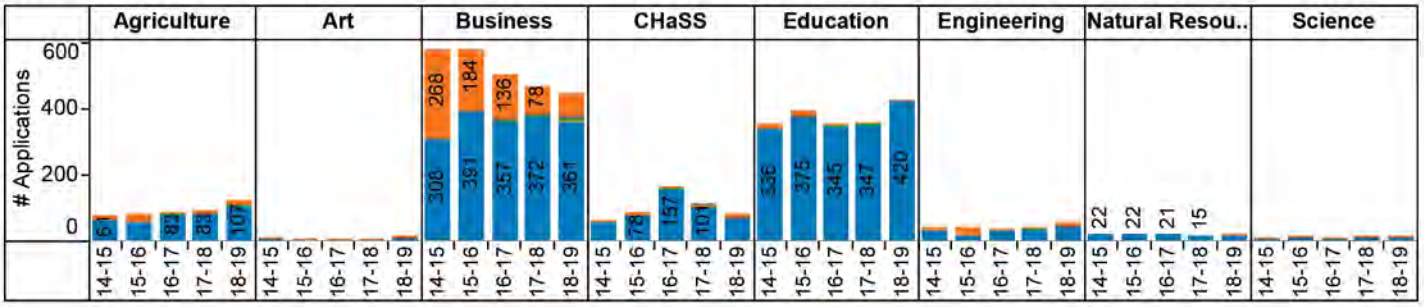
Doctoral Degrees (AUD, EdD, PhD)



MS, MA, MFA

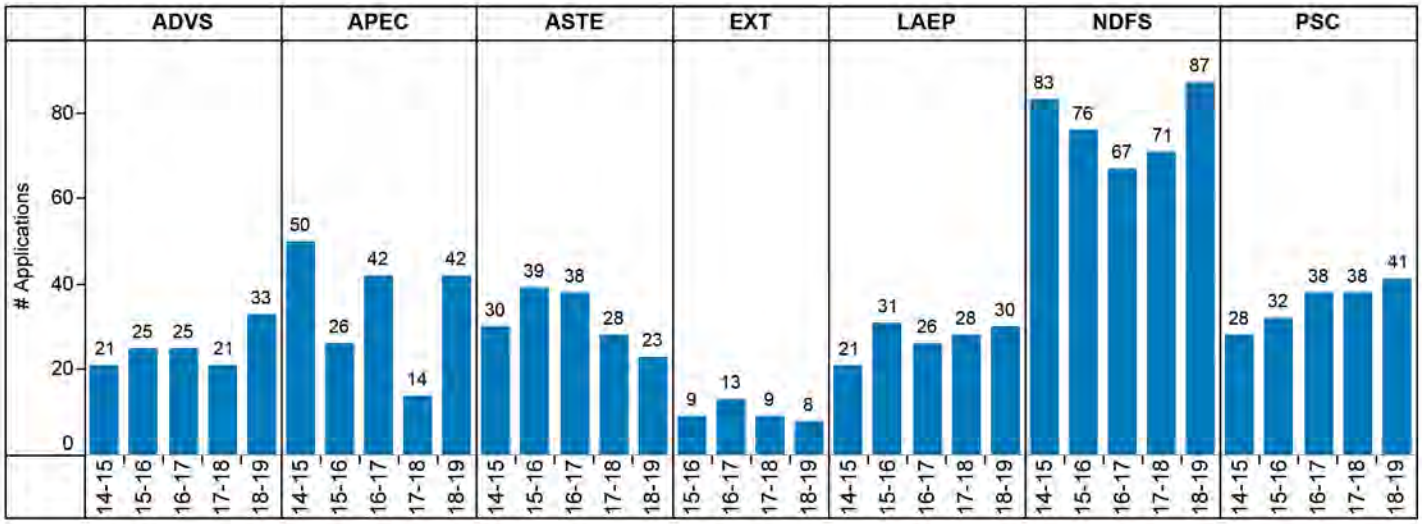


Professional Master's



Annual Applications: College & Department, All Degrees

Agriculture



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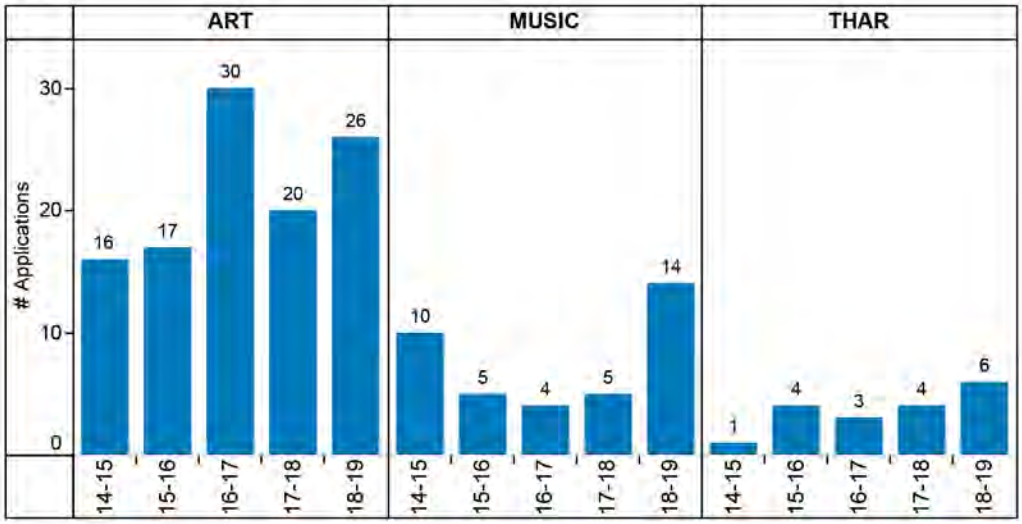

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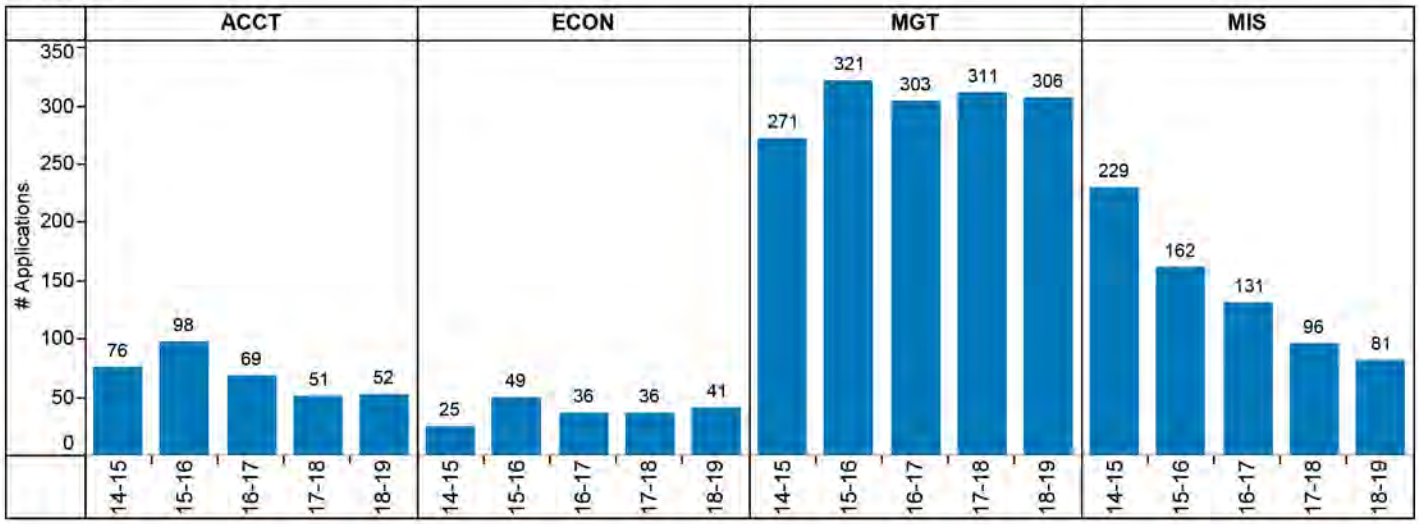
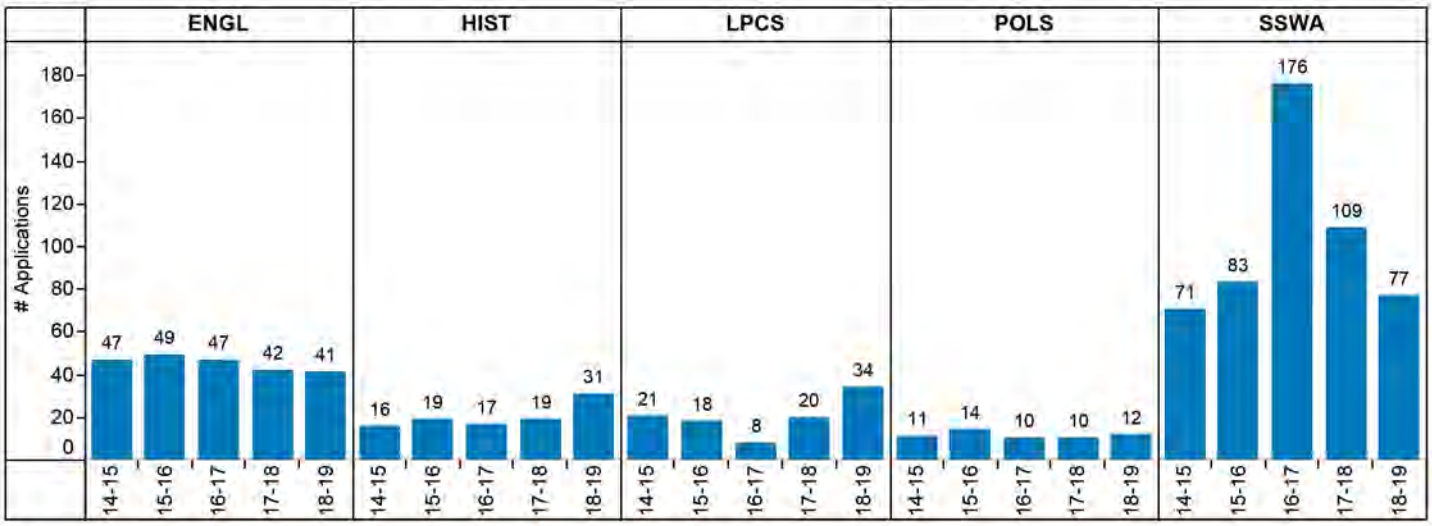
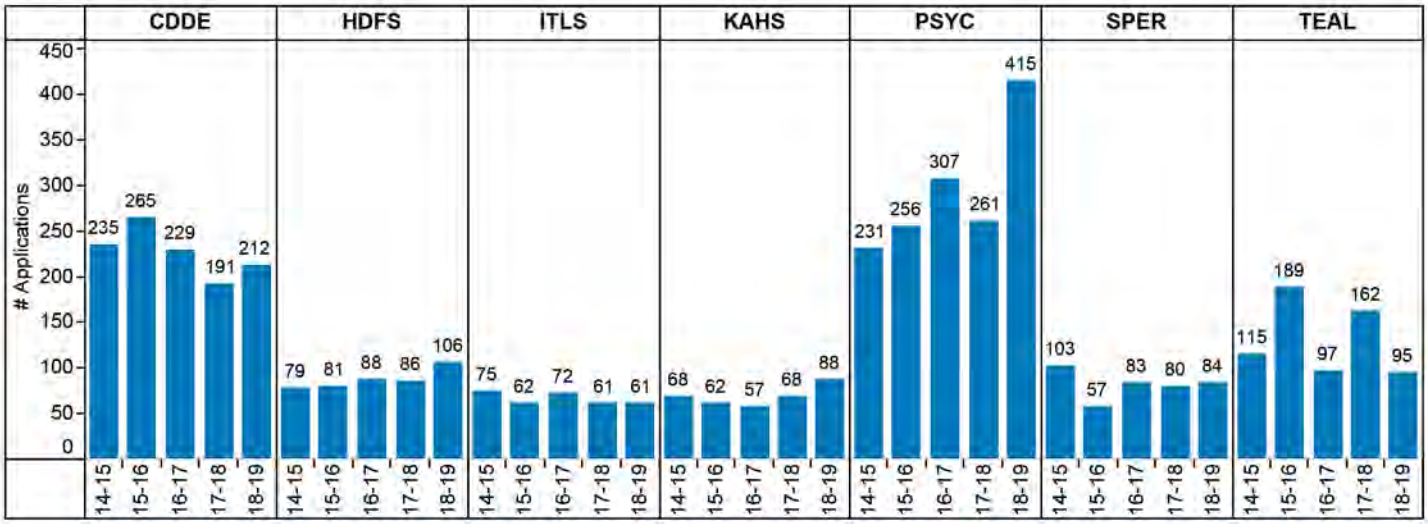


Annual Applications: College & Department, All Degrees

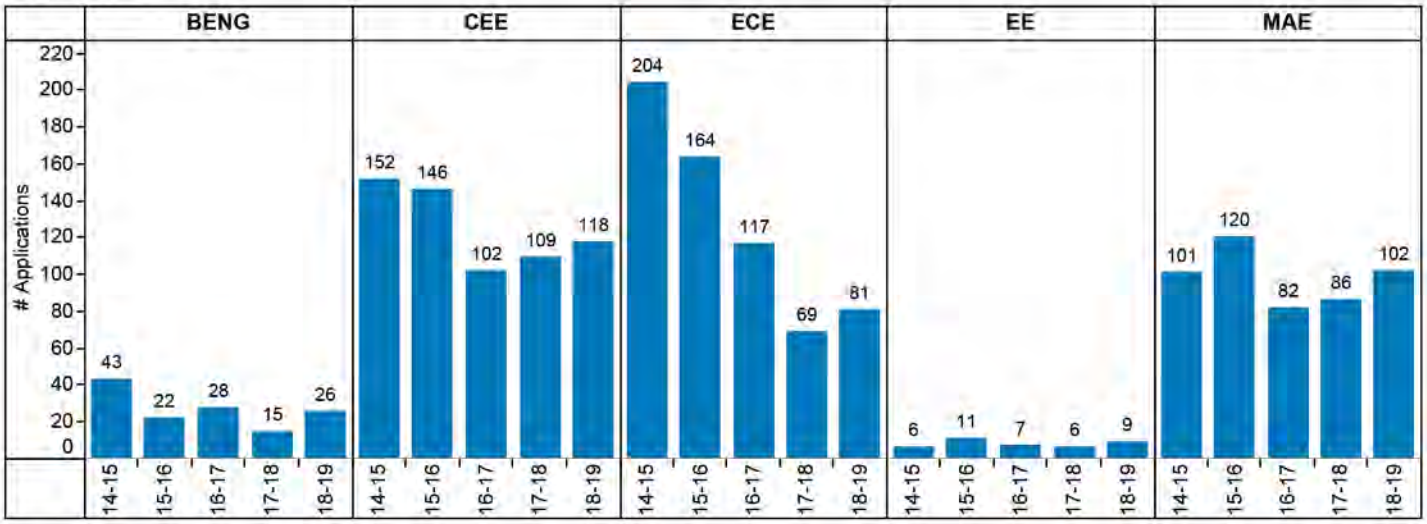
CHaSS



Education

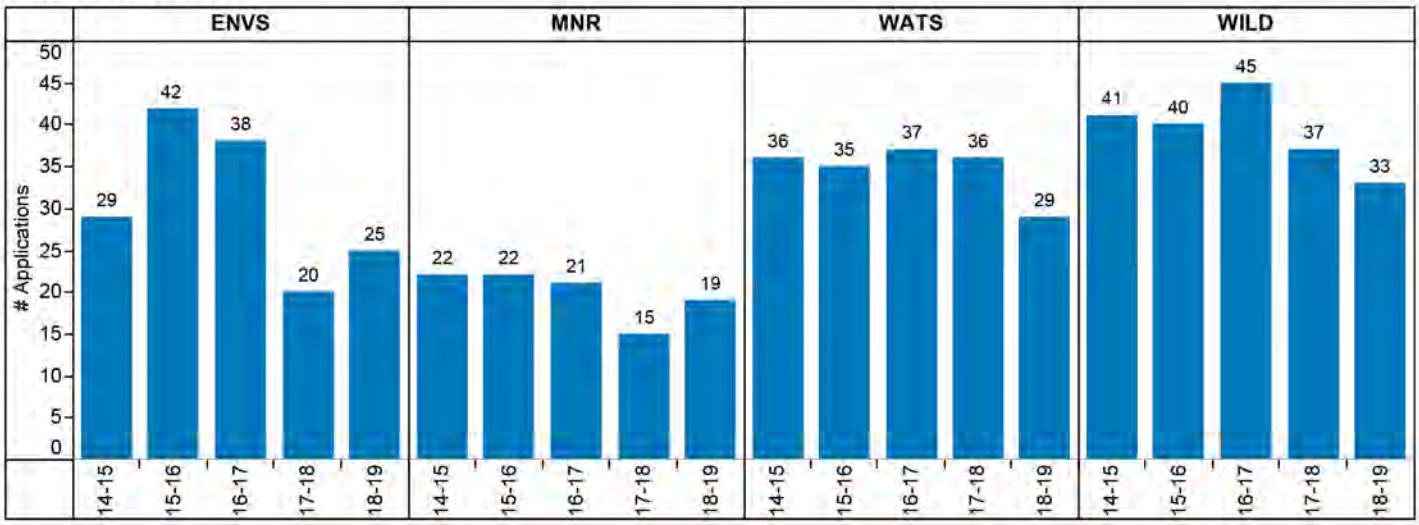


Engineering

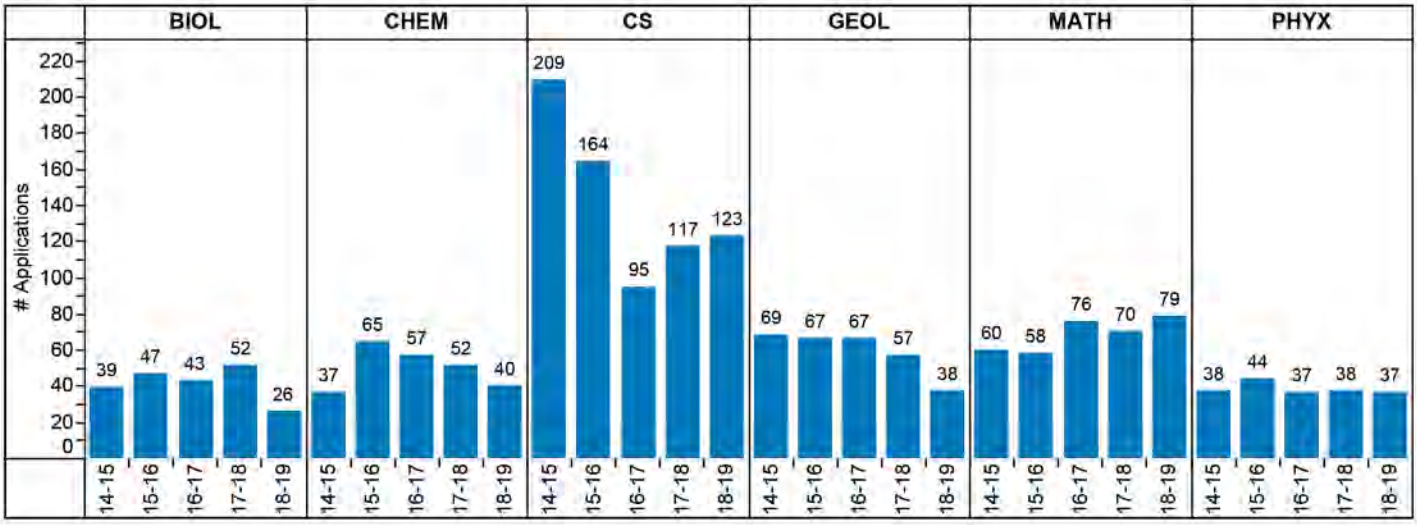


Annual Applications: College & Department, All Degrees

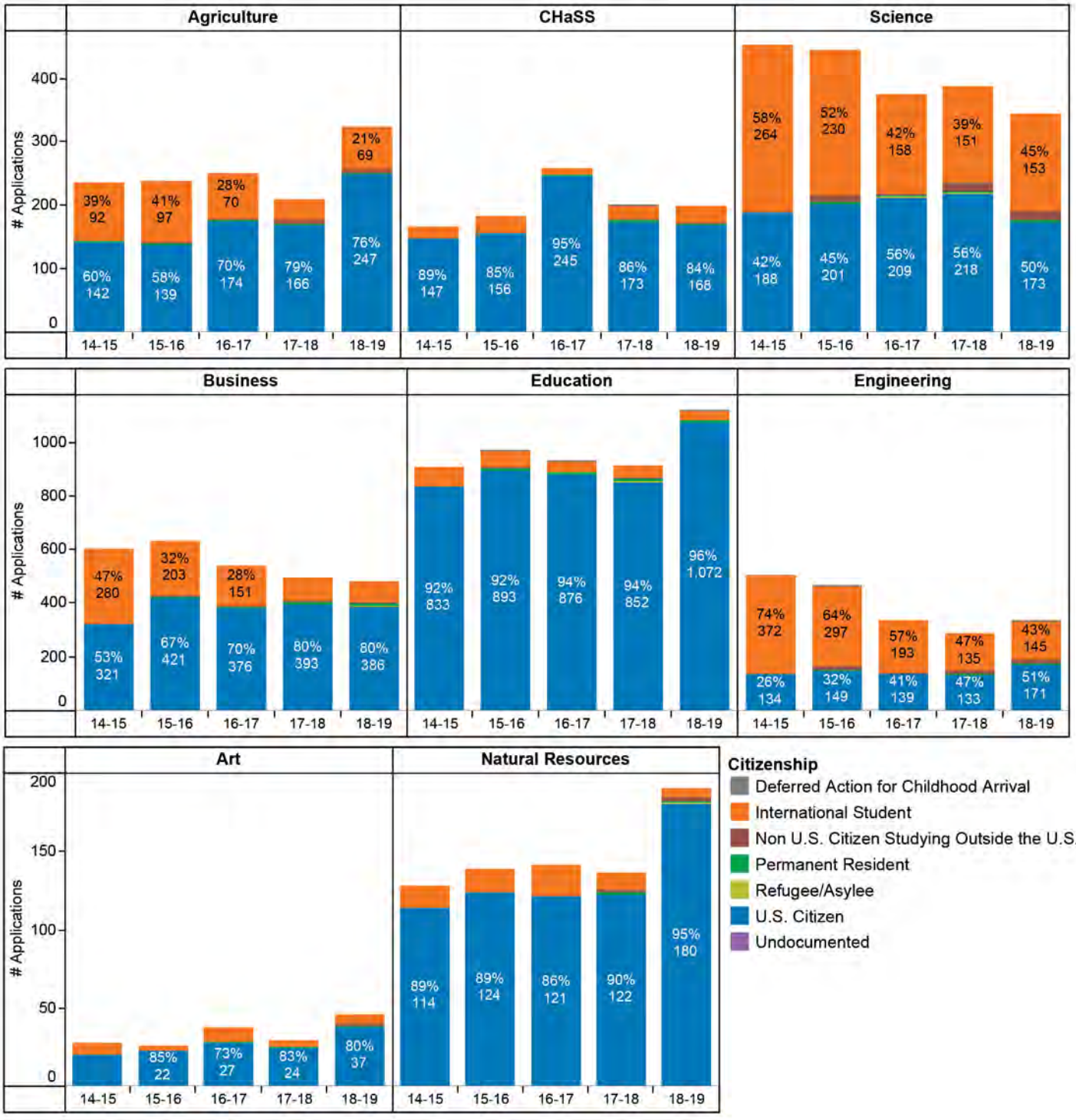
Natural Resources



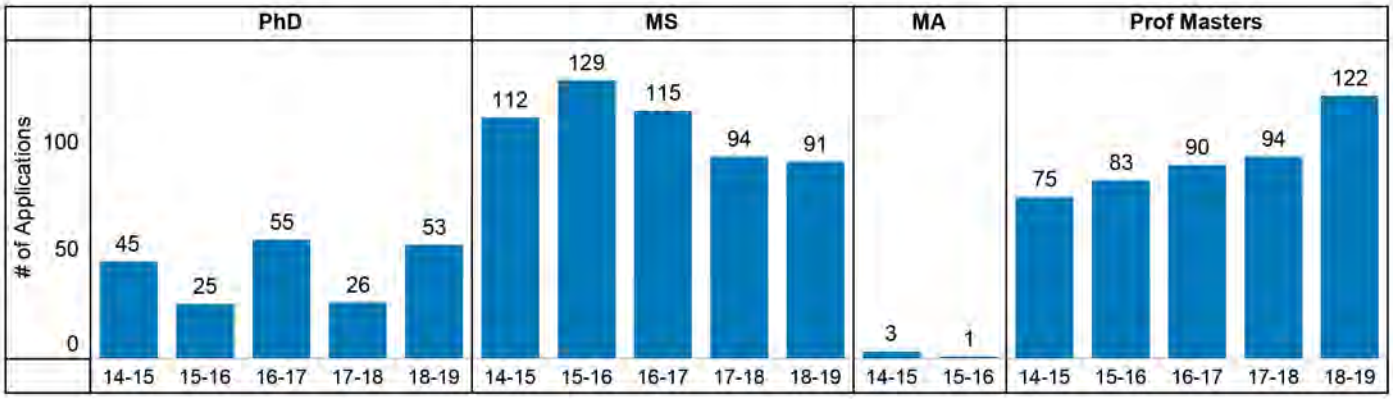
Science

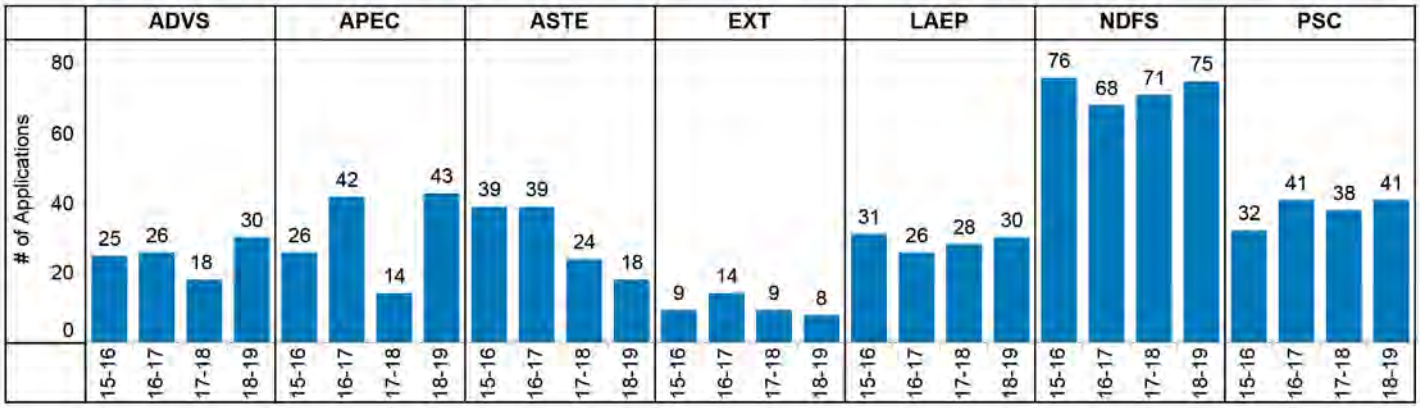


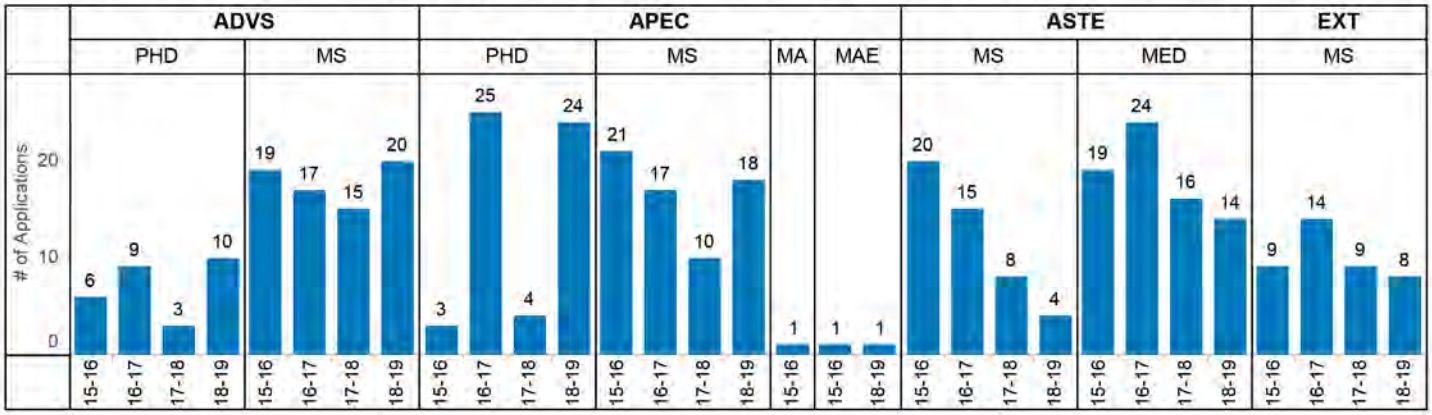
Citizenship of Applicants

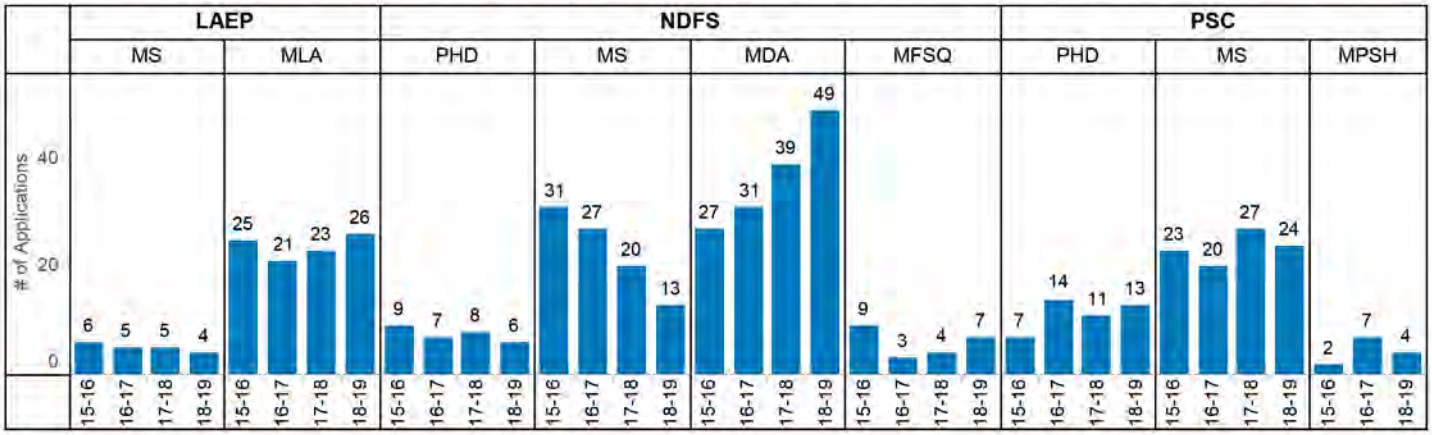


Annual Applications: College of Agriculture

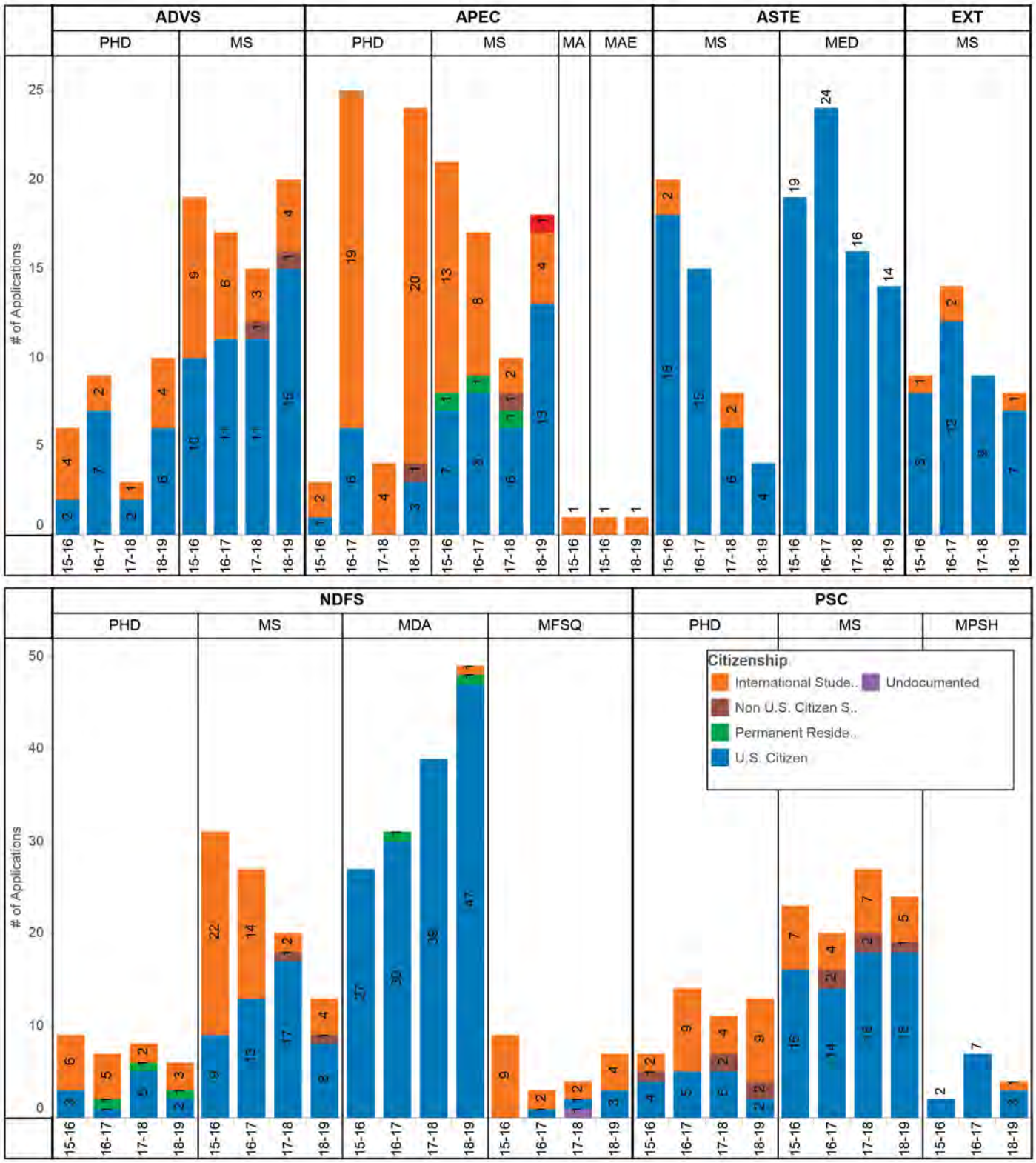




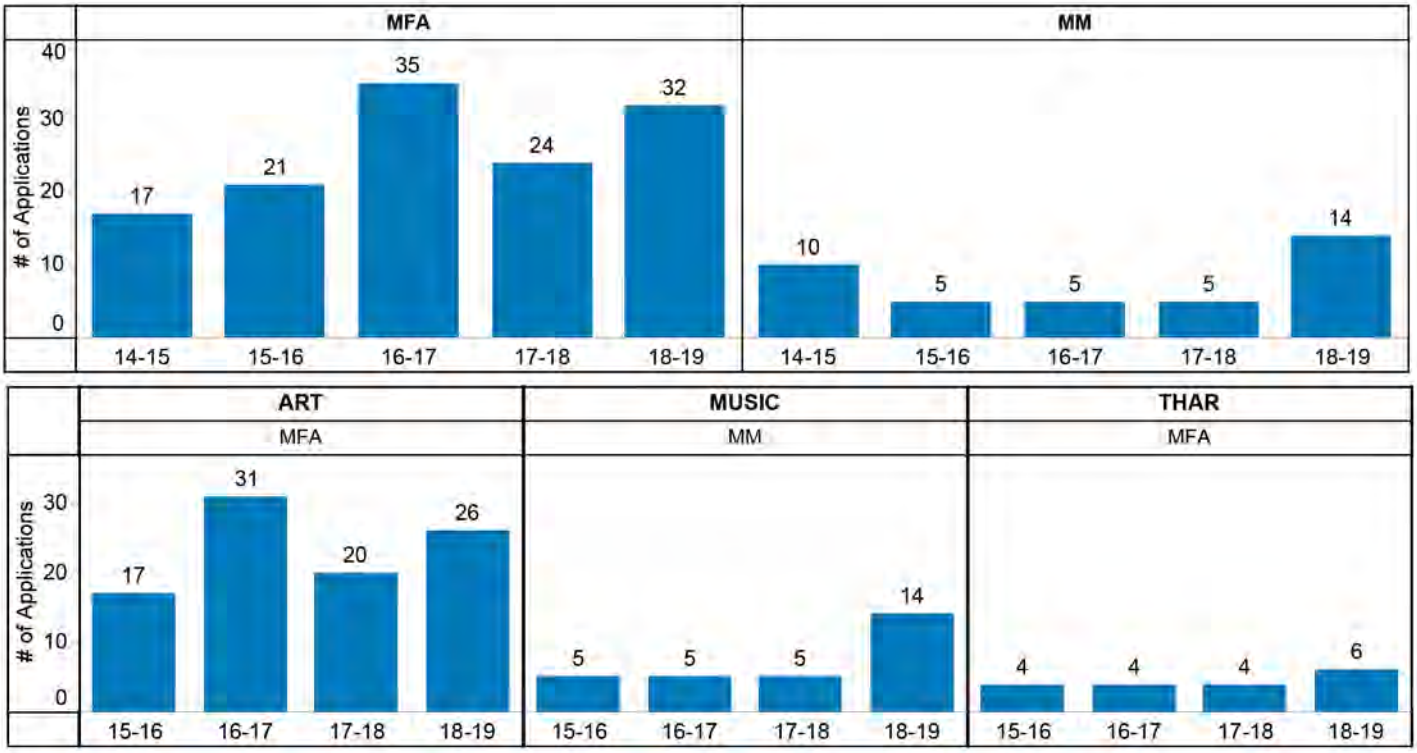




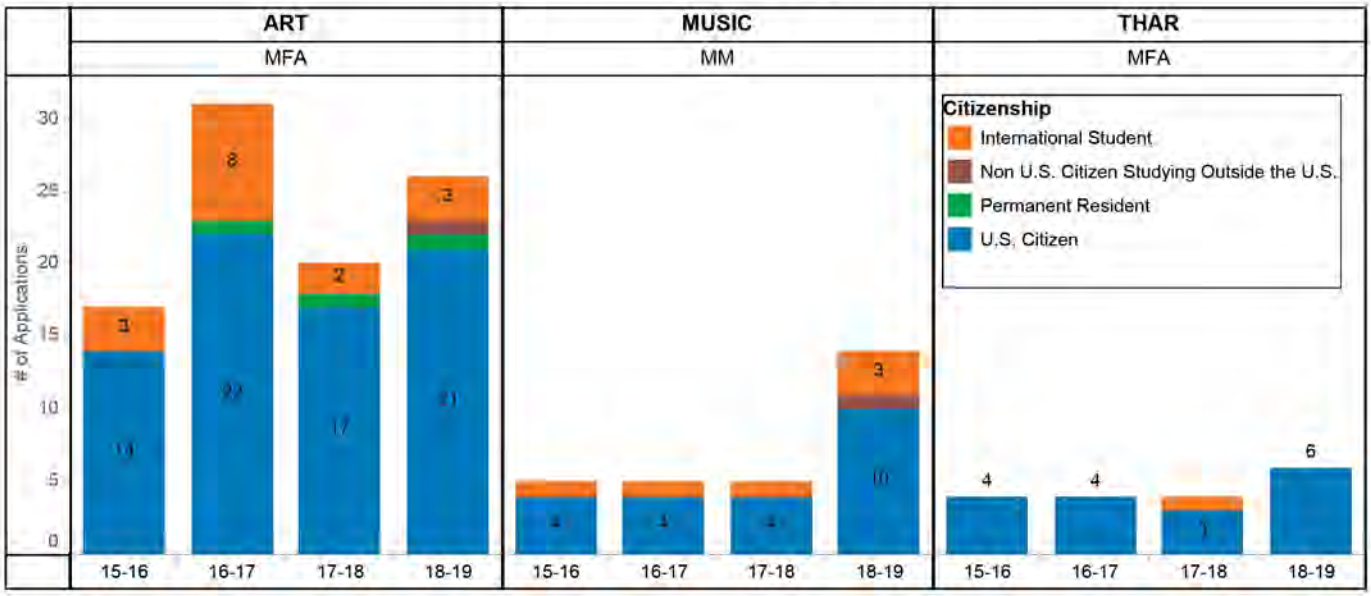
College of Agriculture: Domestic & International Applications



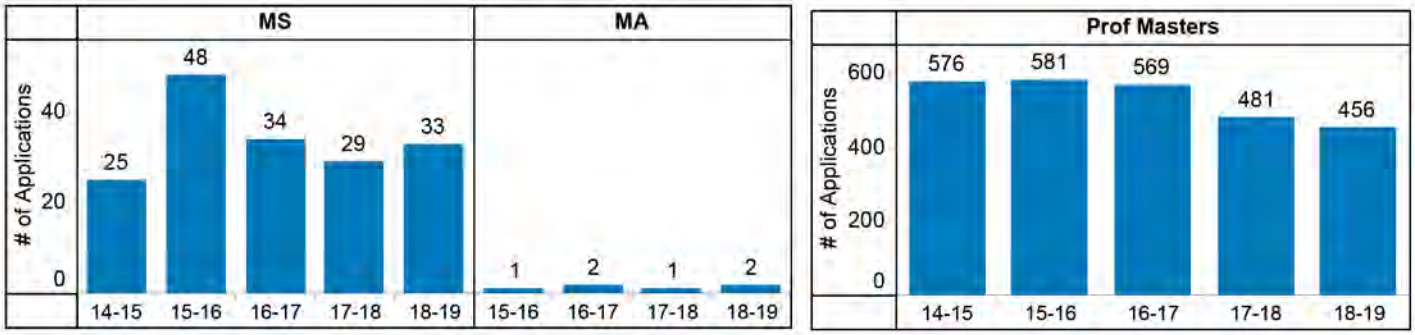
Annual Applications: College of Arts

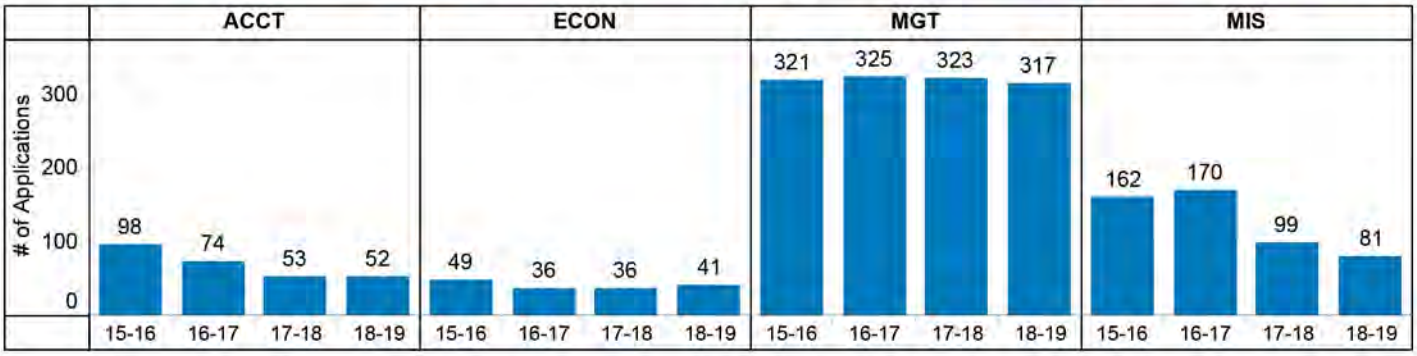


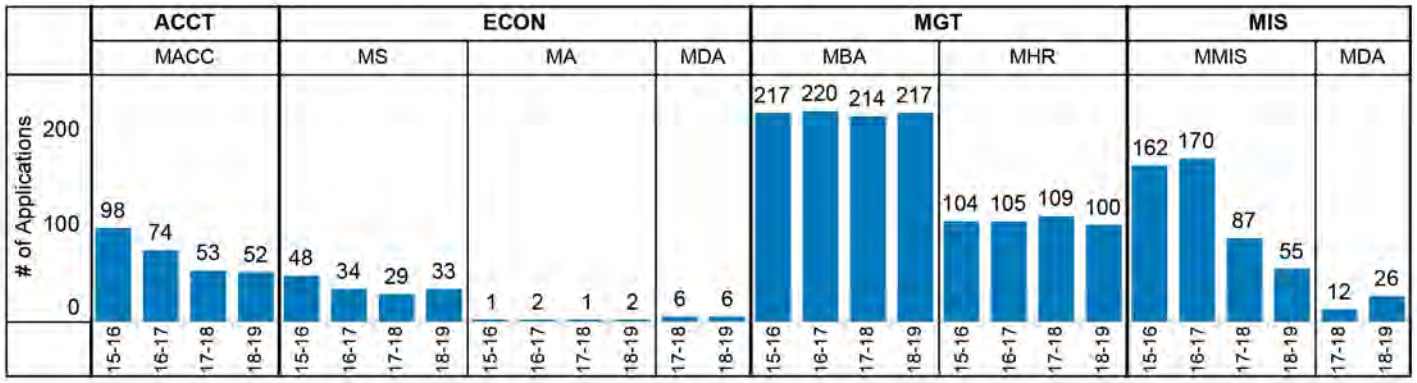
Domestic & International Applications



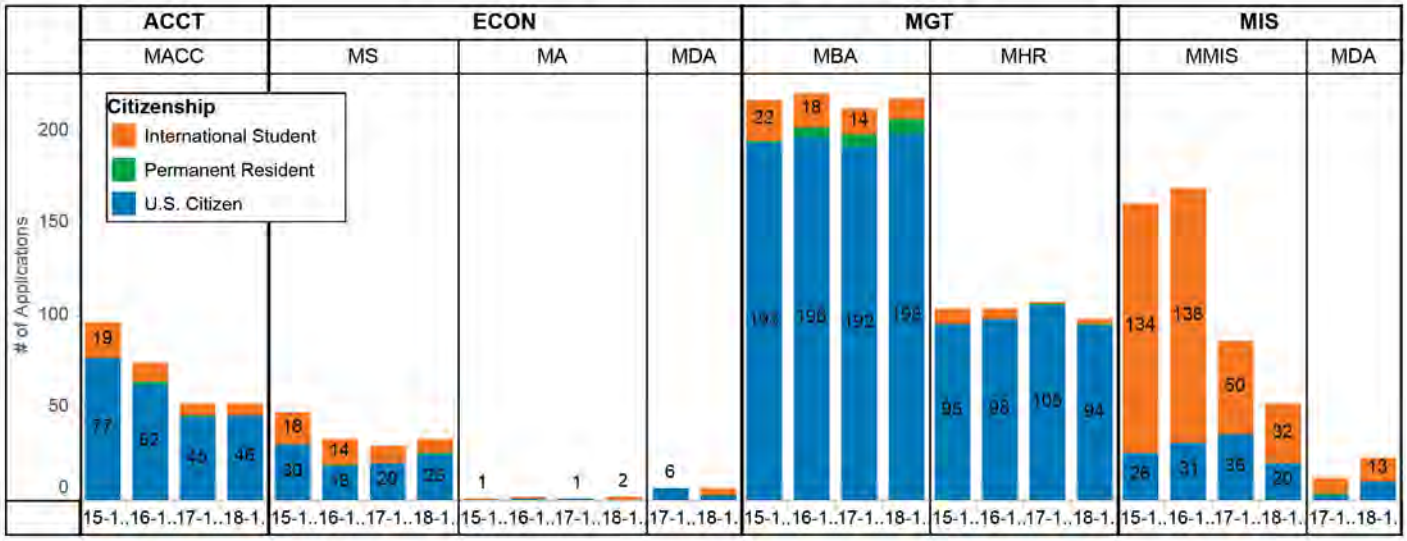
Applications: College of Business



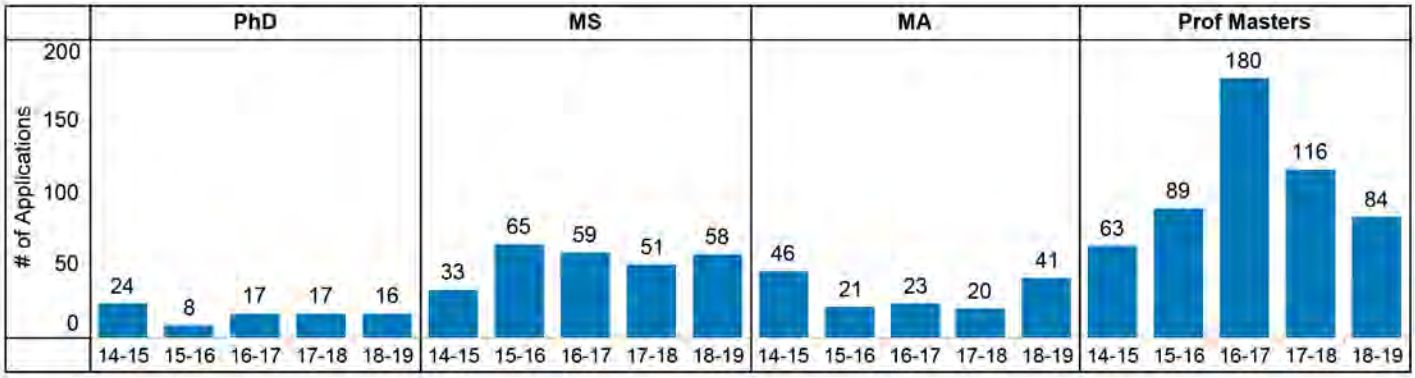


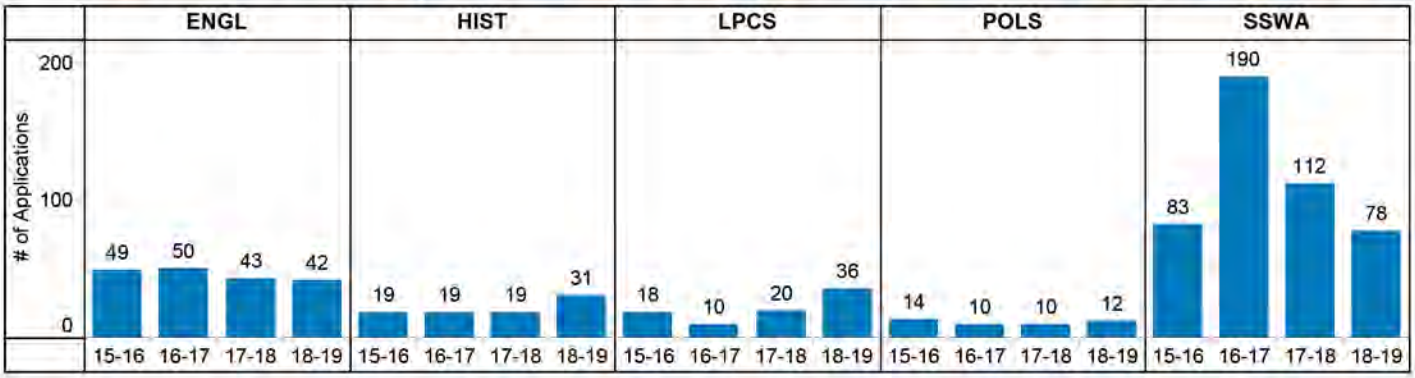


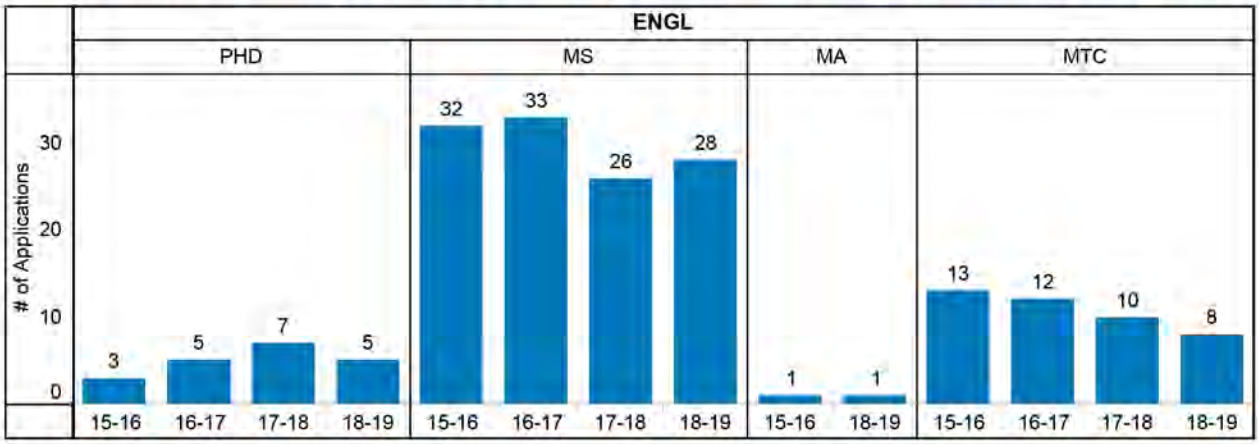
Domestic & International Applications

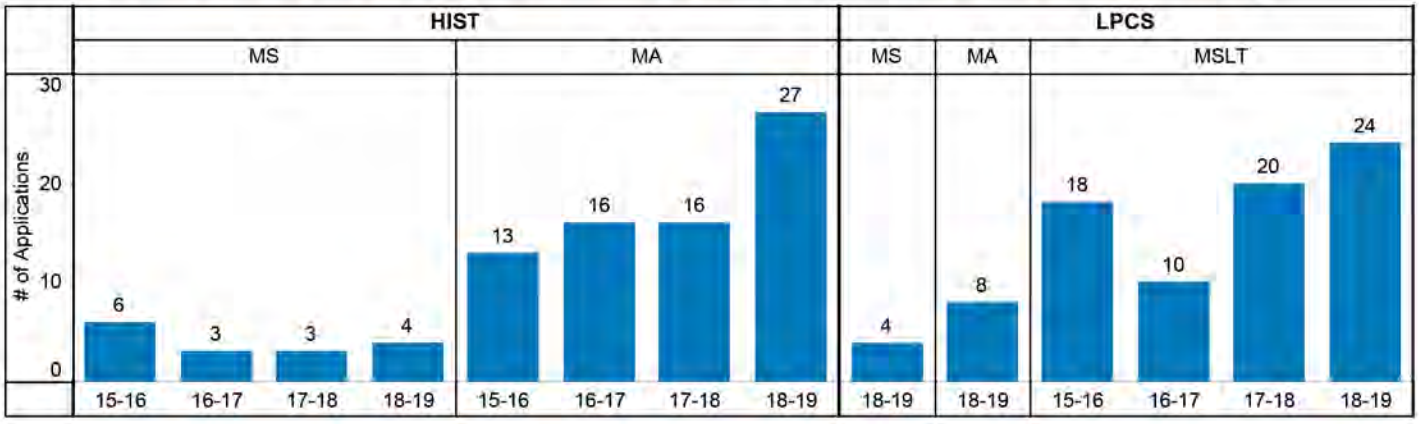


Annual Applications: College of Humanities & Social Sciences

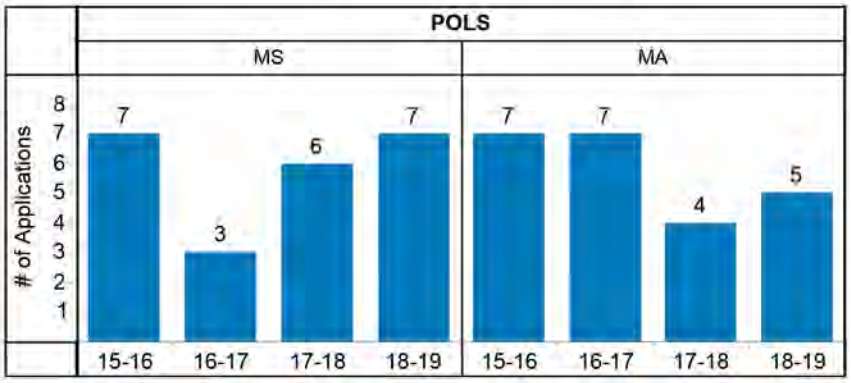




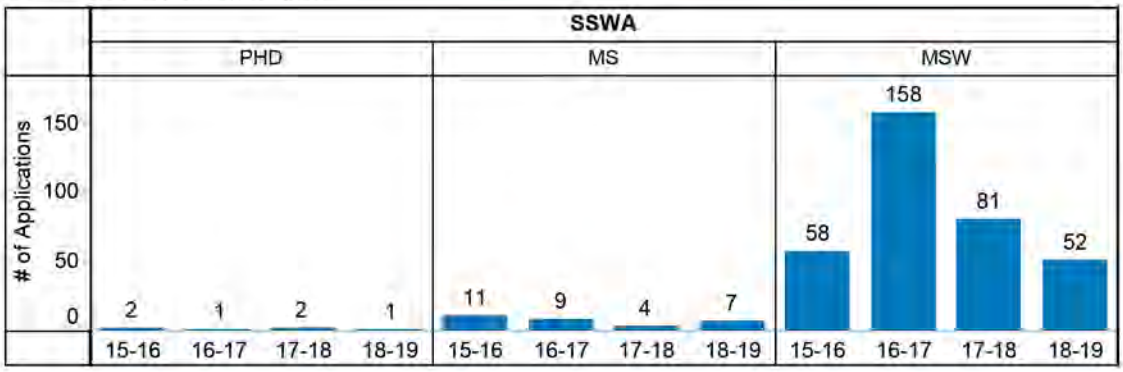




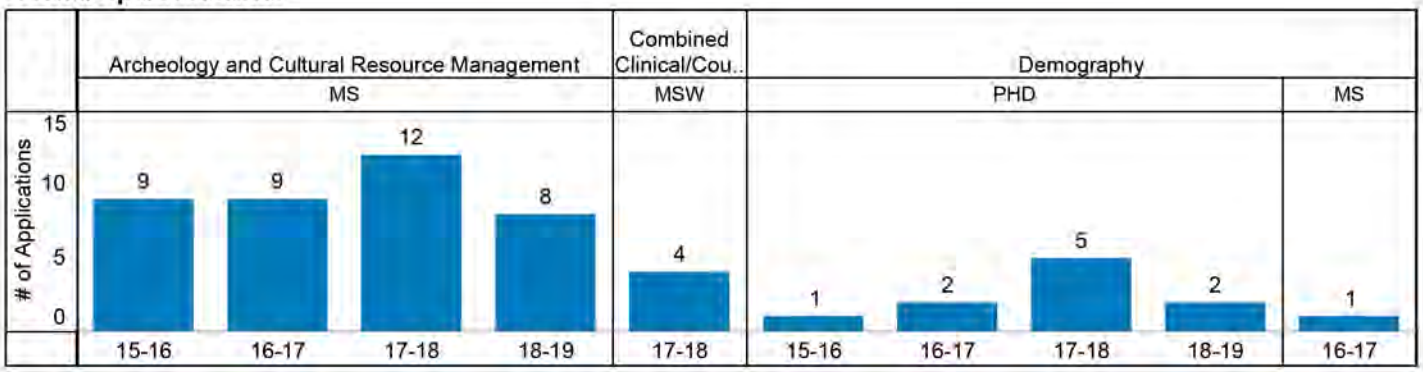
Annual Applications: College of Humanities & Social Sciences

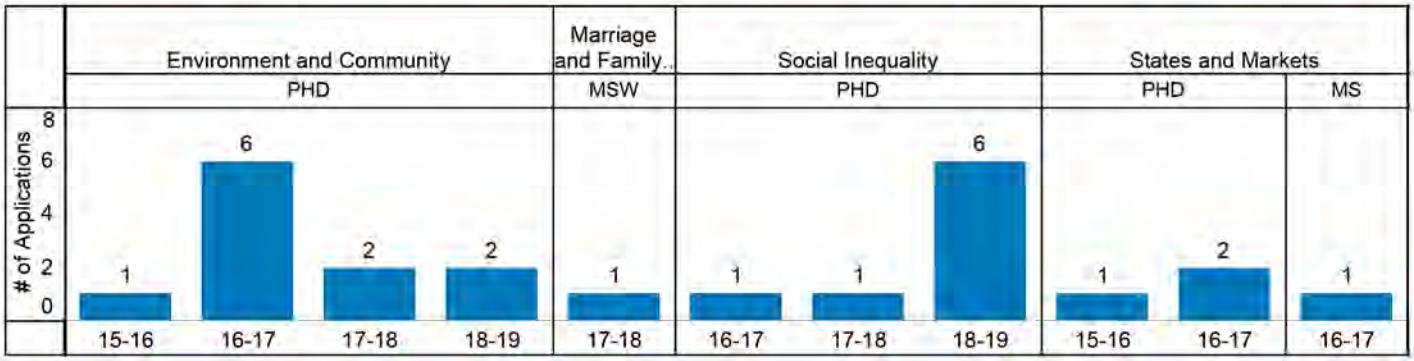


SSWA: No Specialization

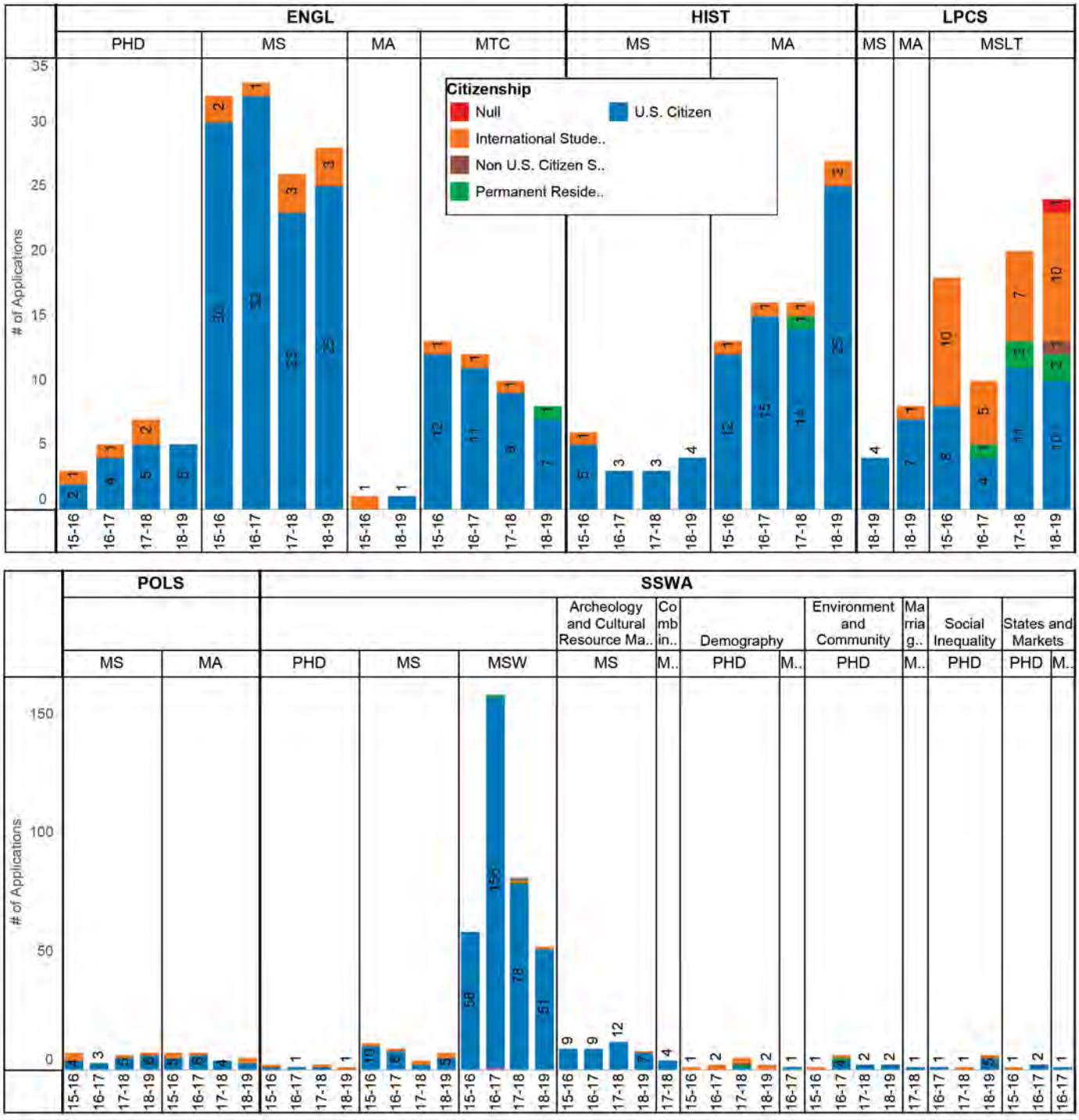


SSWA: Specializations

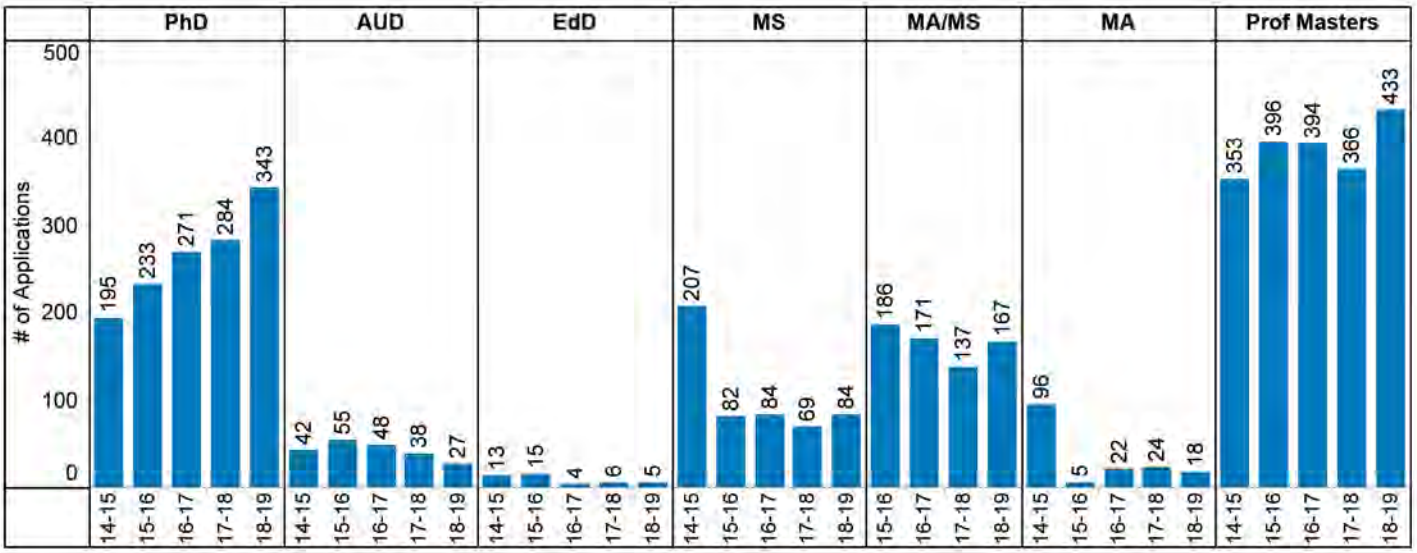


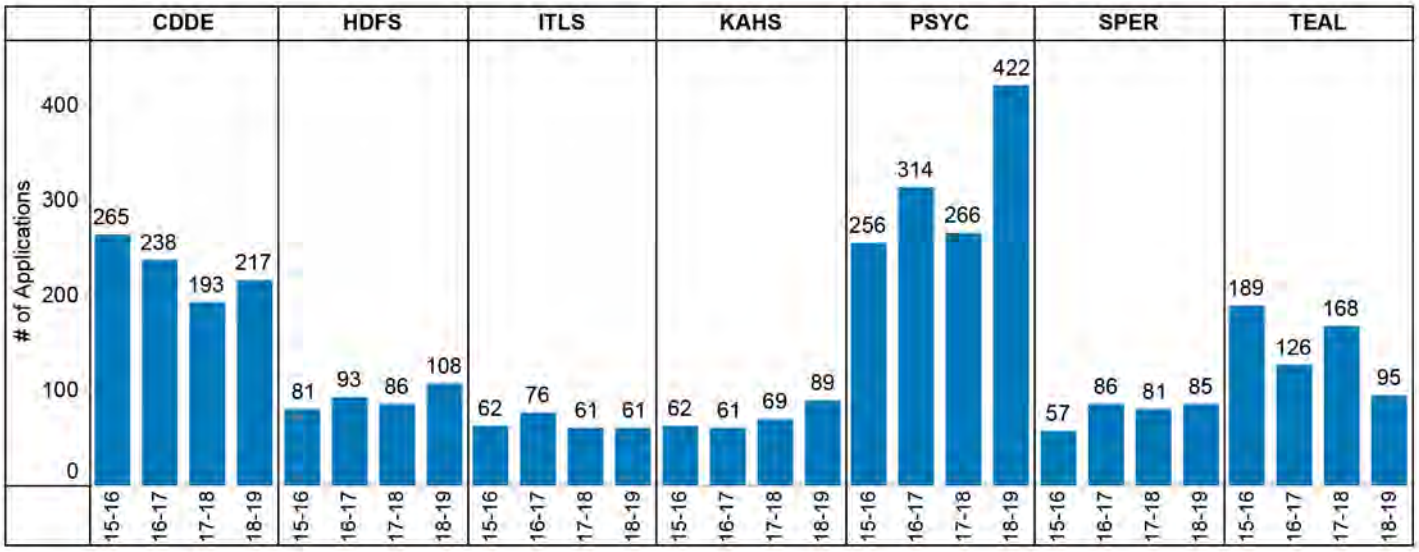


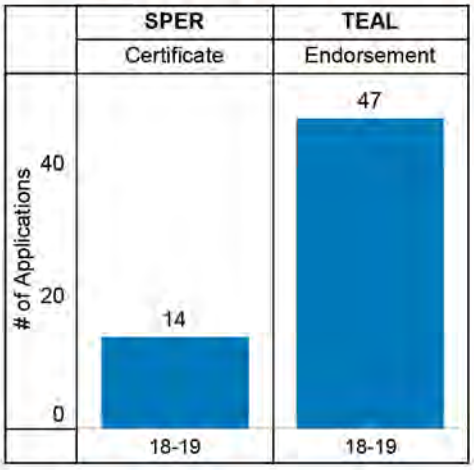
CHaSS: Domestic & International Applications



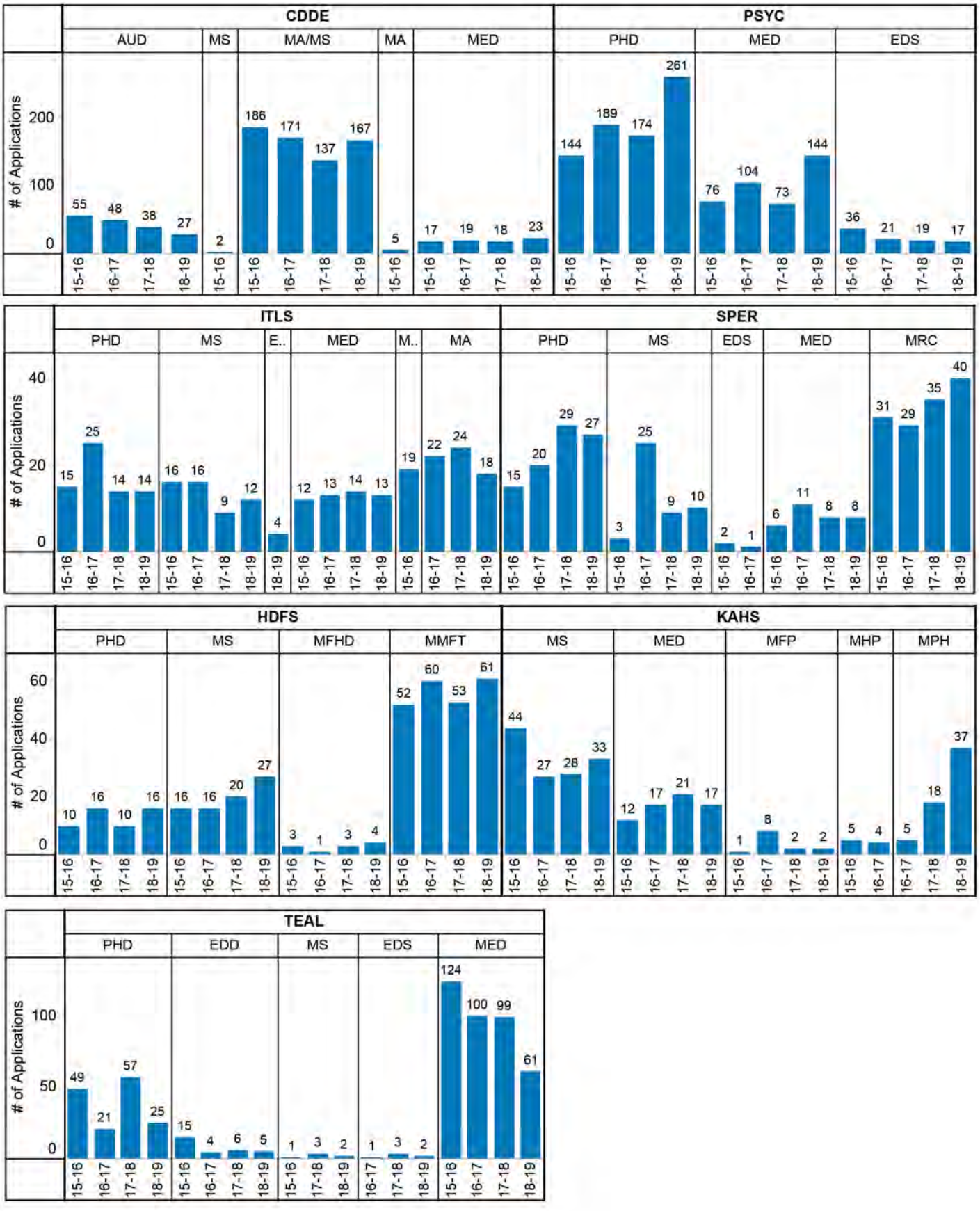
Annual Applications: College of Education



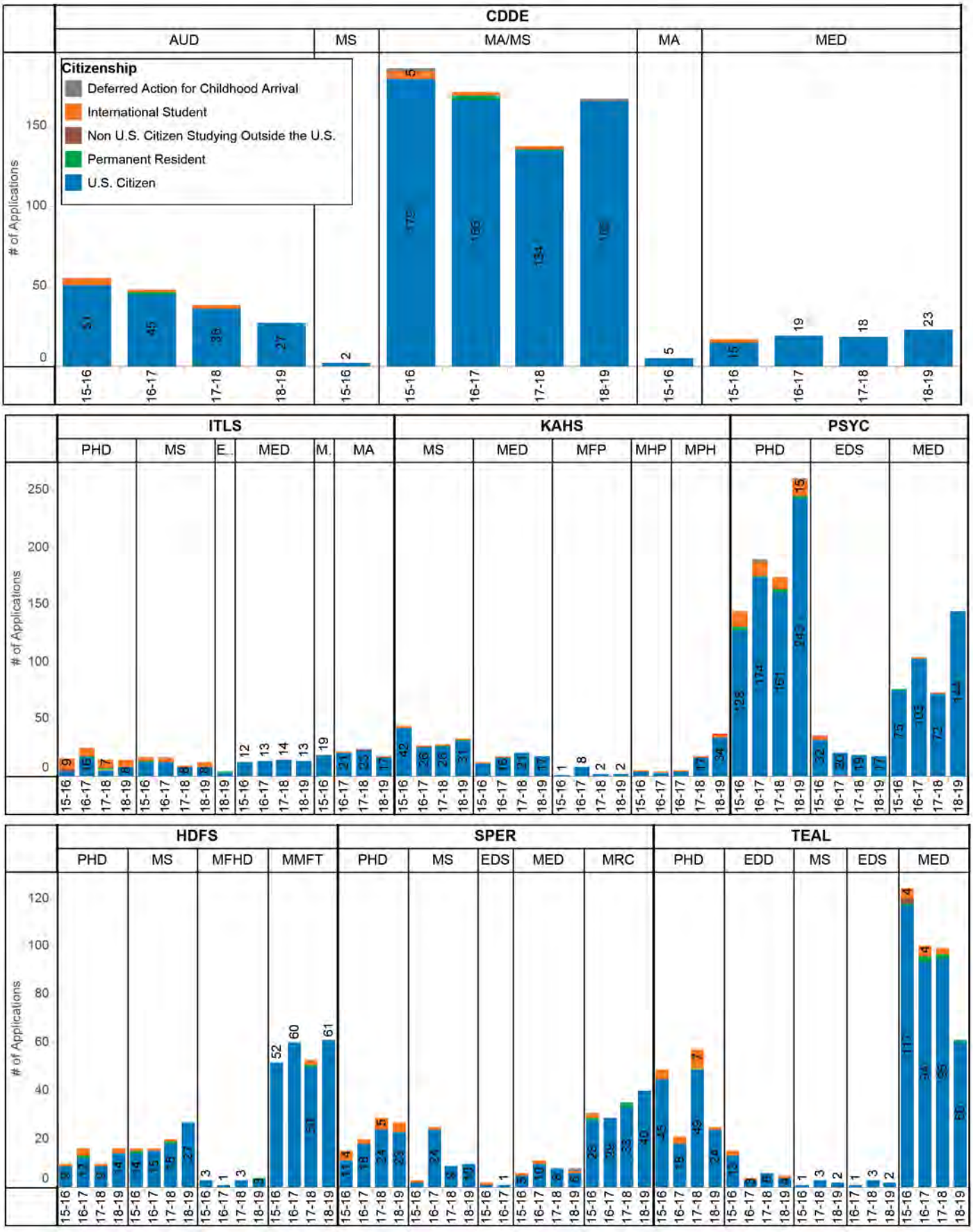




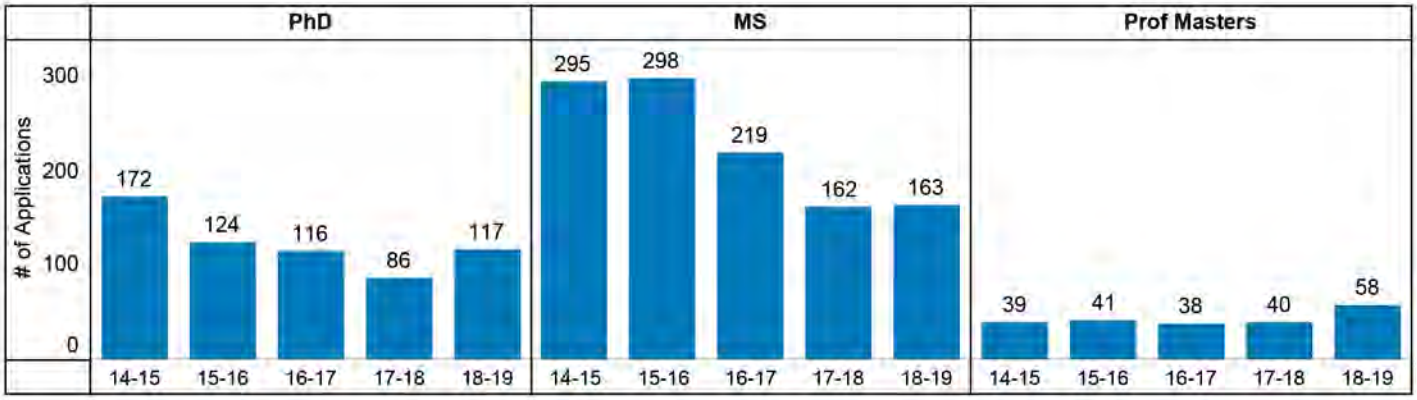
Annual Applications: College of Education

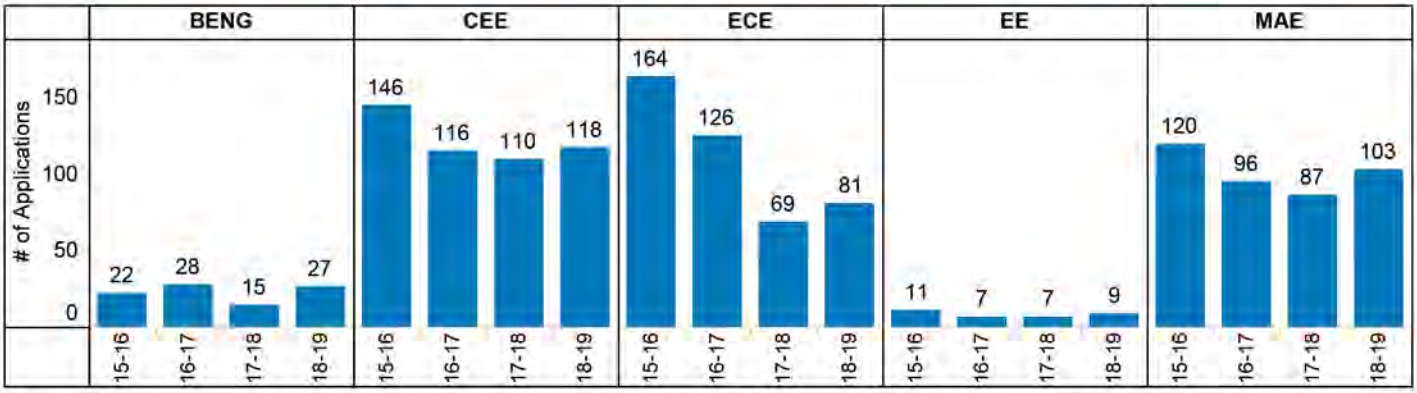


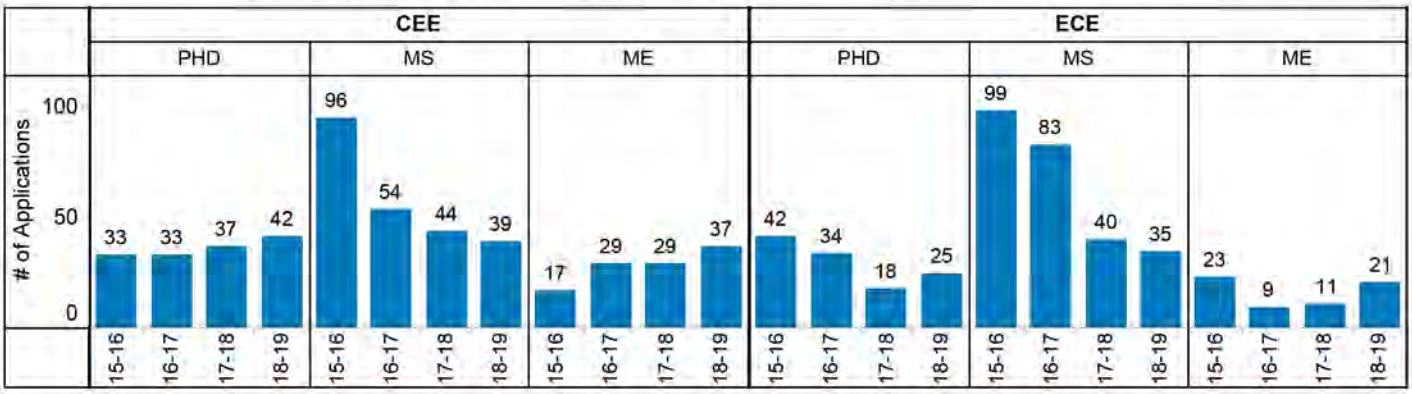
Education: Domestic & International Applications

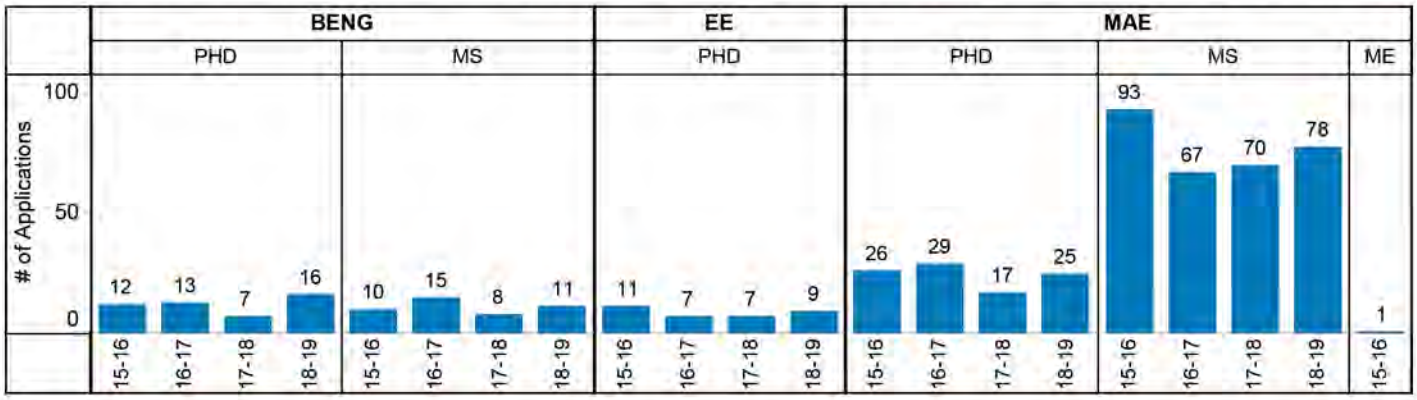


Annual Applications: College of Engineering

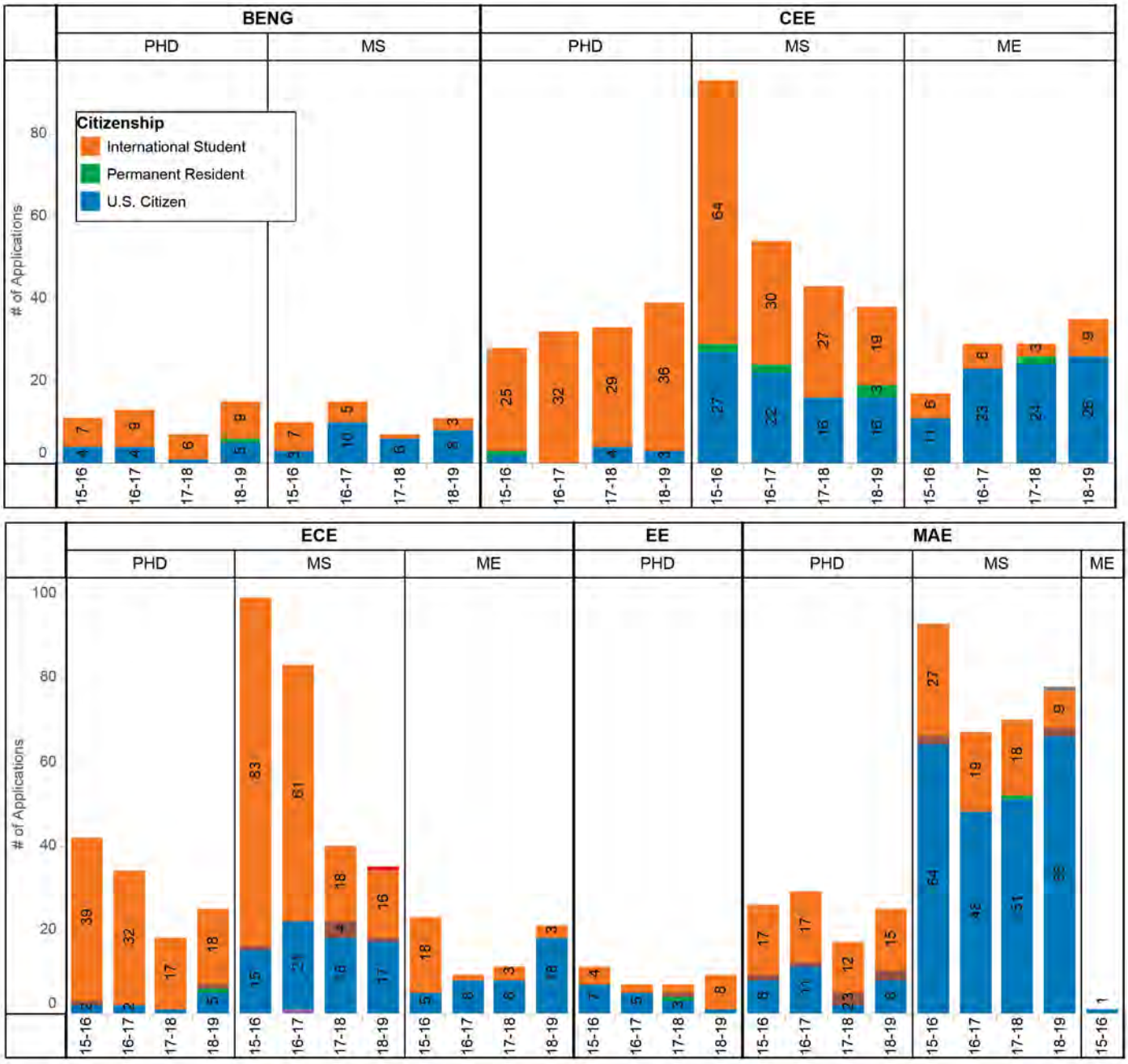




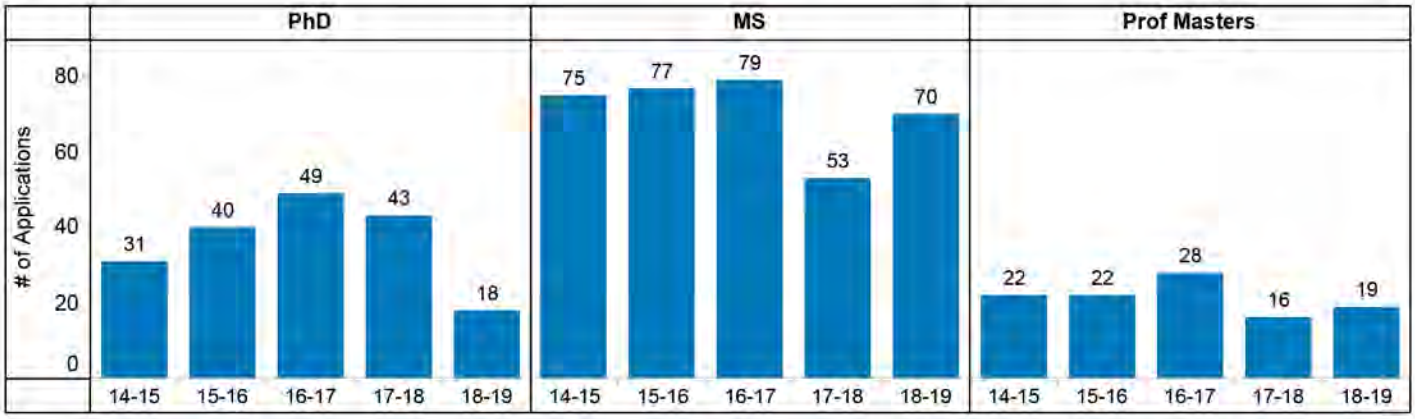


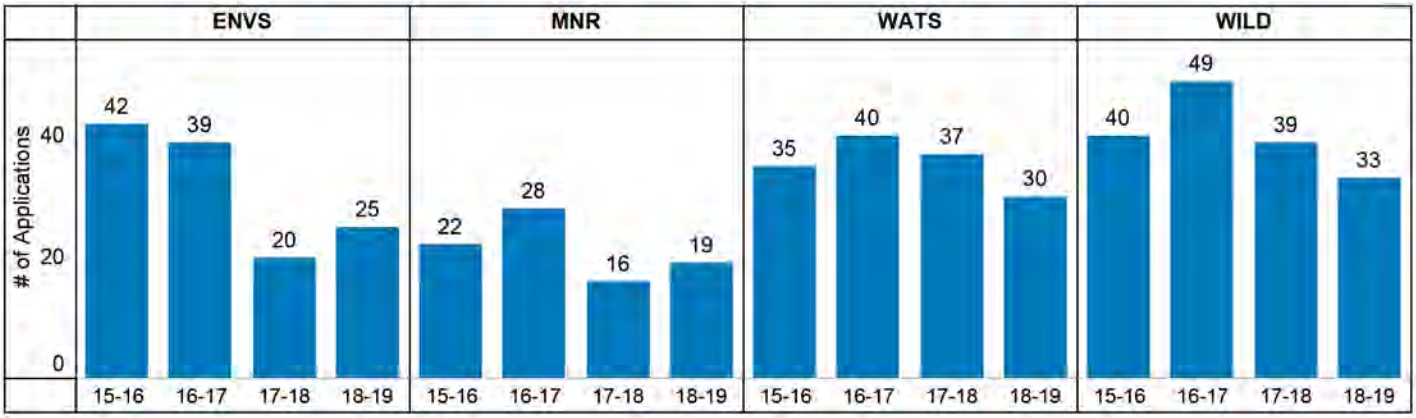


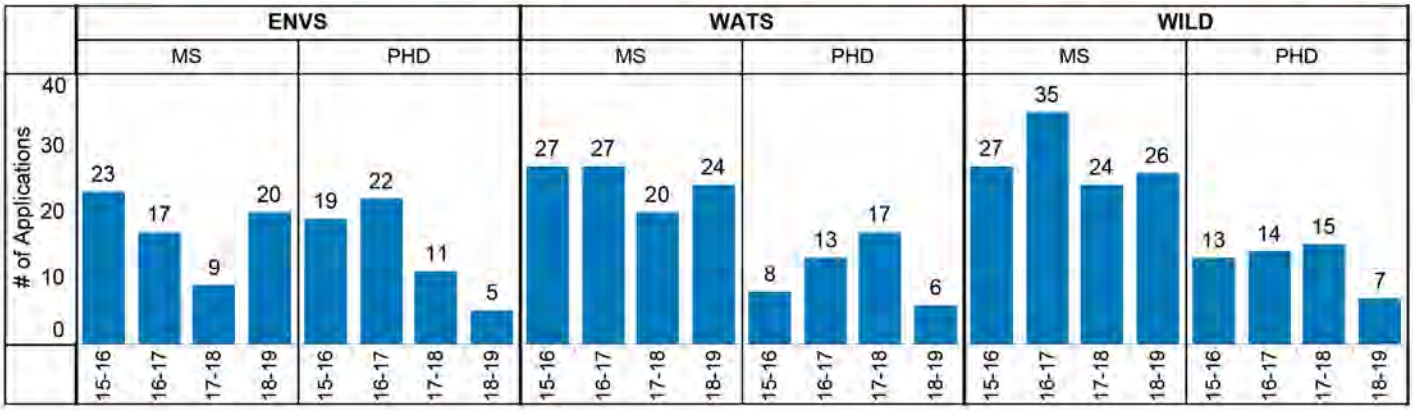
Engineering: Domestic & International Applications

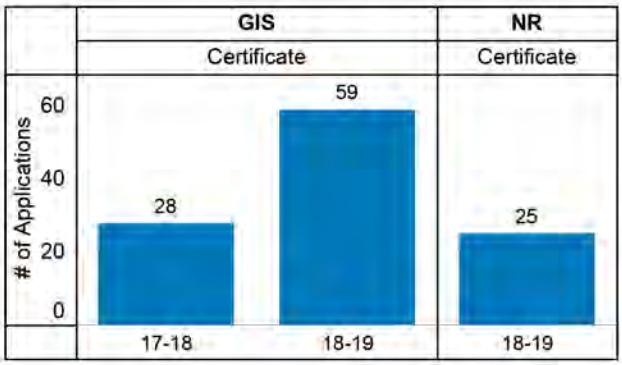


Annual Applications: College of Natural Resources

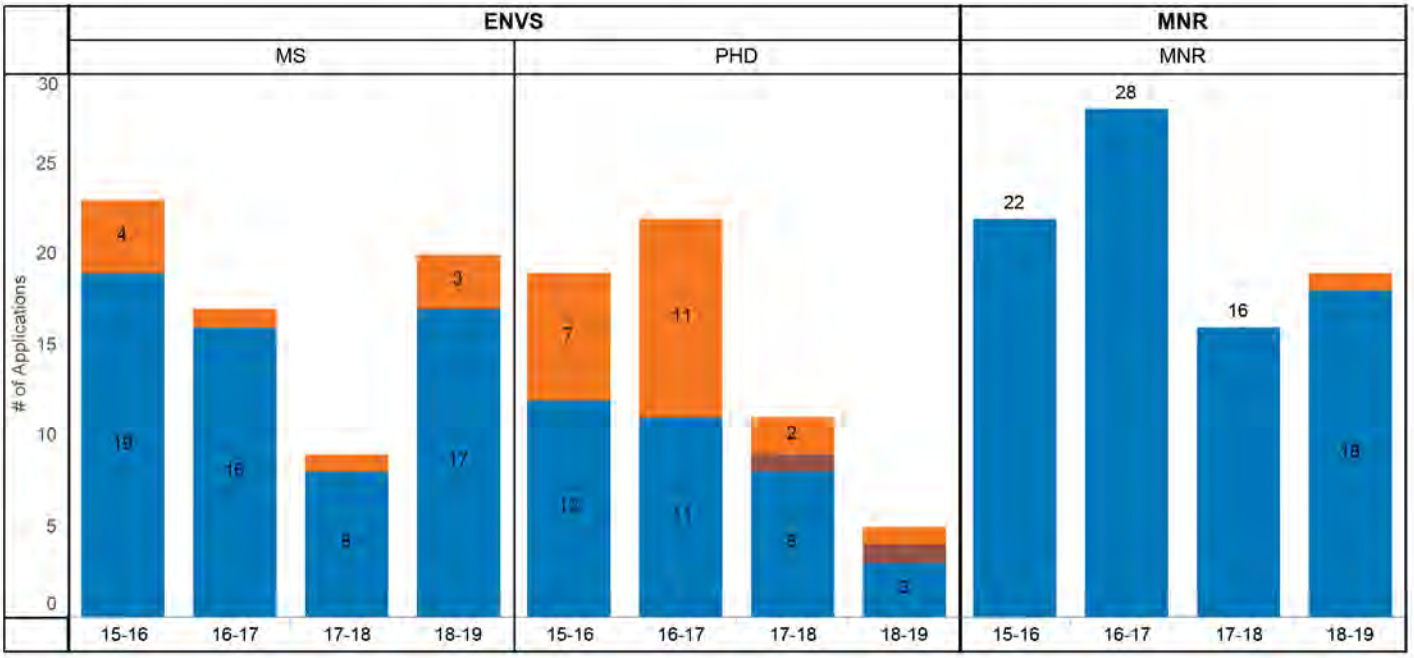


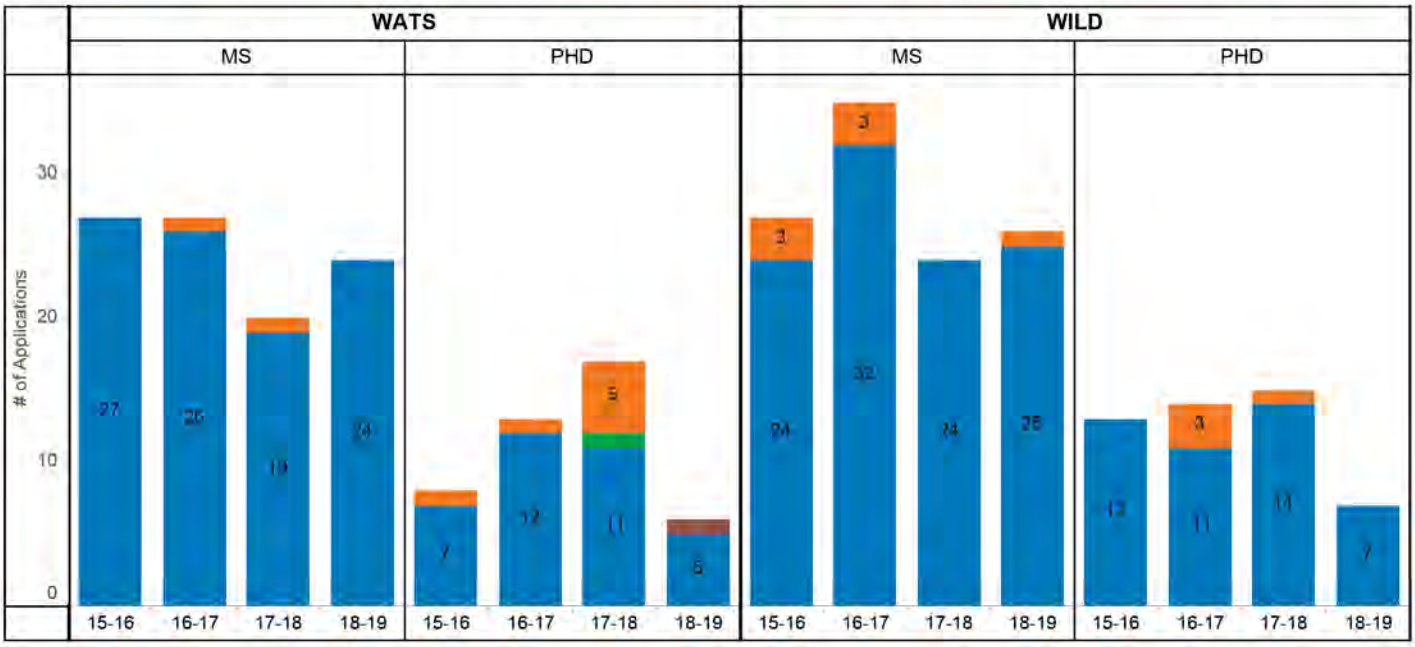


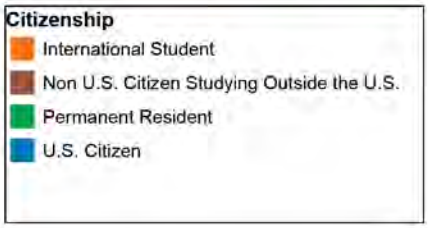




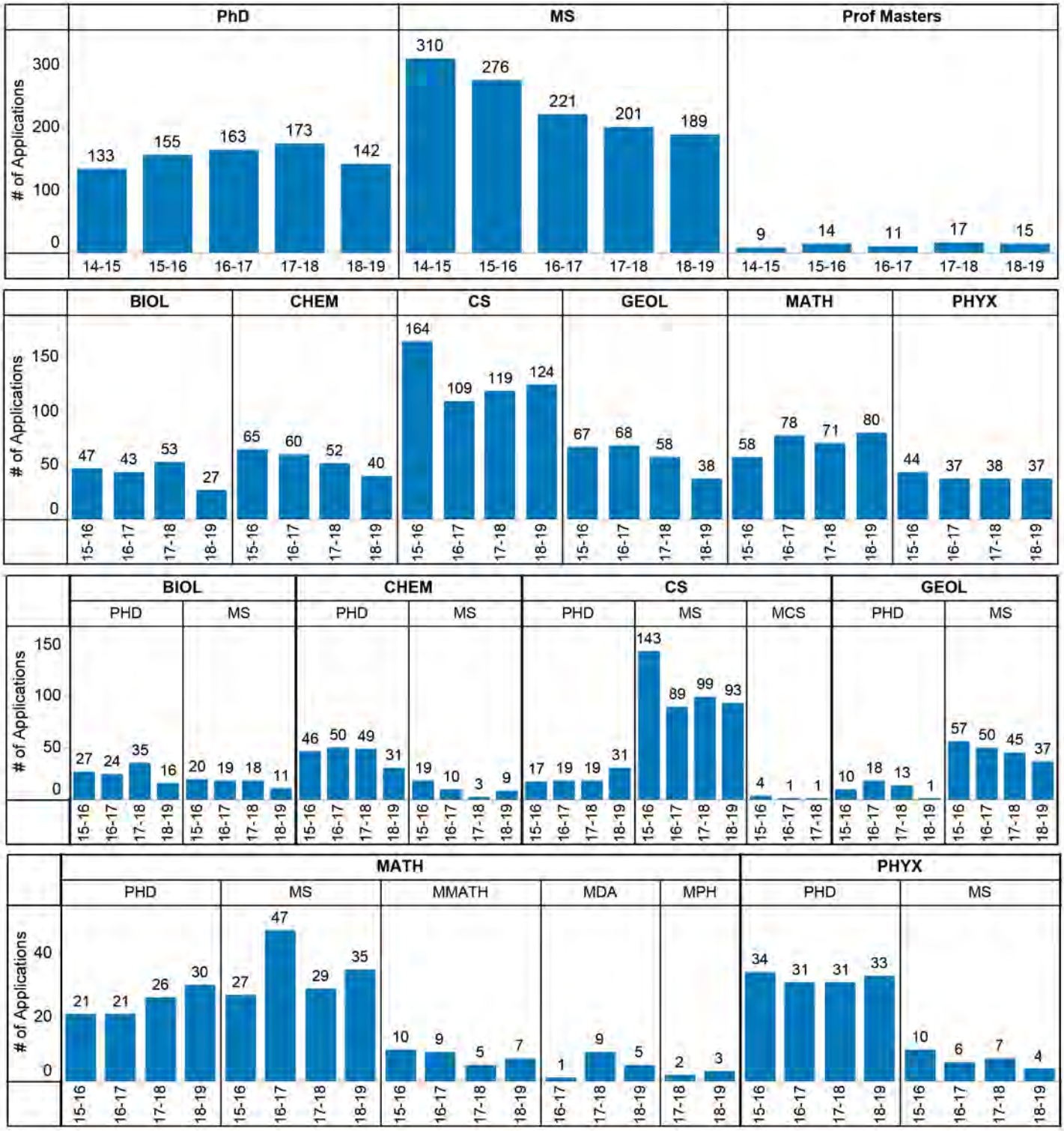
Natural Resources: Domestic & International Applications



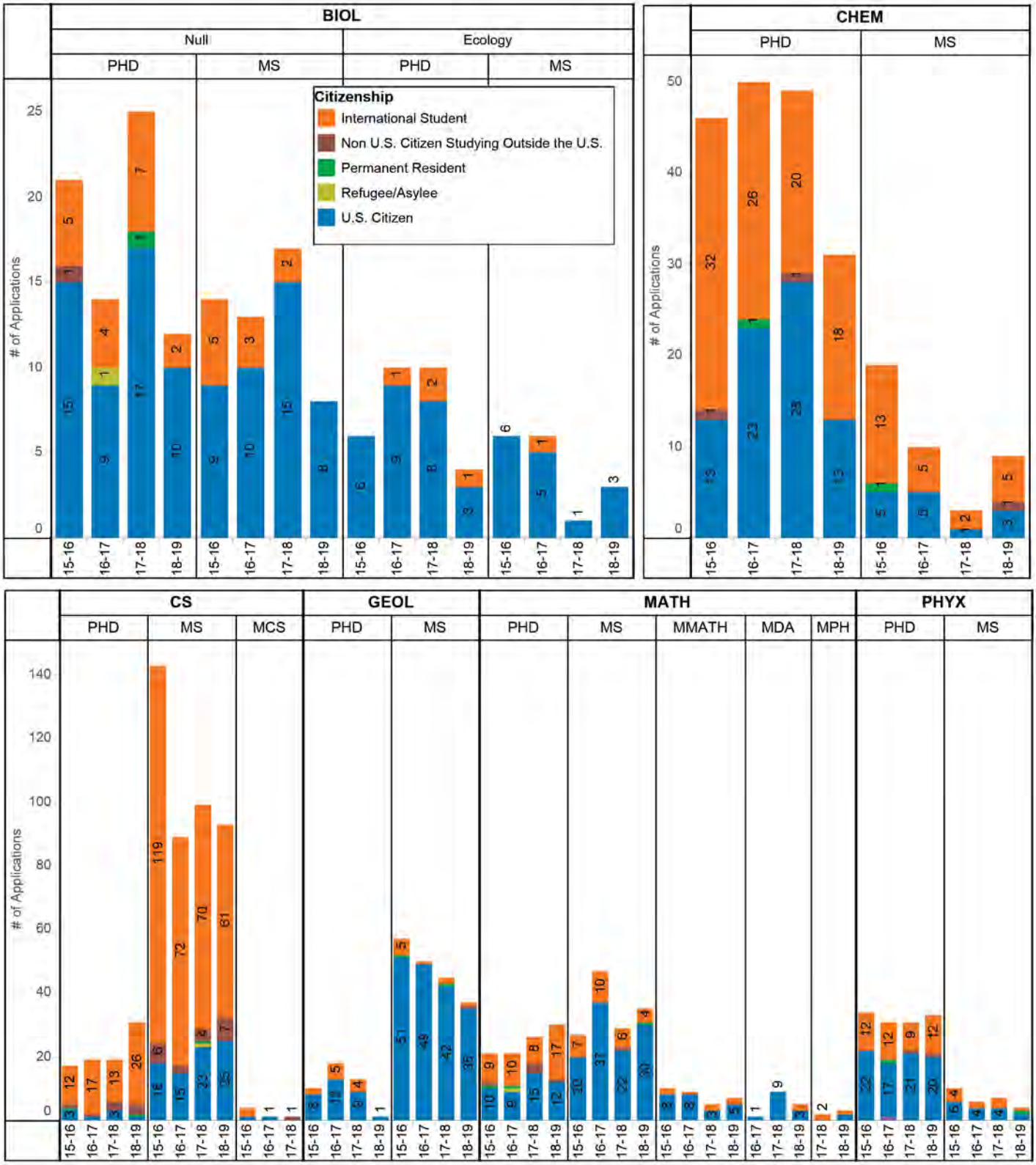




Annual Applications: College of Science

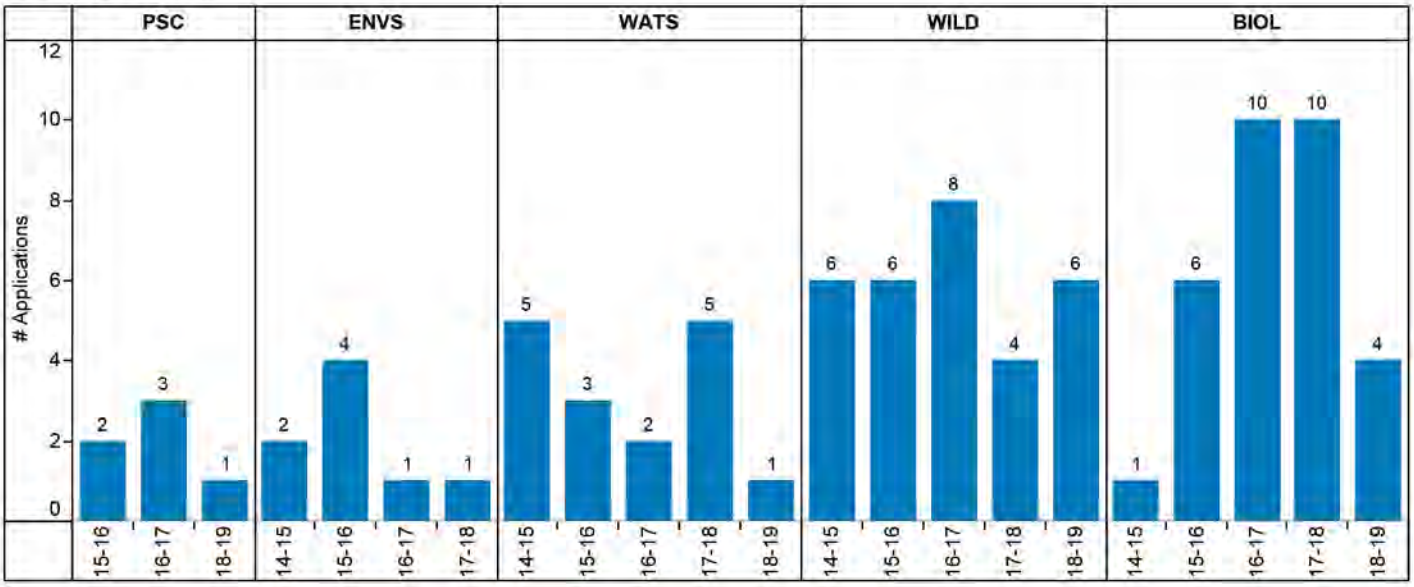


Science: Domestic & International Applications

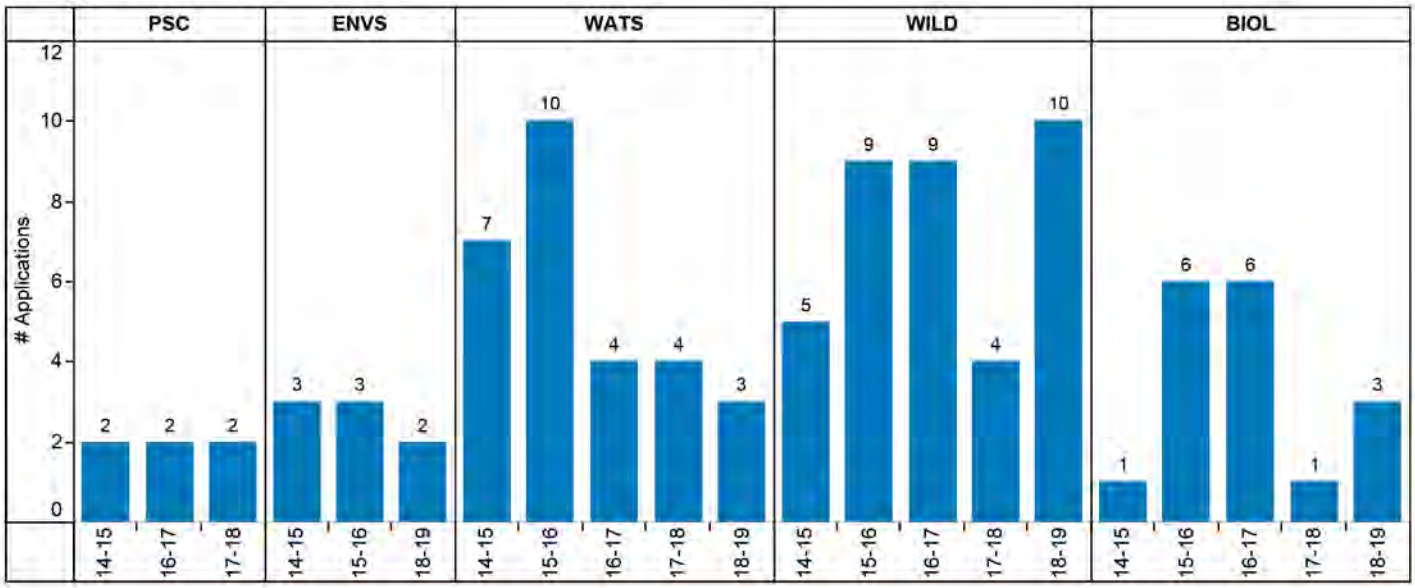


Ecology Applications

PhD Applications



MS Applications



Departments for which applications in 2017-18 were more than 10% greater in number than the average received in the previous three years.

					2017-18 vs 2014-17	
	2014-15	2015-16	2016-17	2017-18	#	%
AGR	**233**	**238**	**256**	**202**	**-40**	**-17%**
PSC	**28**	**32**	**41**	**38**	**4**	**13%**
MPSH	1	2	7		-3	**-100%**
MS	20	23	20	27	6	**29%**
PHD	7	7	14	11	2	**18%**
ART	**27**	**26**	**40**	**29**	**-2**	**-6%**
THAR	**1**	**4**	**4**	**4**	1	**33%**
MFA	1	4	4	4	1	**33%**
CHaSS	**166**	**183**	**279**	**204**	**-5**	**-3%**
LPCS	**21**	**18**	**10**	**20**	**4**	**22%**
MSLT	21	18	10	20	4	**22%**
EDUC	**906**	**968**	**989**	**903**	**-51**	**-5%**
TEAL	**115**	**189**	**126**	**168**	**25**	**17%**
EDD	13	15	4	6	-5	**-44%**
EDS	1		1	3	2	**200%**
MED	81	124	100	99	-3	-3%
MS	5	1		3	0	0%
PHD	15	49	21	57	29	**101%**
SCI	**243**	**281**	**286**	**270**	**0**	**0%**
BIOL	**39**	**47**	**43**	**53**	**10**	**23%**
MS	14	20	19	18	0	2%
PHD	25	27	24	35	10	**38%**

Departments for which applications in 2017-18 were more than 10% fewer in number than the average received in the previous three years.

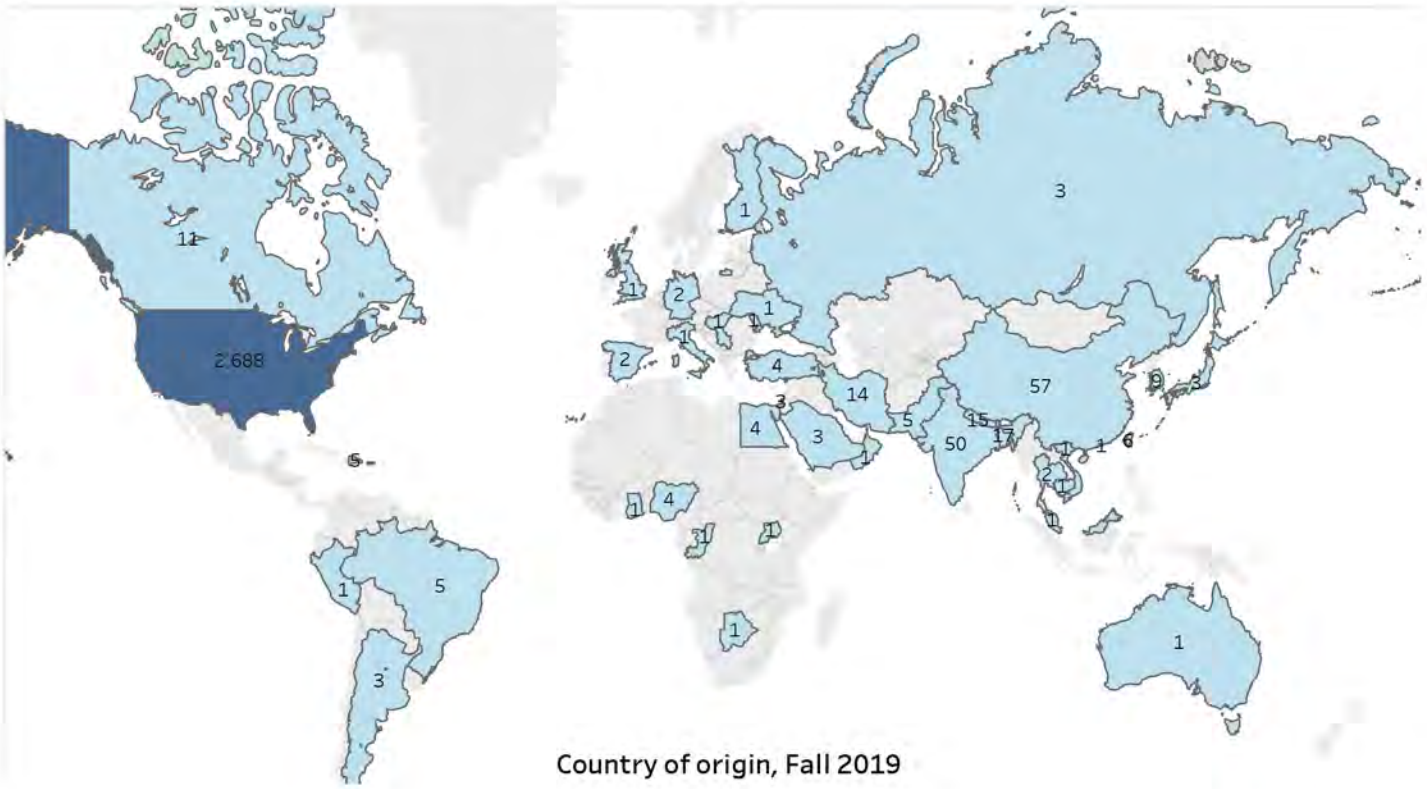
	2014-15	2015-16	2016-17	2017-18	2017-18 vs 2014-17 #	2017-18 vs 2014-17 %
AGR	**233**	**238**	**256**	**202**	**-40**	**-17%**
ADVS	**21**	**25**	**26**	**18**	**-6**	**-25%**
MS	14	19	17	15	-2	-10%
PHD	7	6	9	3	-4	-59%
APEC	**50**	**26**	**42**	**14**	**-25**	**-64%**
MA	3	1				
MAE		1				
MS	25	21	17	10	-11	-52%
PHD	22	3	25	4	-13	-76%
ASTE	**30**	**39**	**39**	**24**	**-12**	**-33%**
MED	16	19	24	16	-4	-19%
MS	14	20	15	8	-8	-51%
EXT		**9**	**14**	**9**	**-3**	**-22%**
MS		9	14	9	-3	-22%
ART	**27**	**26**	**40**	**29**	**-2**	**-6%**
MUSIC	**10**	**5**	**5**	**5**	**-2**	**-25%**
MM	10	5	5	5	-2	-25%
BUS	**601**	**630**	**605**	**511**	**-101**	**-17%**
ACCT	**76**	**98**	**74**	**53**	**-30**	**-36%**
MACC	76	98	74	53	-30	-36%
ECON	**25**	**49**	**36**	**36**	**-1**	**-2%**
MA		1	2	1	-1	-33%
MDA				6		
MS	25	48	34	29		
MGT	**271**	**321**	**325**	**323**	**17**	**6%**
MBA	174	217	220	214	10	5%
MHR	97	104	105	109	7	7%
MIS	**229**	**162**	**170**	**99**	**-88**	**-47%**
MDA				12		
MMIS	229	162	170	87	-100	-53%
CHaSS	**166**	**183**	**279**	**204**	**-5**	**-3%**
ENGL	**47**	**49**	**50**	**43**	**-6**	**-12%**
MA	24	1			-13	-100%
MS	12	32	33	26	0	1%
MTC	1	13	12	10	1	15%
PHD	10	3	5	7	1	17%
POLS	**11**	**14**	**10**	**10**	**-2**	**-14%**
MA	7	7	7	4	-3	-43%
MS	4	7	3	6	1	29%
EDUC	**906**	**968**	**989**	**903**	**-51**	**-5%**
CDDE	**235**	**264**	**238**	**193**	**-53**	**-21%**
AUD	42	54	48	38	-10	-21%
MA	96	5			-51	-100%
MA/MS		186	171	137	-42	-23%
MED	6	17	19	18	4	29%
MS	91	2			-47	-100%
ITLS	**75**	**62**	**76**	**61**	**-10**	**-14%**
MA			22	24	2	9%
MED	6	12	13	14	4	35%
MLTID	17	19			-18	-100%
MS	28	16	16	9	-11	-55%
PHD	24	15	25	14	-7	-34%
KAHS	**68**	**62**	**56**	**51**	**-11**	**-18%**
MED	20	12	17	21	5	29%
MFP	3	1	8	2	-2	-50%
MHP	12	5	4		-7	-100%
MS	33	44	27	28	-7	-19%

	2014-15	2015-16	2016-17	2017-18	2017-18 vs 2014-17 #	2017-18 vs 2014-17 %
ENG	**715**	**626**	**482**	**407**	**-201**	**-33%**
BENG	**43**	**22**	**28**	**15**	**-16**	**-52%**
MS	28	10	15	8	-10	-55%
PHD	15	12	13	7	-6	-48%
CEE	**152**	**146**	**116**	**110**	**-28**	**-20%**
ME	19	17	29	29	7	34%
MS	81	96	54	44	-33	-43%
PHD	52	33	33	37	-2	-6%
CS	**209**	**163**	**109**	**119**	**-41**	**-26%**
MCS		4	1	1	-2	-60%
MS	181	142	89	99	-38	-28%
PHD	28	17	19	19	-2	-11%
ECE	**204**	**164**	**126**	**69**	**-96**	**-58%**
ME	15	23	9	11	-5	-30%
MS	122	99	83	40	-61	-61%
PHD	67	42	34	18	-30	-62%
EE	**6**	**11**	**7**	**7**	**-1**	**-13%**
PHD	6	11	7	7	-1	-13%
MAE	**101**	**120**	**96**	**87**	**-19**	**-18%**
ME	5	1			-3	-100%
MS	64	93	67	70	-5	-6%
PHD	32	26	29	17	-12	-41%
NR	**128**	**139**	**156**	**112**	**-29**	**-21%**
ENVS	**29**	**42**	**39**	**20**	**-17**	**-45%**
MS	23	23	17	9	-12	-57%
PHD	6	19	22	11	-5	-30%
MNR	**22**	**22**	**28**	**16**	**-8**	**-33%**
MNR	22	22	28	16	-8	-33%
WILD	**41**	**40**	**49**	**39**	**-4**	**-10%**
MS	27	27	35	24	-6	-19%
PHD	14	13	14	15	1	10%
SCI	**243**	**281**	**286**	**270**	**0**	**0%**
GEOL	**69**	**67**	**68**	**58**	**-10**	**-15%**
MS	63	57	50	45	-12	-21%
PHD	6	10	18	13	2	15%

D

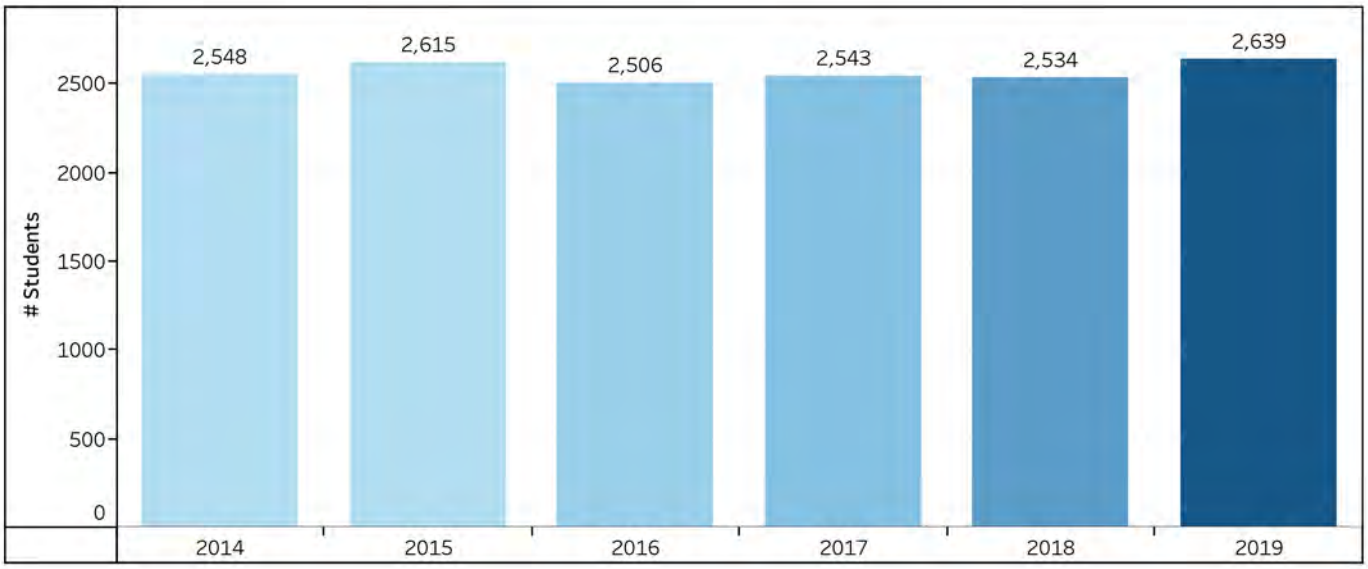
APPENDIX

Degree-Seeking Graduate Enrollment: Fall Semester



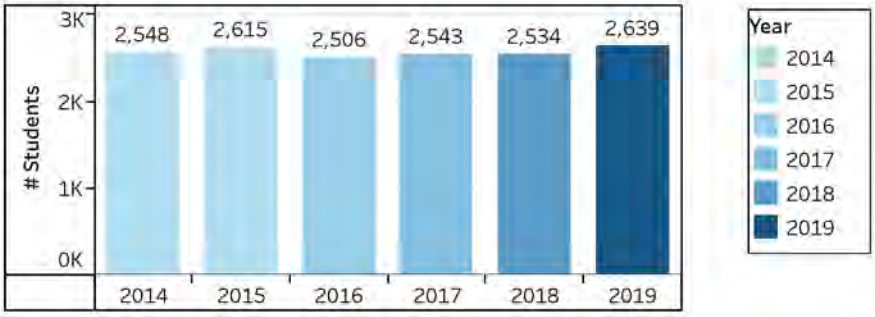
Country of origin, Fall 2019

Total Enrollment of Degree-Seeking Graduate Students

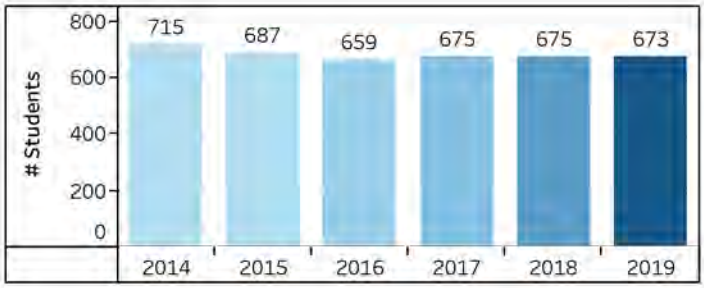


Fall Enrollment: Degree-Seeking Graduate Students (Banner data)

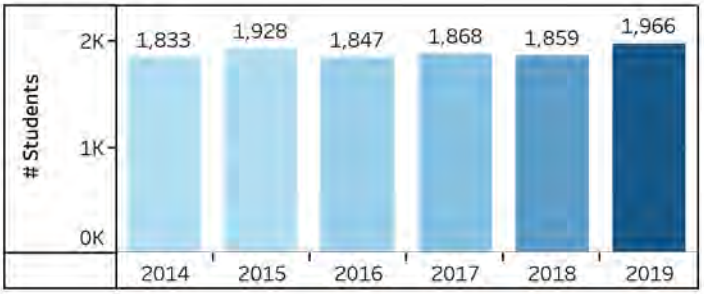
All Degree-Seeking



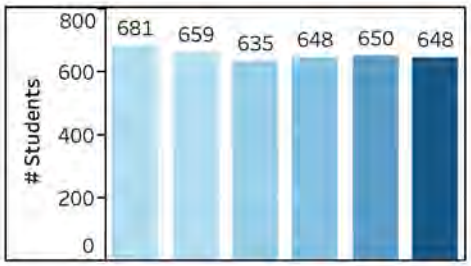
All Doctoral



All Master's



PhD



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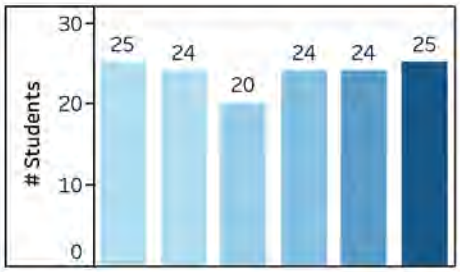
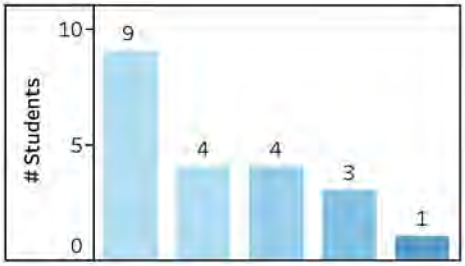
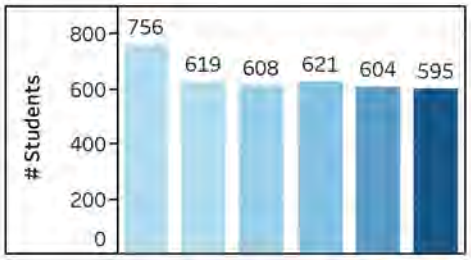


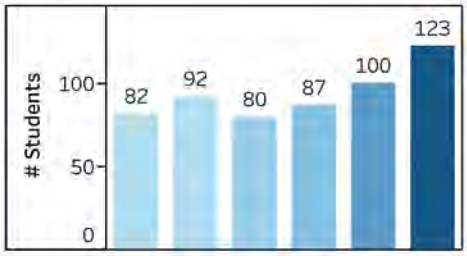
EdD



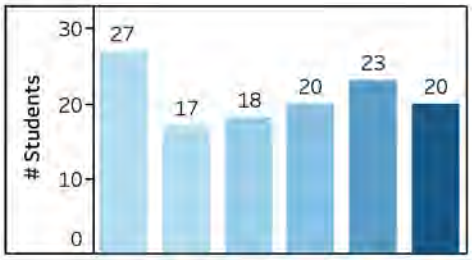
MS



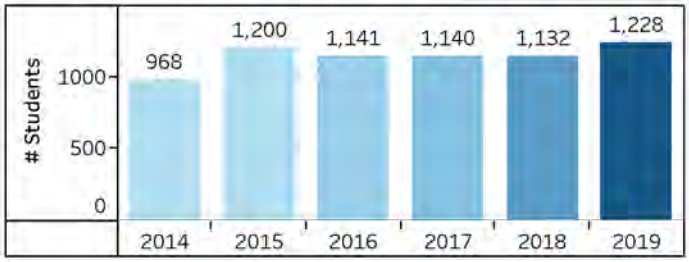
MA



MFA



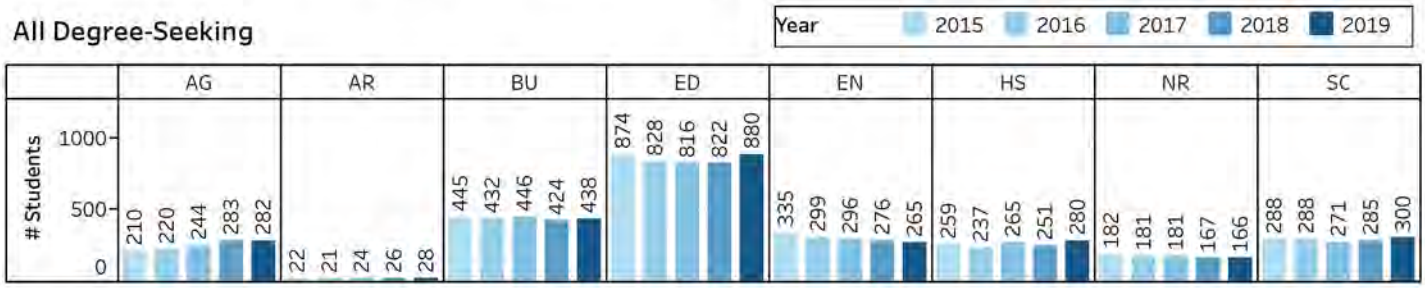
Professional Master's



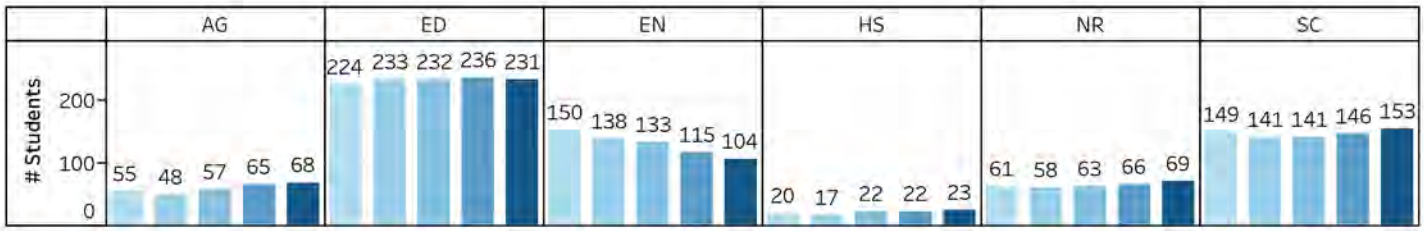
Note: these data, pulled from Banner Warehouse on 9/12/19, are slightly different from the day 15 data reported by AAA, because they include changes to enrollment after that date.

Fall Enrollment: Degree Type & College

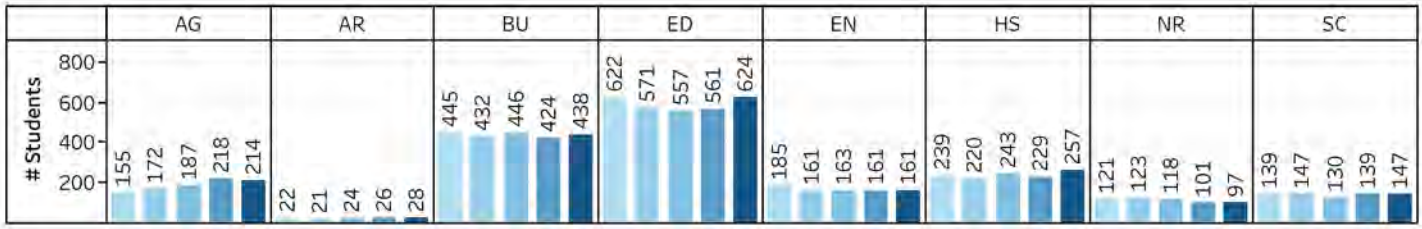
All Degree-Seeking



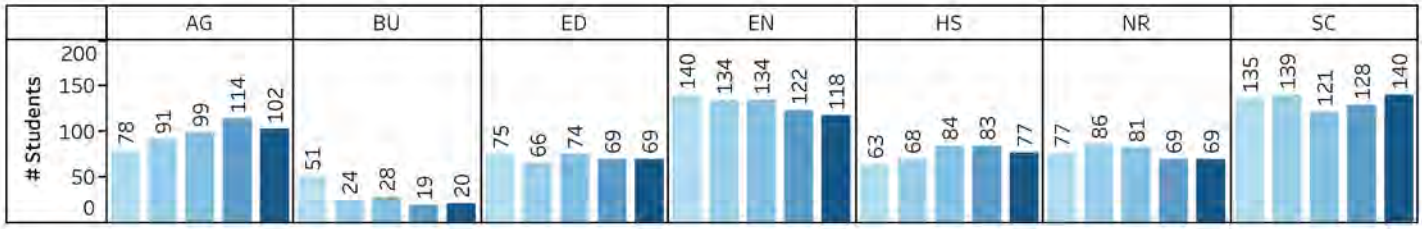
PhD



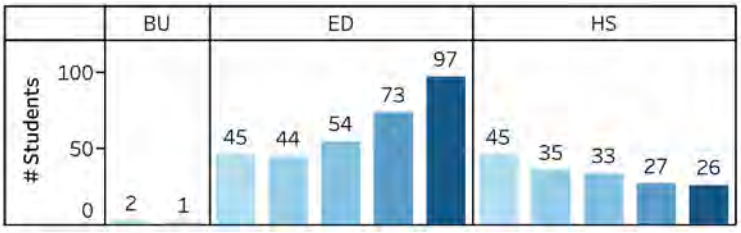
All Master's



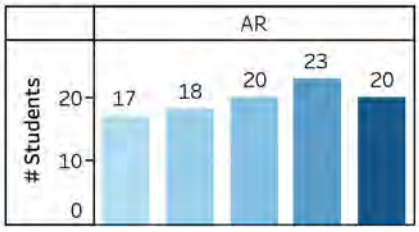
MS



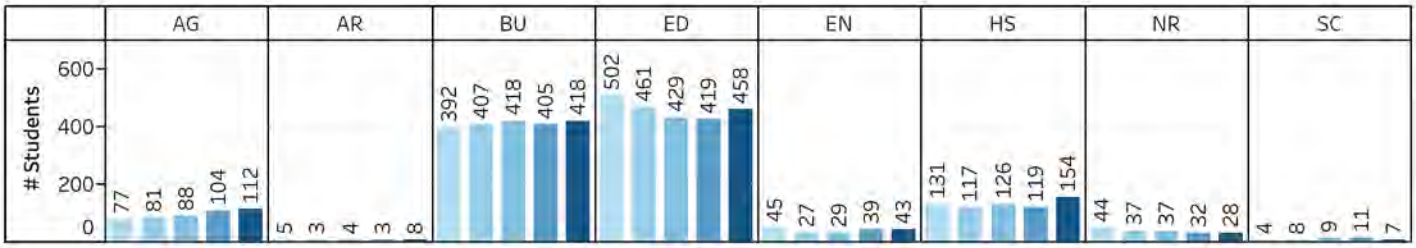
MA



MFA

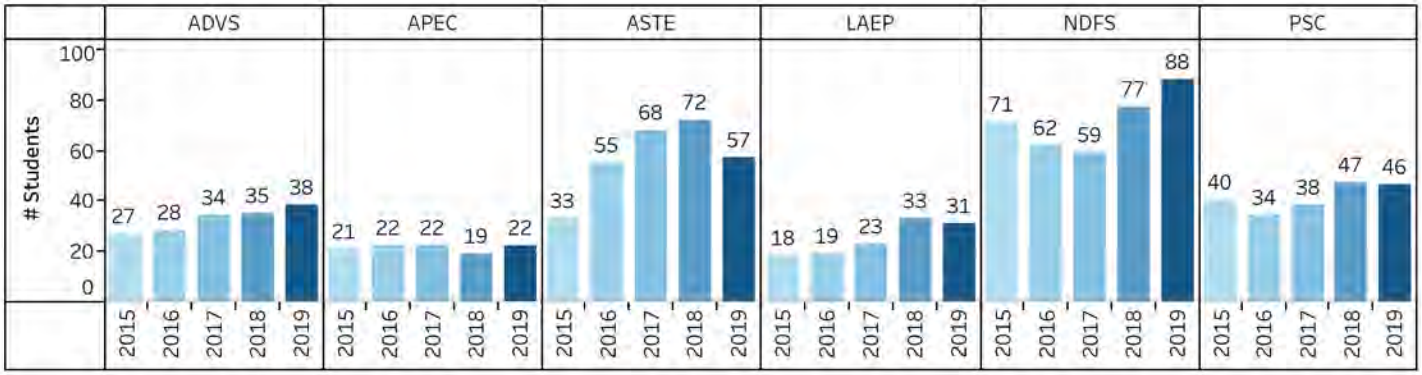


Professional Master's

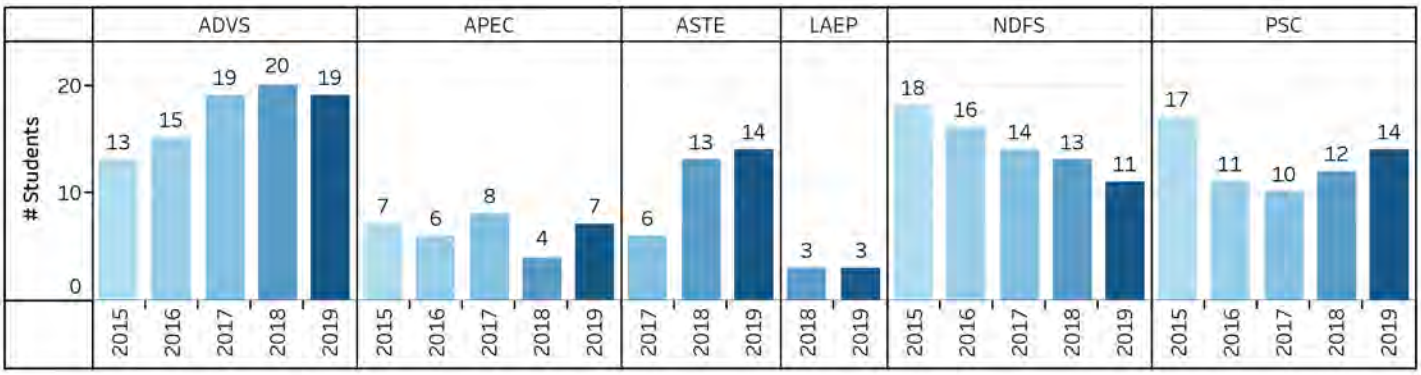


College of Agriculture & Applied Science: Fall Enrollment (Banner)

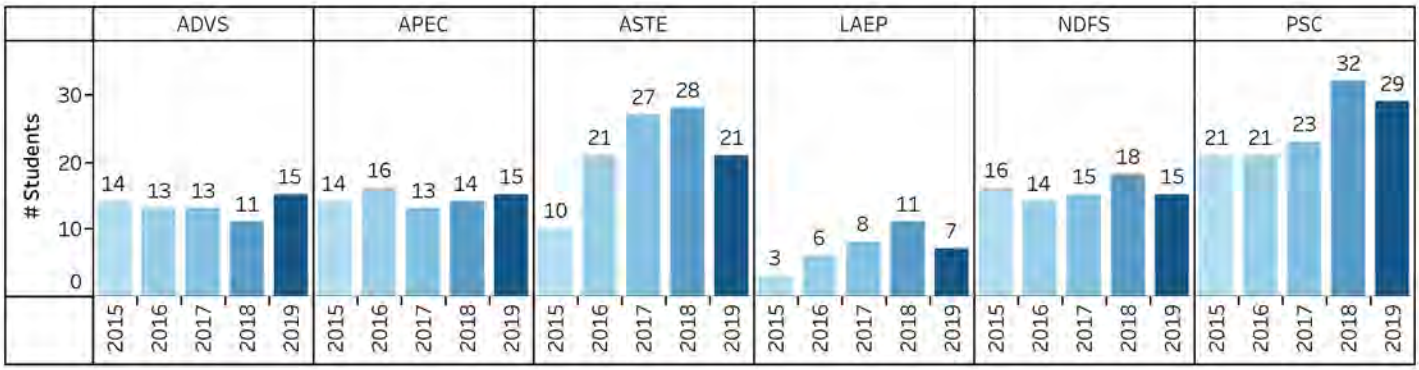
All Degree-Seeking



PhD



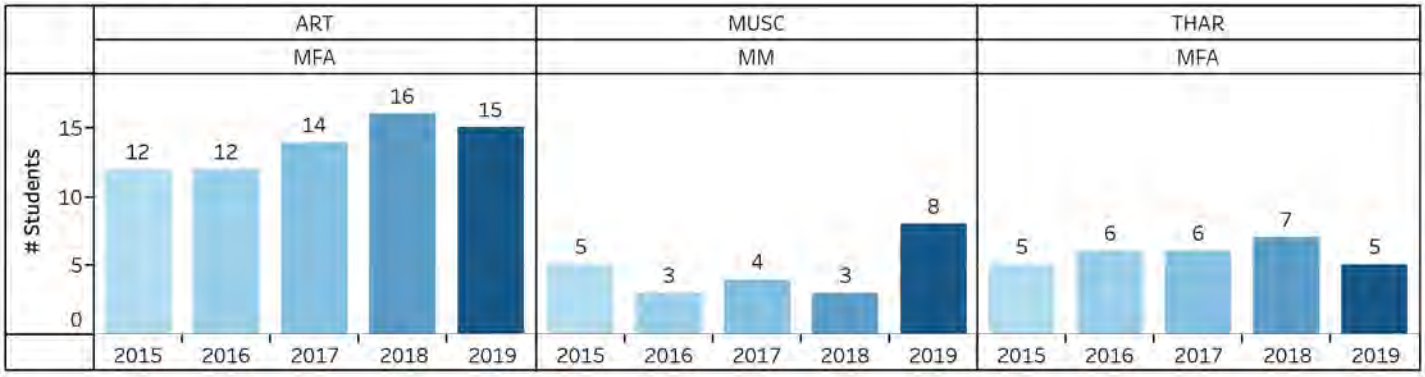
MS



Professional Master's

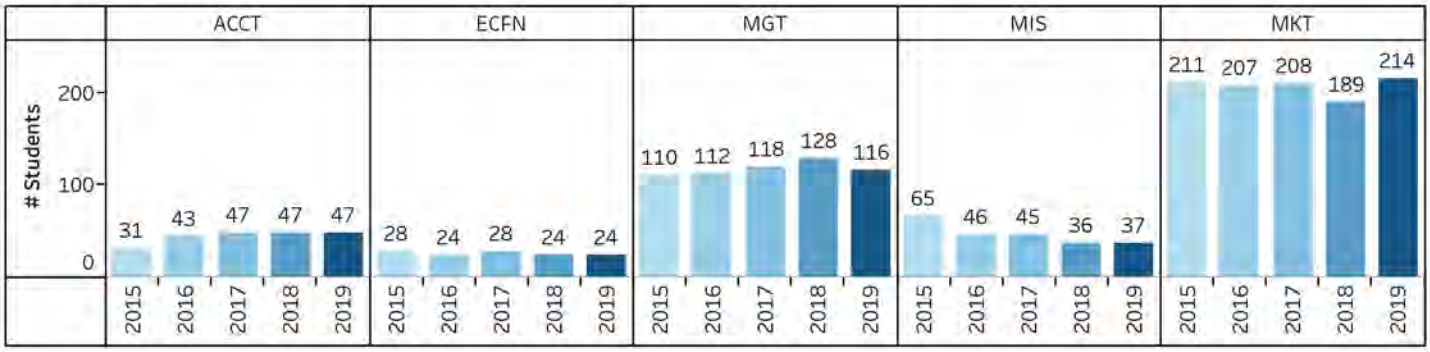
Caine College of Arts: Fall Enrollment (Banner)

All Degree-Seeking



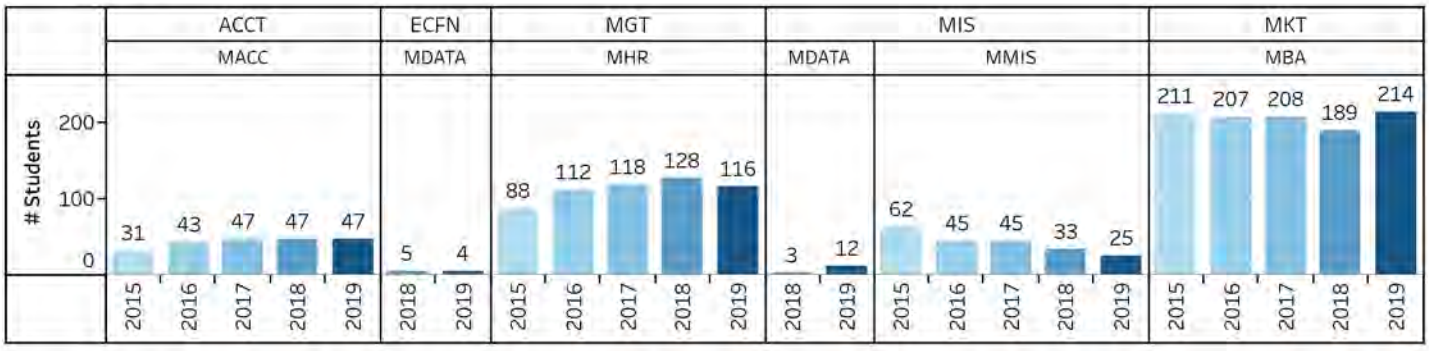
Huntsman School of Business: Fall Enrollment (Banner)

All Degree-Seeking



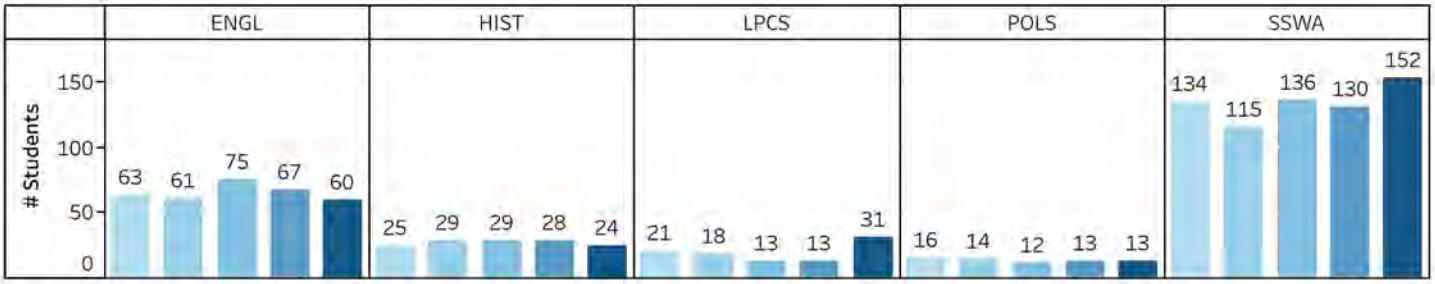
MS

Professional Master's

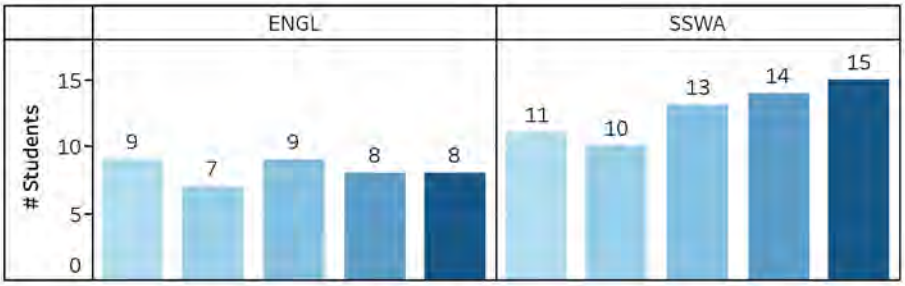


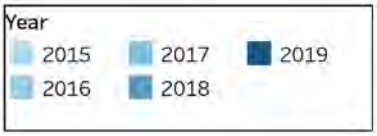
College of Humanities & Social Sciences: Fall Enrollment (Banner)

All Degree-Seeking



PhD





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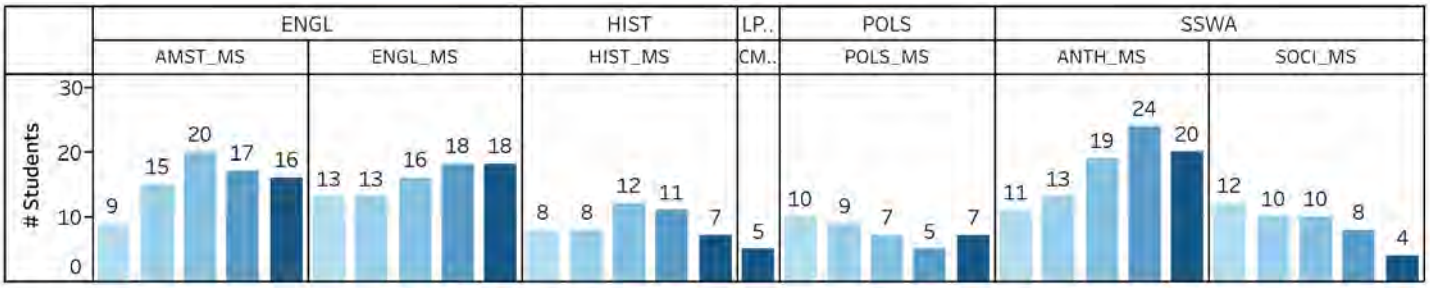

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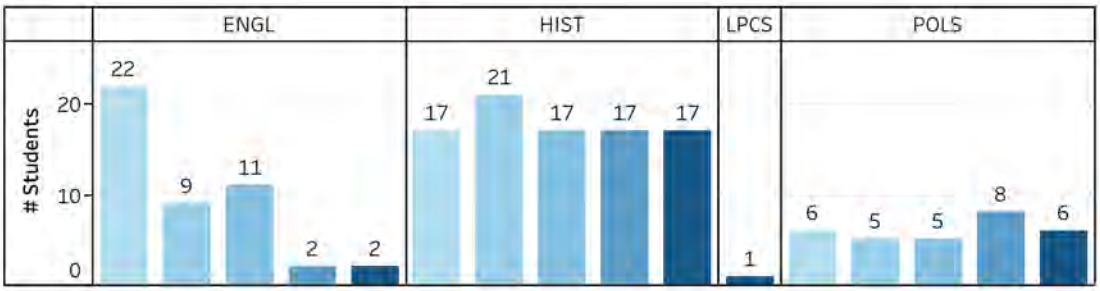
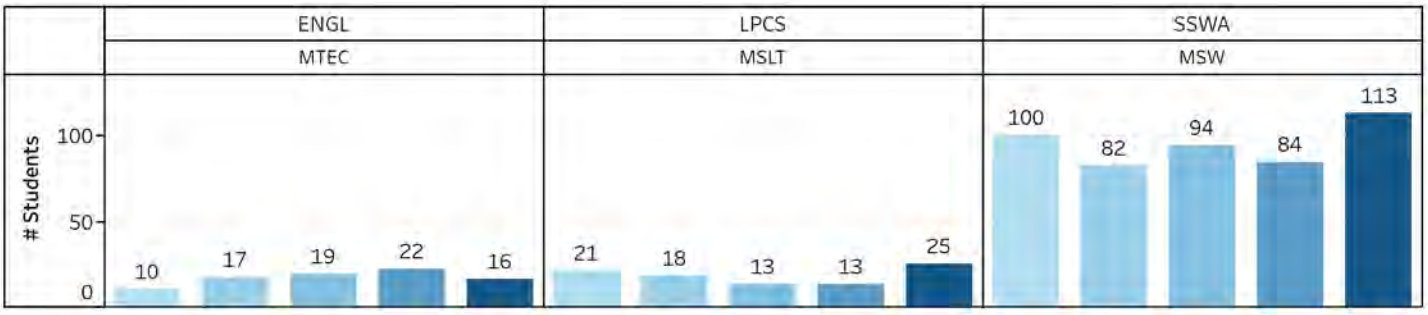
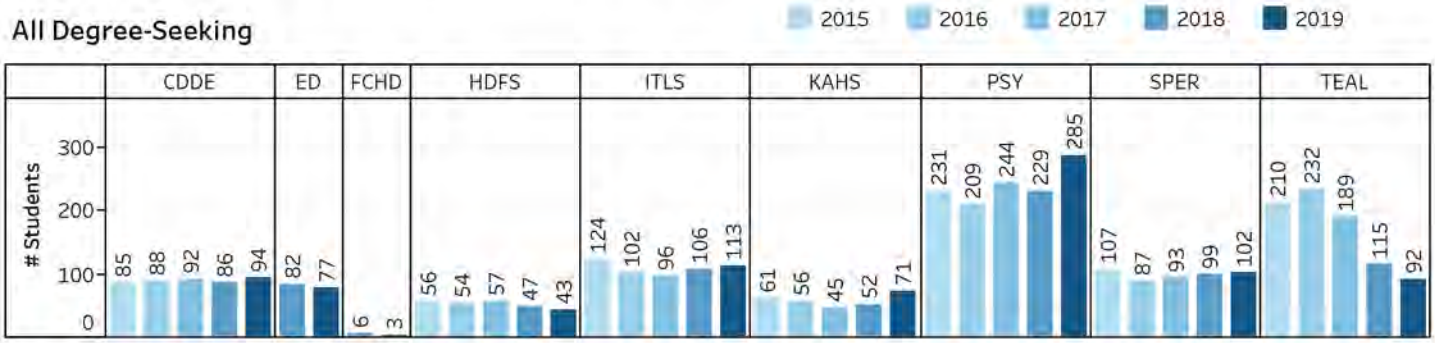


Professional Master's

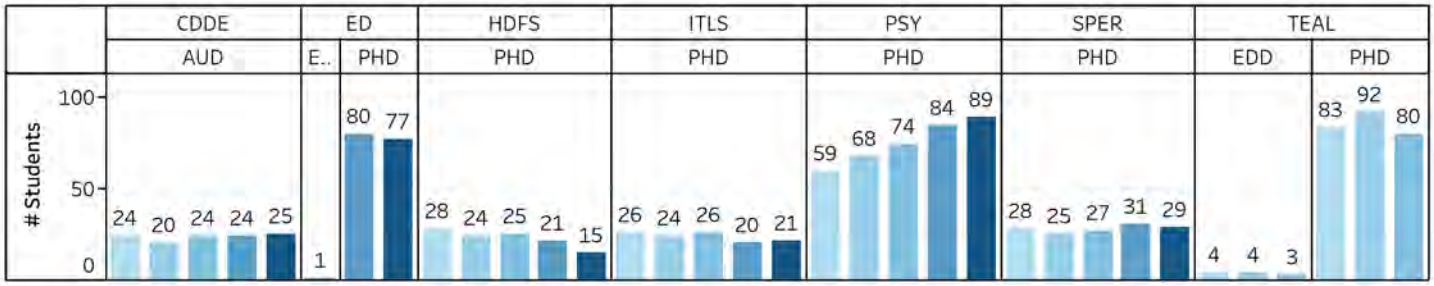


College of Education & Human Services: Fall Enrollment (Banner)

All Degree-Seeking



Doctoral



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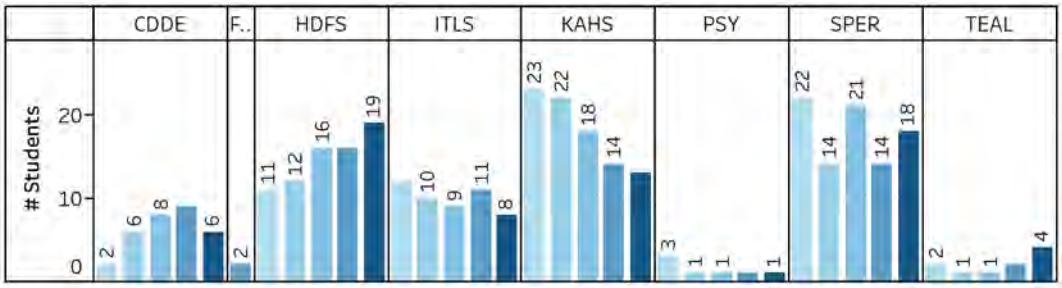

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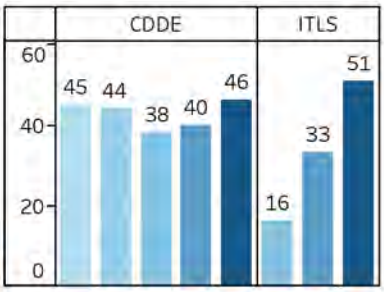
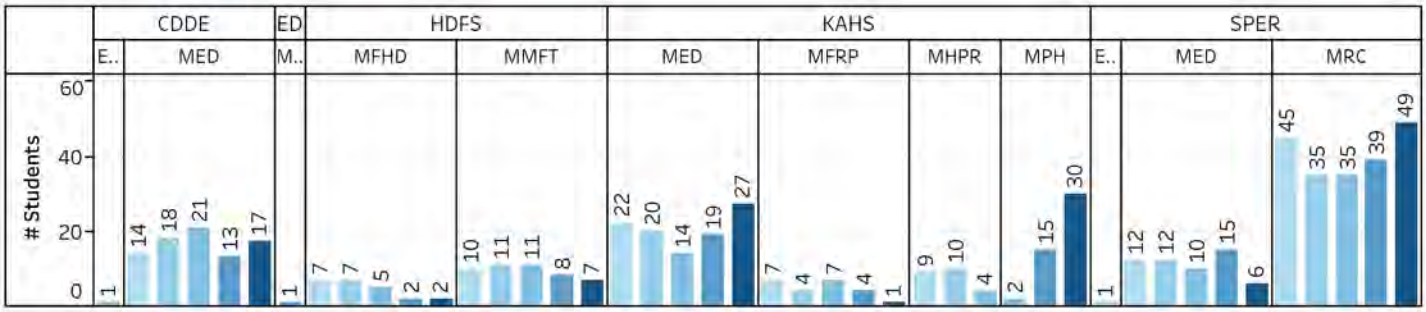
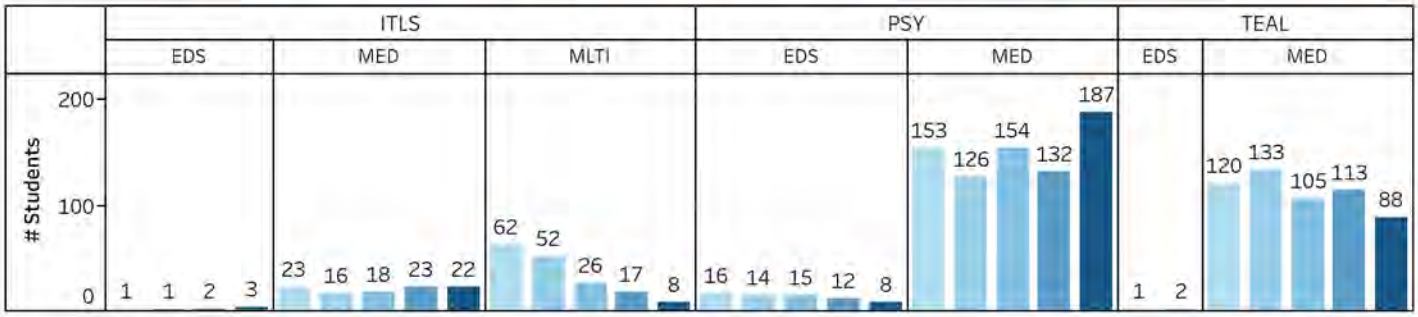


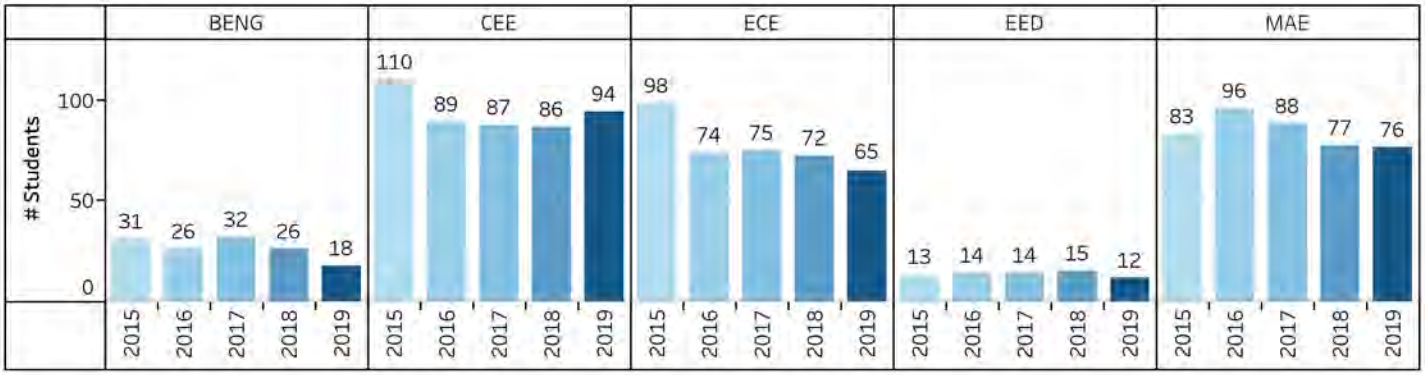
Professional Master's



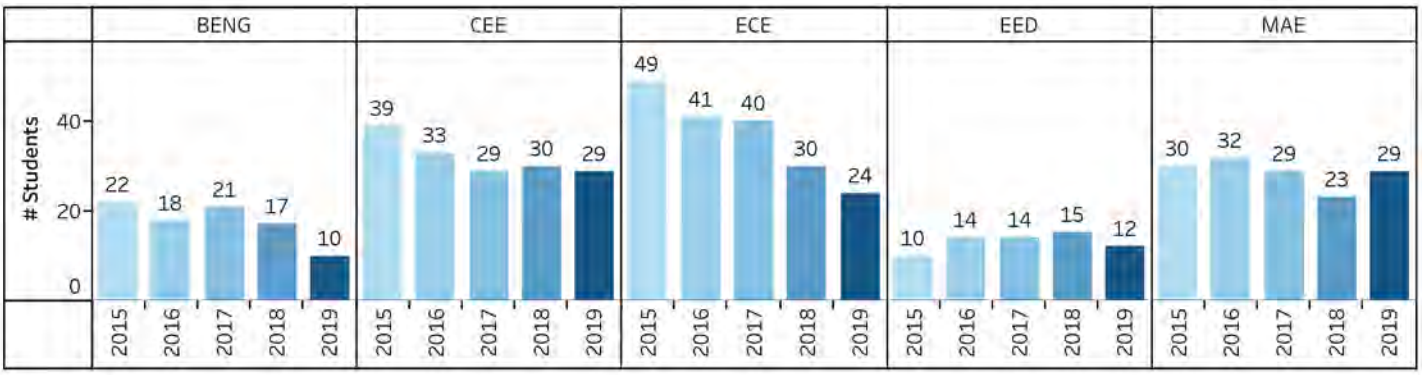


College of Engineering: Fall Enrollment (Banner)

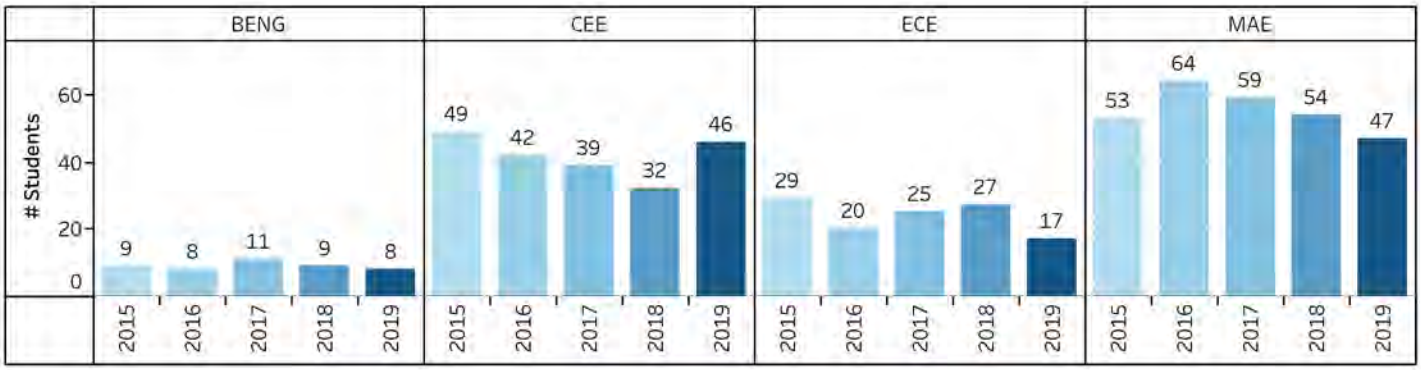
All Degree-Seeking



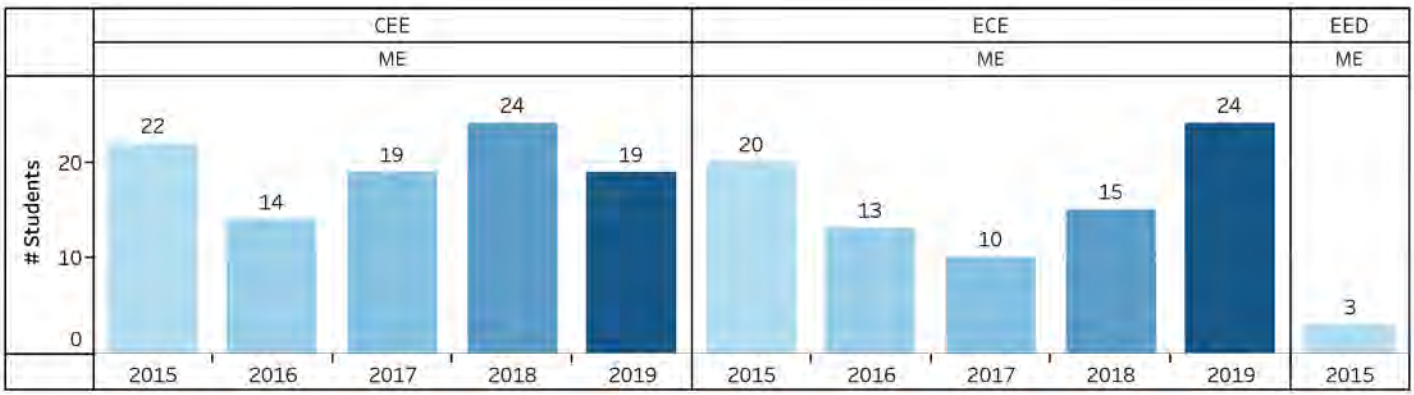
PhD



MS

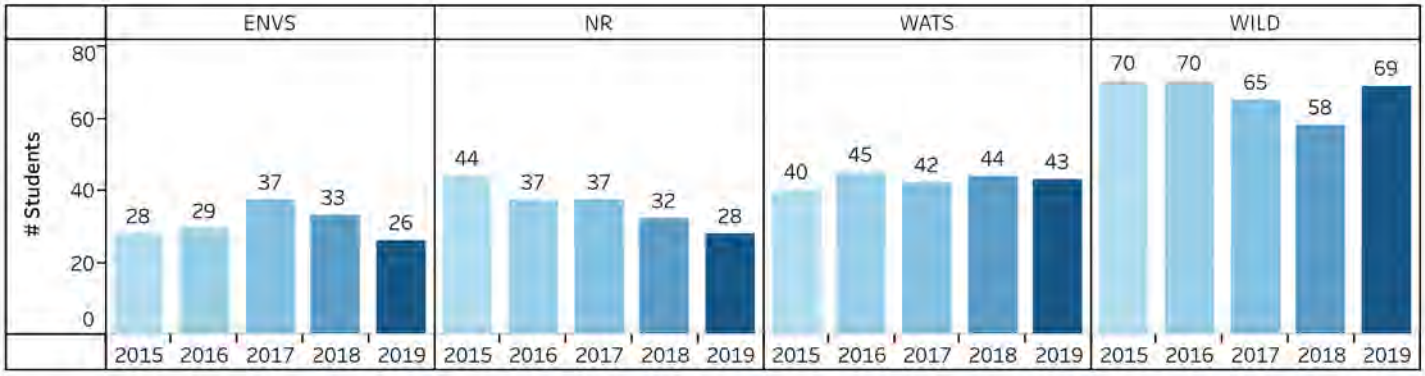


Professional Master's



College of Natural Resources: Fall Enrollment (Banner)

All Degree-Seeking



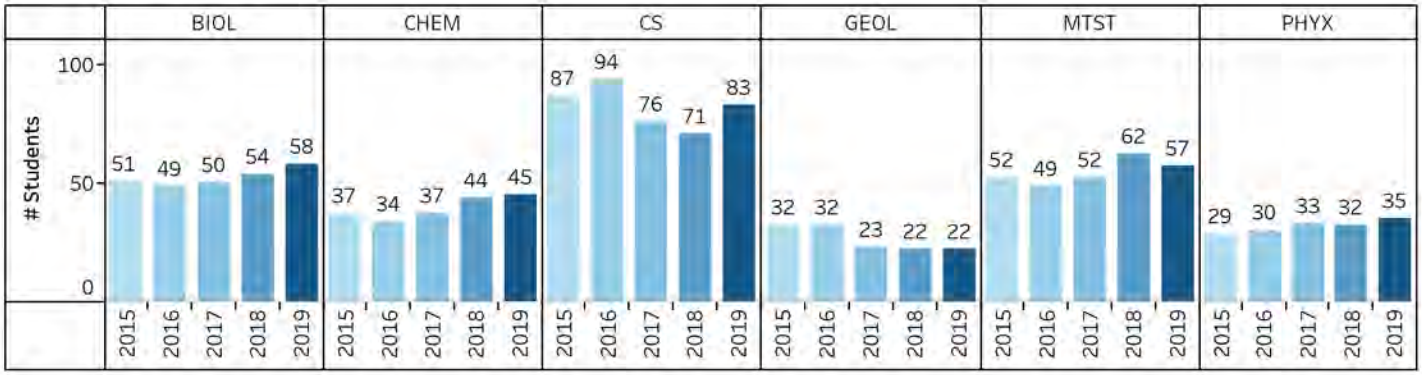
PhD

MS

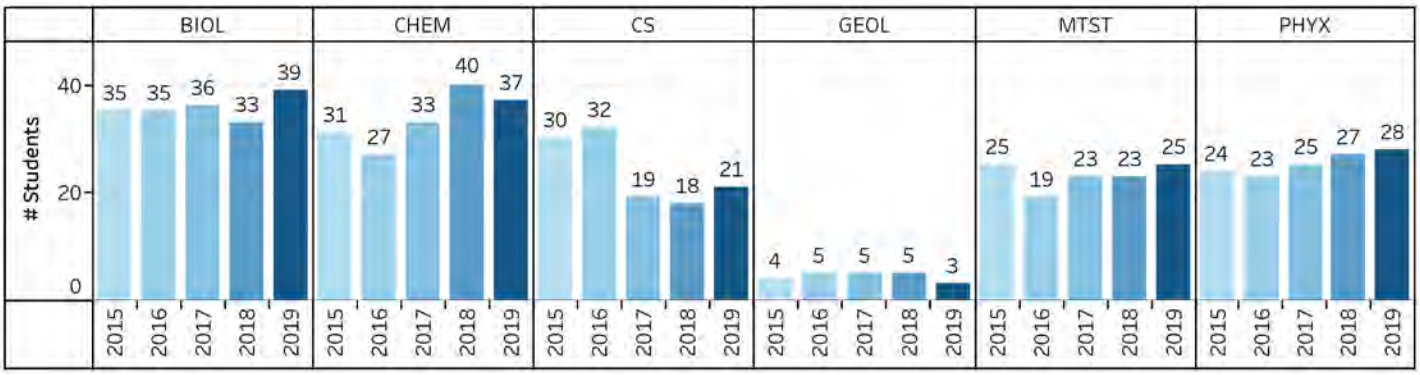
Professional Master's

College of Science: Fall Enrollment (Banner)

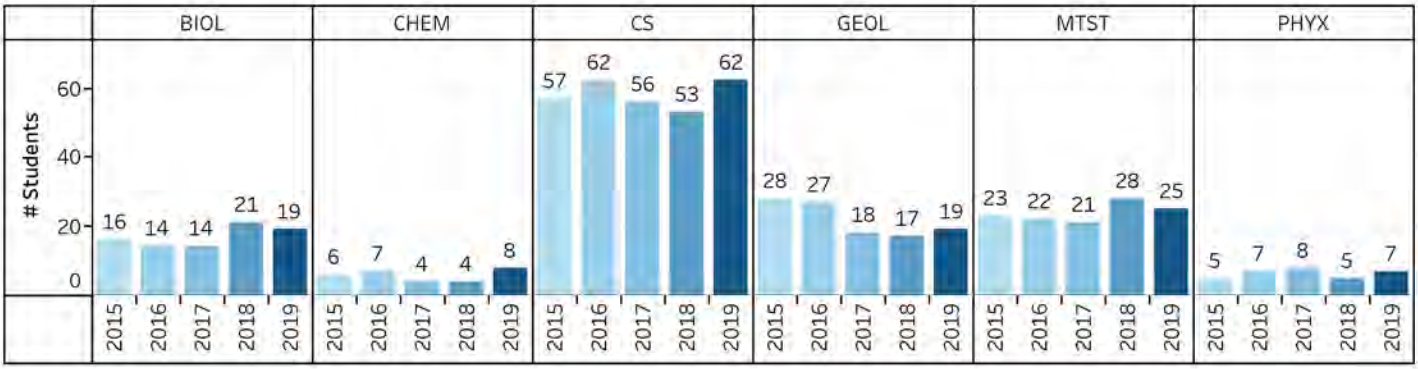
All Degree-Seeking



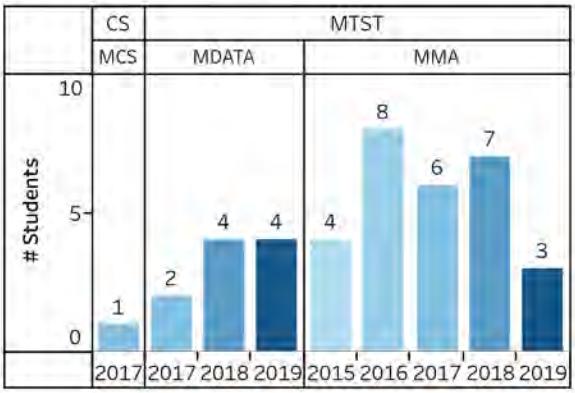
PhD



MS



Professional Master's



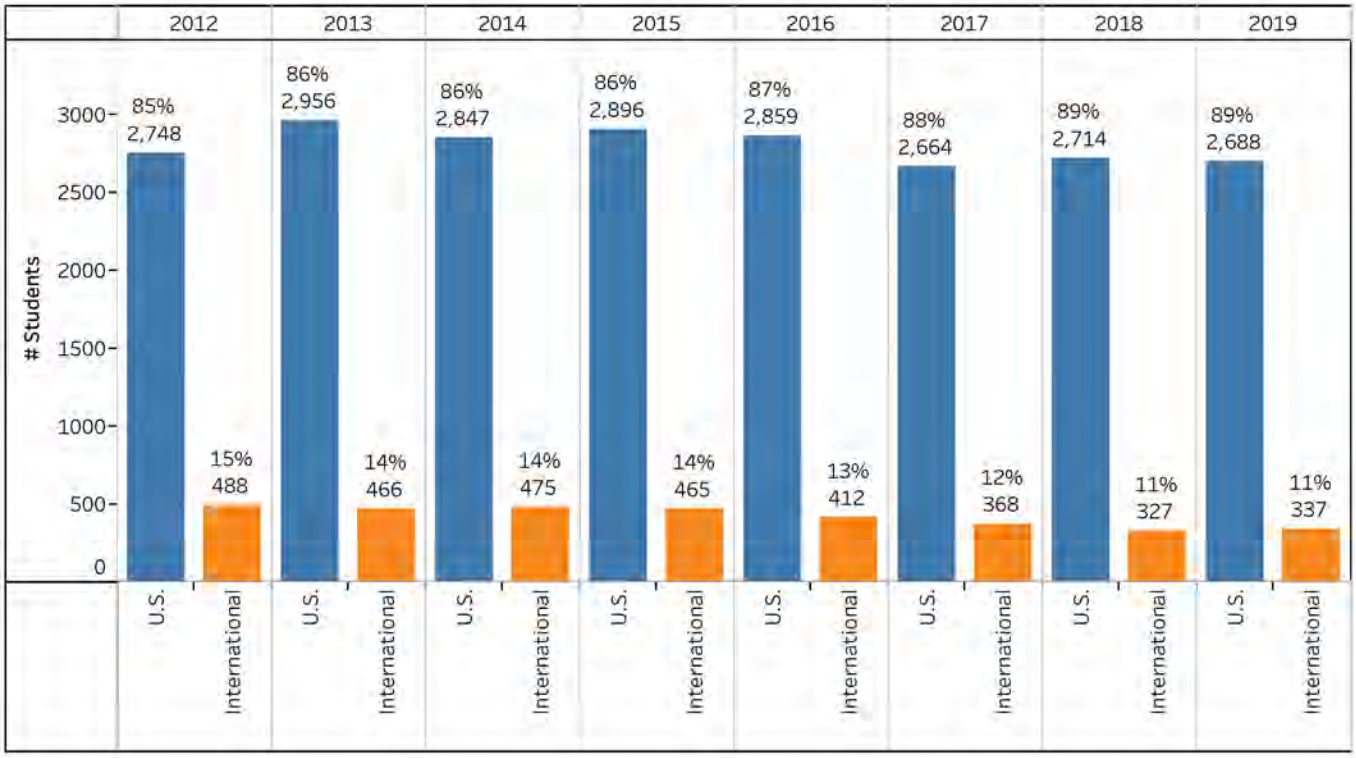
Graduate Enrollment: Domestic vs International (Banner)

Citizenship: #'s

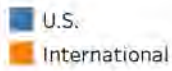
Year	International	Permanent Resident	Res Alien/Other Non-Citizen	U.S.	Undocumented
2012	338	15	135	2,748	
2013	300	21	145	2,956	
2014	300	34	141	2,847	
2015	284	45	136	2,896	
2016	260	41	111	2,859	
2017	256	28	84	2,664	
2018	207	40	80	2,714	
2019	237	45	53	2,688	1

Citizenship: %'s

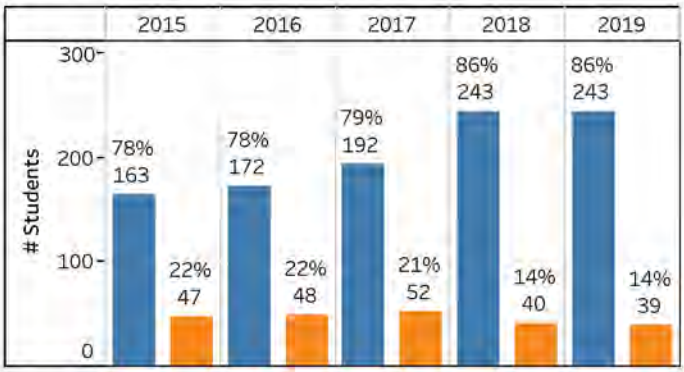
Year	International	Permanent Resident	Res Alien/Other Non-Citizen	U.S.	Undocumented
2012	10.4%	0.5%	4.2%	84.9%	
2013	8.8%	0.6%	4.2%	86.4%	
2014	9.0%	1.0%	4.2%	85.7%	
2015	8.4%	1.3%	4.0%	86.2%	
2016	7.9%	1.3%	3.4%	87.4%	
2017	8.4%	0.9%	2.8%	87.9%	
2018	6.8%	1.3%	2.6%	89.2%	
2019	7.8%	1.5%	1.8%	88.9%	0.0%



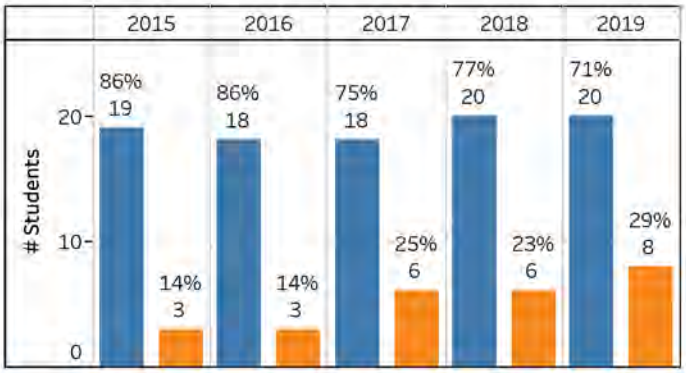
Citizenship: Fall Enrollment (Banner)



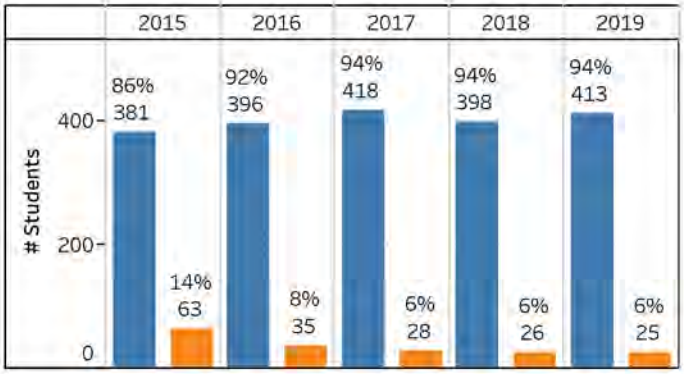
College of Agriculture & Applied Science



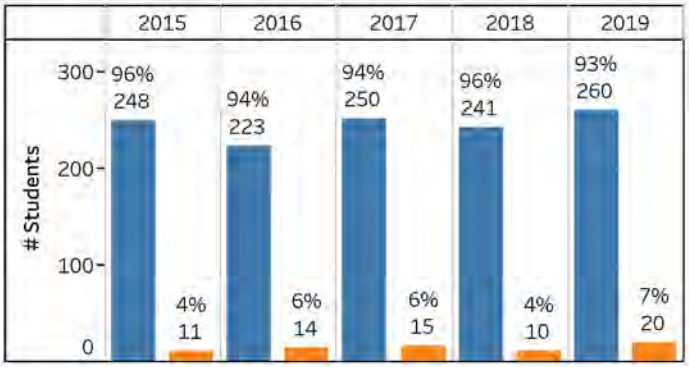
Caine College of Arts



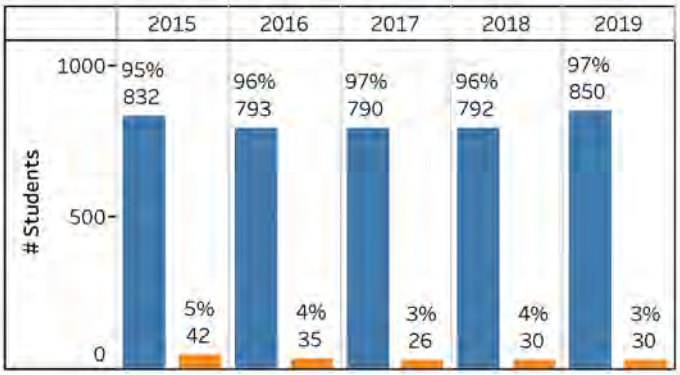
Huntsman School of Business



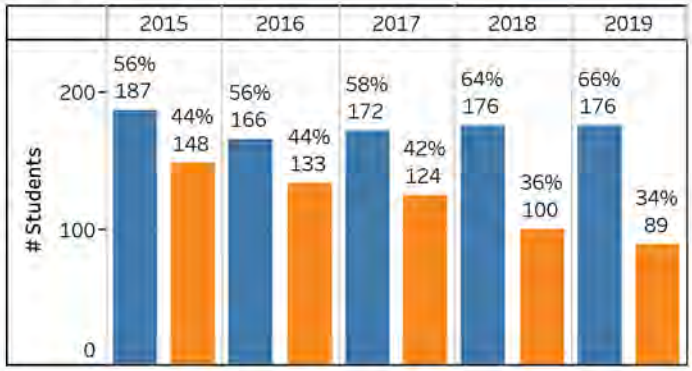
College of Humanities & Social Sciences



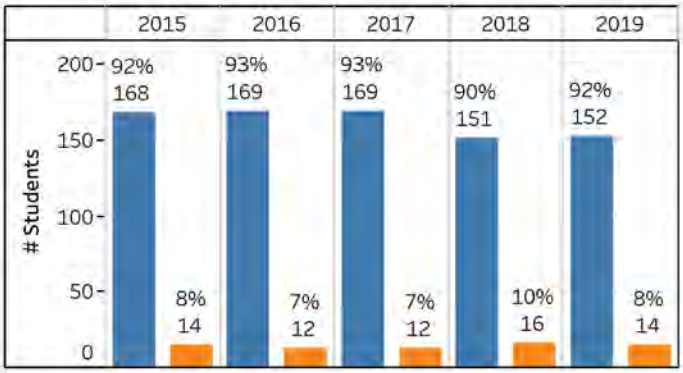
College of Education & Human Services



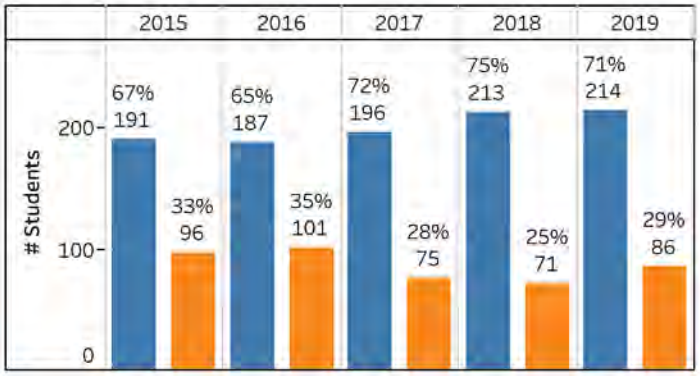
College of Engineering



College of Natural Resources



College of Science



Degree-Seeking Graduate Students (Fall, Banner)

International Students

2013	2014	2015	2016	2017	2018	2019
358	383	375	329	284	239	242

Countries Represented

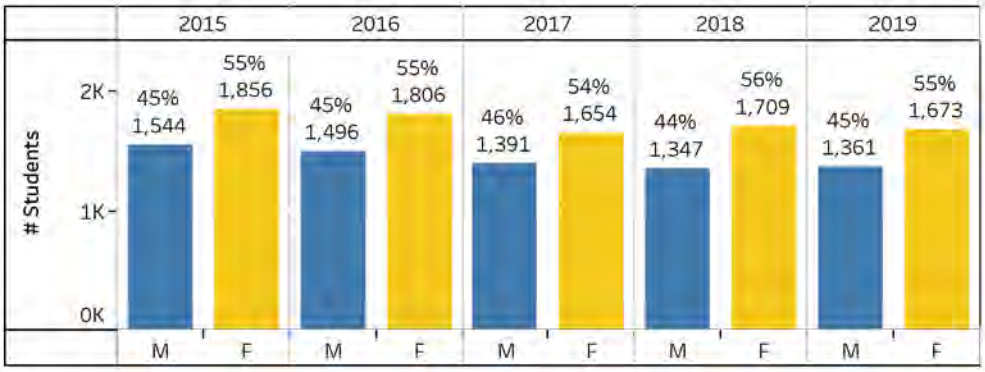
2012	2013	2014	2015	2016	2017	2018	2019
59	58	56	51	47	43	40	40

Most Represented Countries

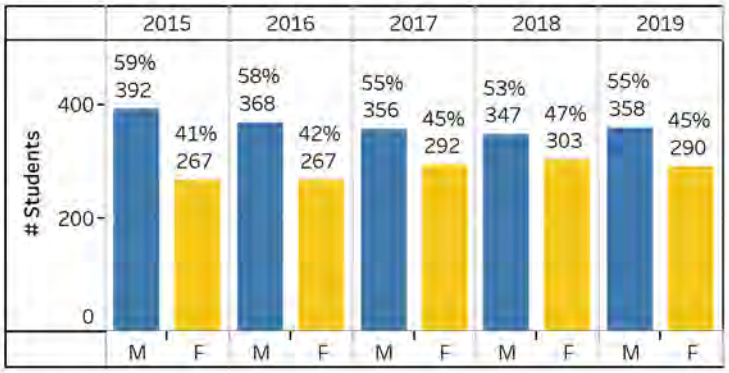
Country Translation	2013	2014	2015	2016	2017	2018	2019
INDIA	82	99	111	89	70	52	49
CHINA	85	93	81	59	57	49	57
IRAN	18	20	21	23	20	17	14
DOMINICAN REPUBLIC	34	22	14	18	17	8	5
BANGLADESH	7	12	13	18	22	18	17
KOREA, SOUTH	17	19	17	17	12	10	9
NEPAL	10	9	14	13	12	12	15
CANADA	9	12	10	9	4	5	5
BRAZIL	5	5	6	5	6	7	5
PAKISTAN	4	5	6	5	4	3	5
PALESTINE	5	5	5	5	5	3	3
VIETNAM	1	4	6	8	3	1	1
COLUMBIA	4	2	2	1	2	5	5
EGYPT	1	3	2	3	4	4	4
JORDAN	6	6	6	2	1		
RUSSIAN FEDERATION	4	3	3	3	1	4	3
GERMANY	2	1	3	4	4	4	2
TURKEY	3	3	2	1	3	4	4
GHANA	5	5	2	3	2	1	1
ARGENTINA		3	3	3	3	3	3
NIGERIA	1	1	3	3	3	3	4
TAIWAN		2	3	3	1	3	5
JAPAN	3	3	1	2	3	1	3
UNITED KINGDOM	3	4	3	3	2		1
SAUDI ARABIA	3	4	2	1	1	1	3
THAILAND	2	2	2	2	2	3	2
IRAQ	2	2	3	2	1	1	
SINGAPORE	1	1	1	2	2	2	2
PERU	2	2	2	1	1	1	1
SERBIA	1	1	2	2	2	1	1
UKRAINE		1	2	2	2	2	1
ETHIOPIA	2	1	2	2	1	1	
INDONESIA	1	2	2	1	1		
EL SALVADOR	1	1	1	1	1	1	
SPAIN	2				1	1	2
SRI LANKA	3		1			1	
UGANDA	1	1			1	1	1
BOTSWANA				1	1	1	1
CAMBODIA			1	1	1		1
MOLDOVA, REPUBLIC OF				1	1	1	1
SLOVAKIA			1	1	1	1	
FRANCE					1	1	
OMAN						1	1
AUSTRALIA						1	
CONGO(BRAZZAVILLE)							1

Gender: Fall Enrollment (Banner)

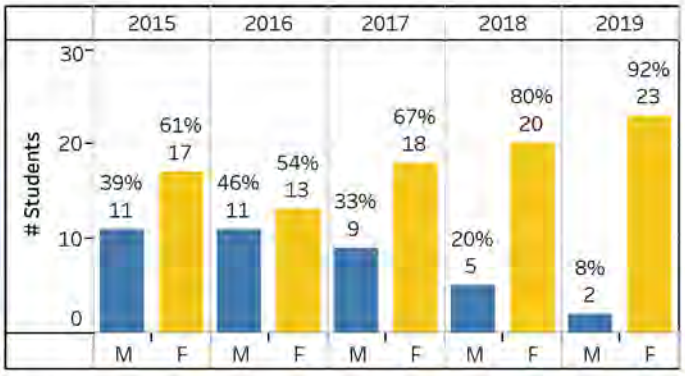
All Degree-Seeking



PhD



AUD, EdD



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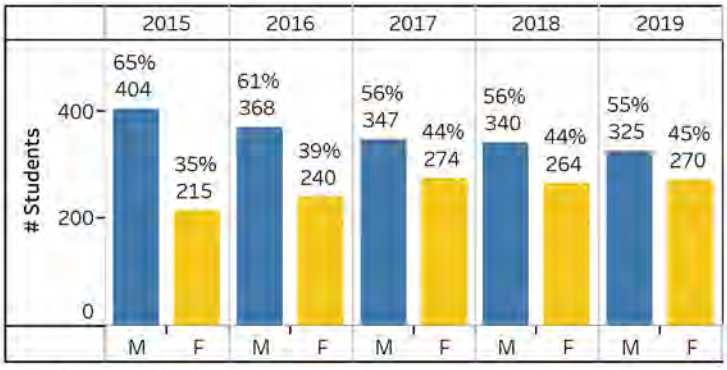
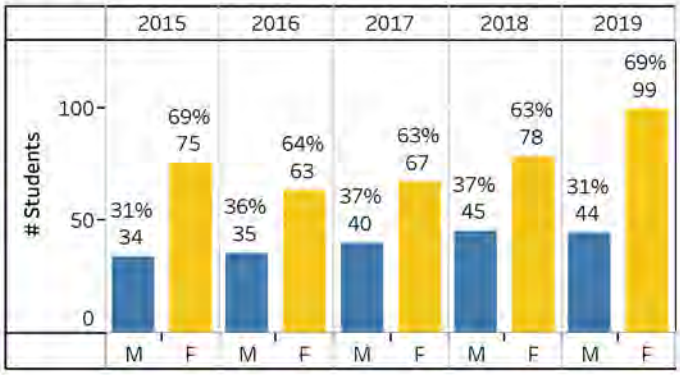
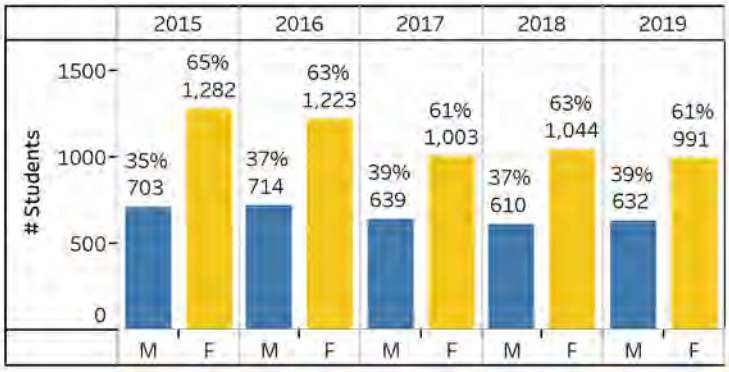


MA, MFA

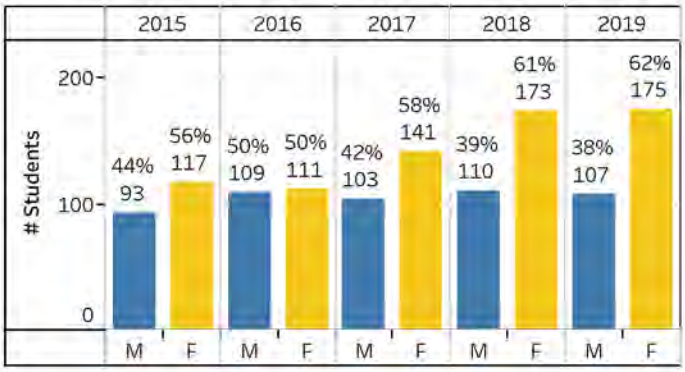


Professional Master's

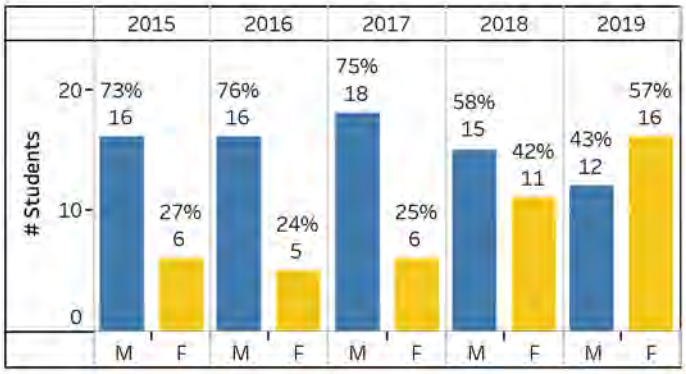


Gender: Fall Enrollment (Banner)

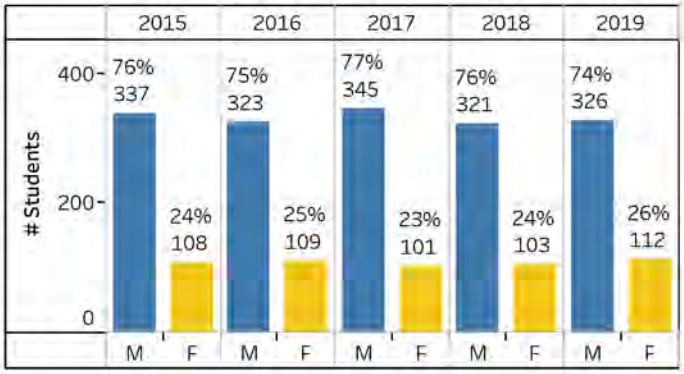
College of Agriculture & Applied Science



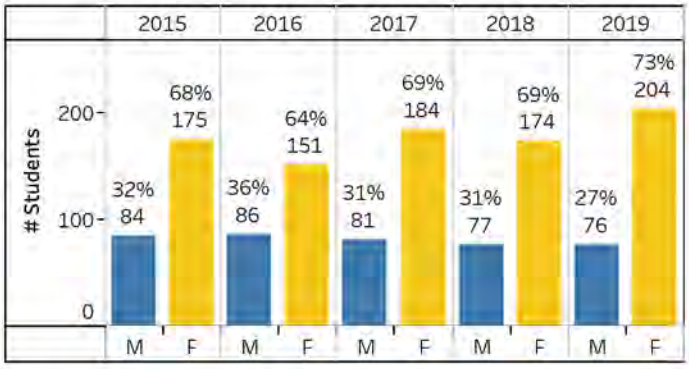
Caine College of Arts



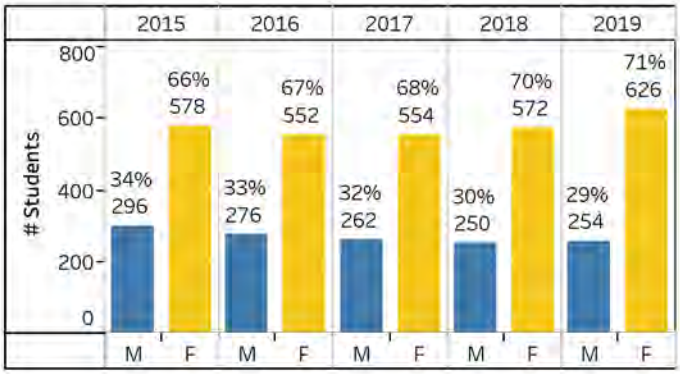
Huntsman School of Business



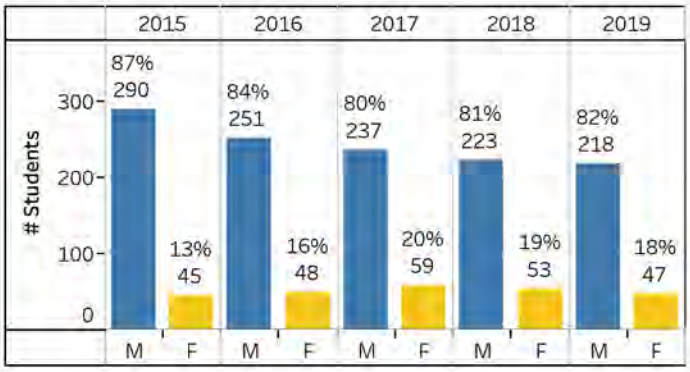
College of Humanities & Social Sciences



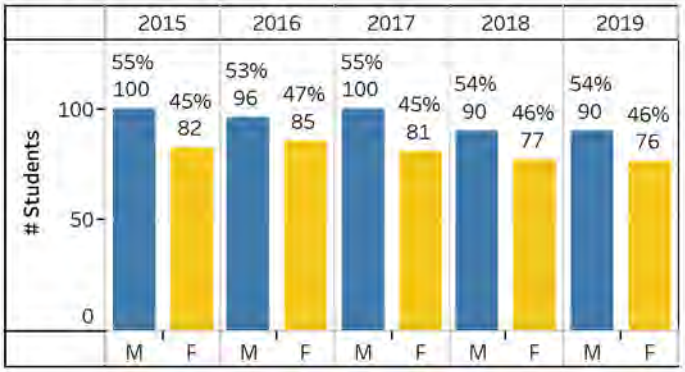
College of Education & Human Services



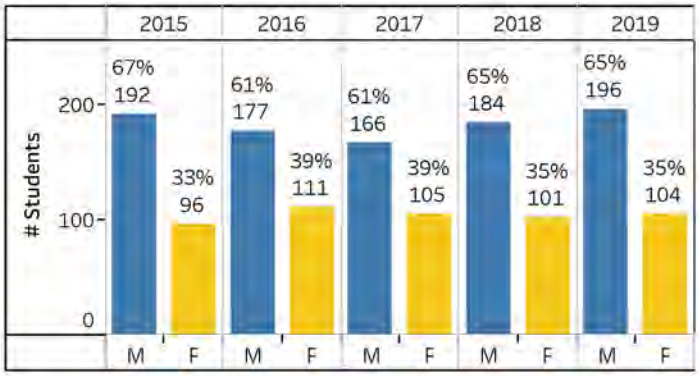
College of Engineering



College of Natural Resources

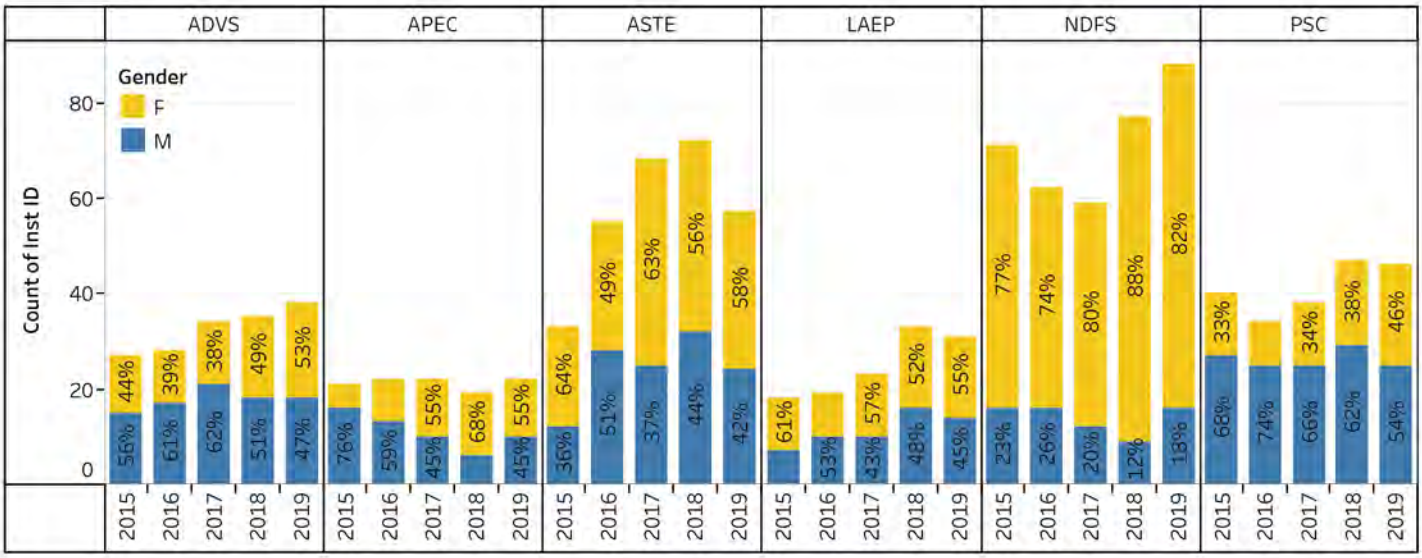


College of Science

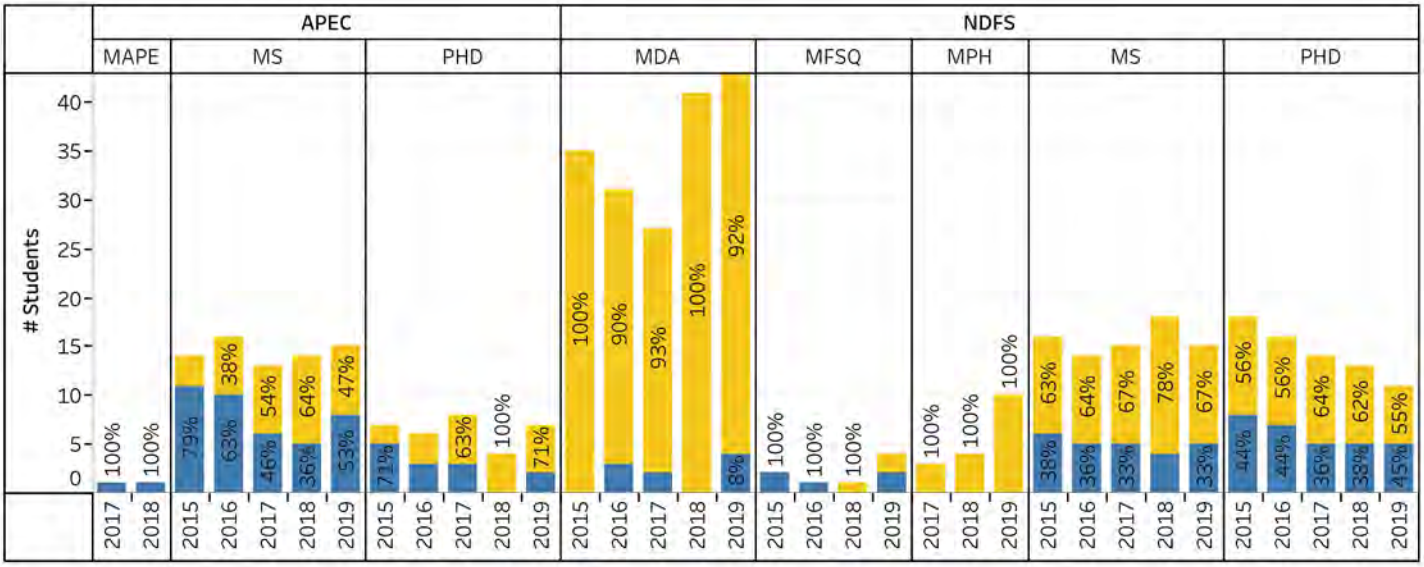


College of Agriculture & Applied Science: Gender by Department

All Departments



Two Departments, by Degree



Degree-Seeking Domestic Graduate Students

Race/ Ethnicity: #'s

Year	American Indian/ Alaskan Native	Asian/Pacific Islander	Black, non_hispanic	Hispanic	Multicultural	Unspecified/ Other	White, non-Hispanic
2015	12	34	16	60	29	40	1,898
2016	11	39	12	49	23	58	1,625
2017	12	33	11	39	19	61	1,451
2018	12	25	6	31	19	62	1,282
2019	18	24	6	30	15	60	1,180

Race/ Ethnicity: %'s

Year	Indian/ Alaskan Native	Asian/Pacific Islander	Black, non_hispanic	Hispanic	Multicultural	Unspecified/ Other	White, non-Hispanic
2015	0.6%	1.6%	0.8%	2.9%	1.4%	1.9%	90.9%
2016	0.6%	2.1%	0.7%	2.7%	1.3%	3.2%	89.4%
2017	0.7%	2.0%	0.7%	2.4%	1.2%	3.8%	89.2%
2018	0.8%	1.7%	0.4%	2.2%	1.3%	4.3%	89.2%
2019	1.4%	1.8%	0.5%	2.3%	1.1%	4.5%	88.5%

E

APPENDIX

Graduate Degrees Awarded

All Graduate Degrees, 10 years 1

Degree Type 2

Degree Type, by Gender 3

Degree Type, by College 4

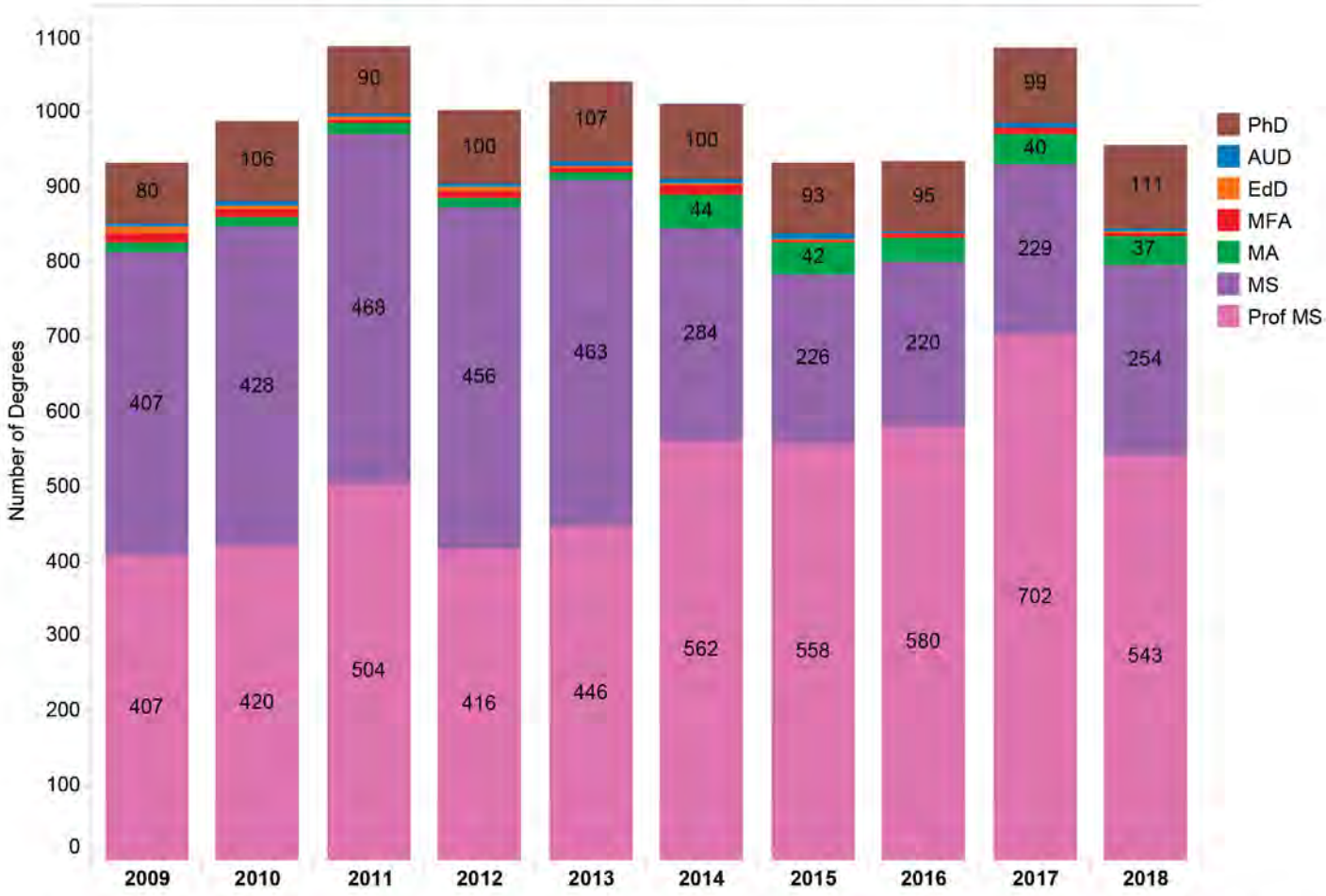
College and Department, by Degree Type

- College of Agriculture and Applied Sciences 5
- Caine College of Arts 5
- Huntsman School of Business 5
- College of Education and Human Services 6
- College of Engineering 7
- College of Humanities and Social Sciences 8
- College of Natural Resources 8
- College of Science 8

Average Years to Degree 9

Data for these summaries are from AAA.

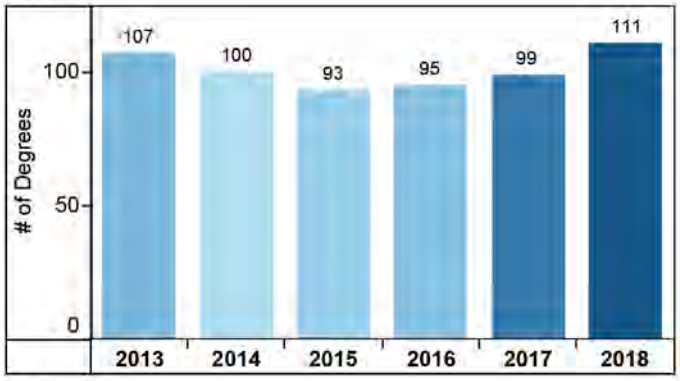
Graduate Degrees Awarded From 2009-10 through 2018-19



Graduate degrees awarded each year over the past 10 years. The drop in the number of MS degrees awarded in 2014-15 was largely the result of the conversion of most MS/C degree programs to Professional Master's programs.

Graduate Degrees Awarded
2013/14 - 2018/19

PhD



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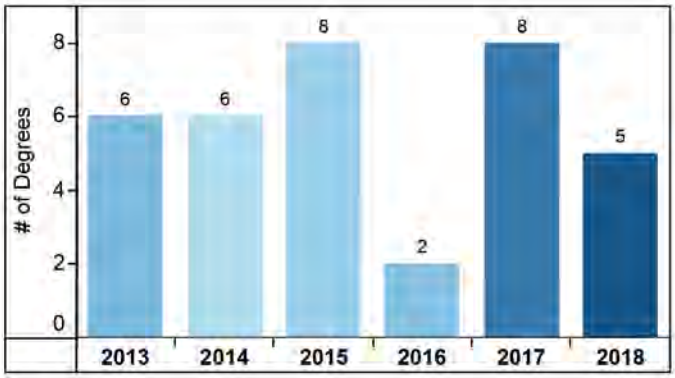
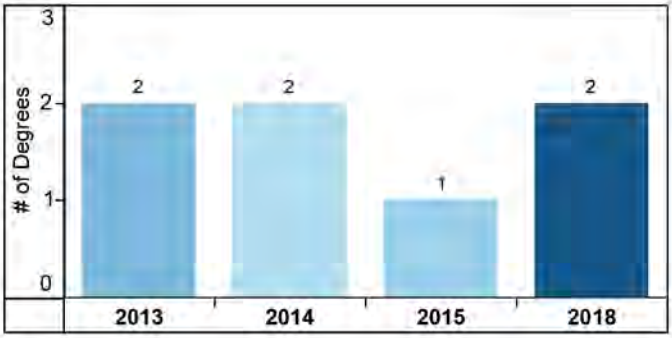
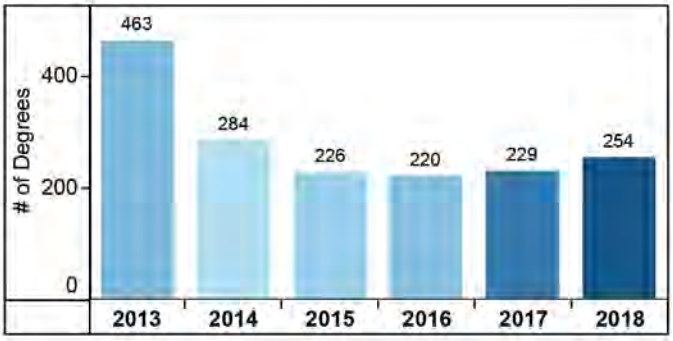


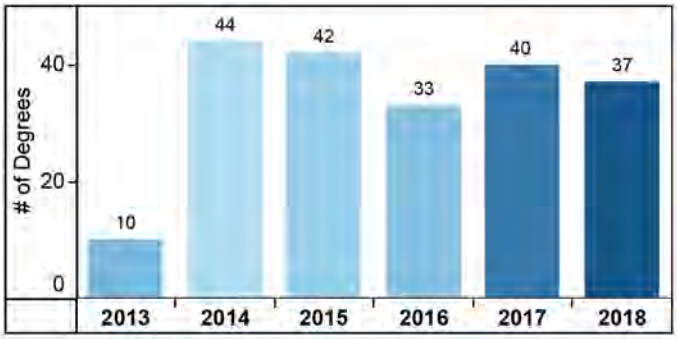
EdD



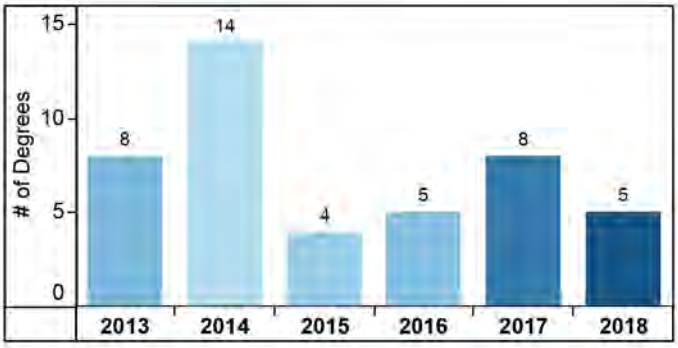
MS



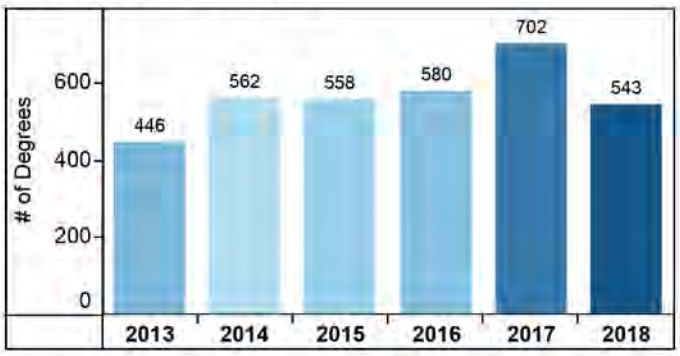
MA



MFA

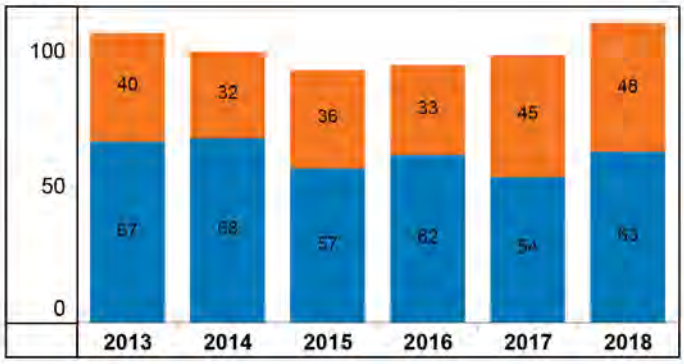


Professional Master's



Graduate Degrees Awarded
2013/14 - 2018/19

PhD



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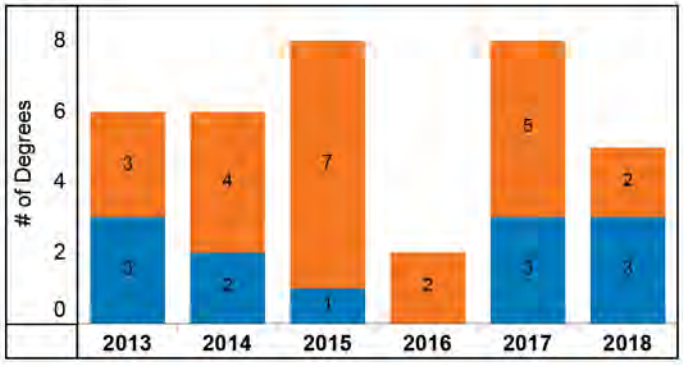
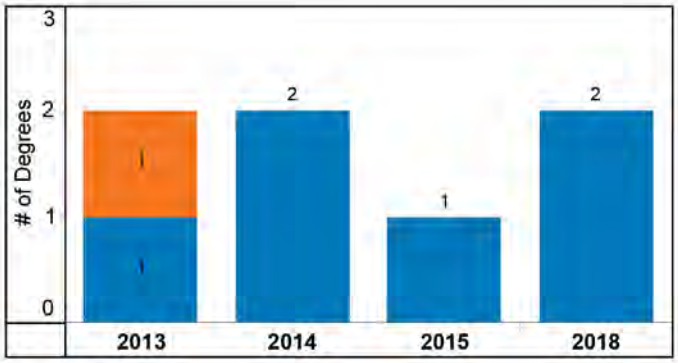
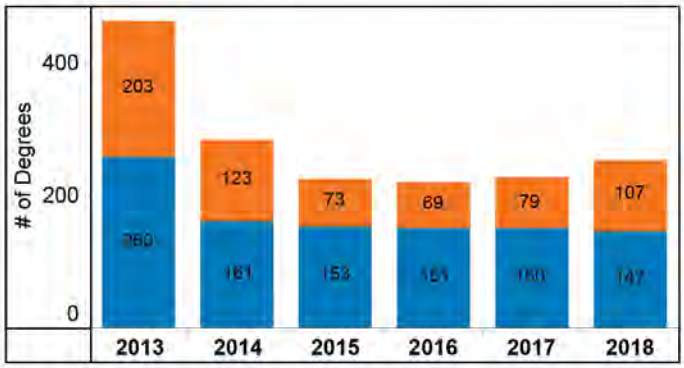


EdD

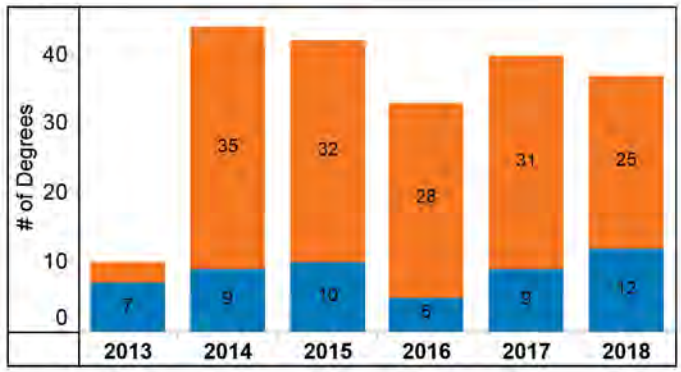


Gender
F
M

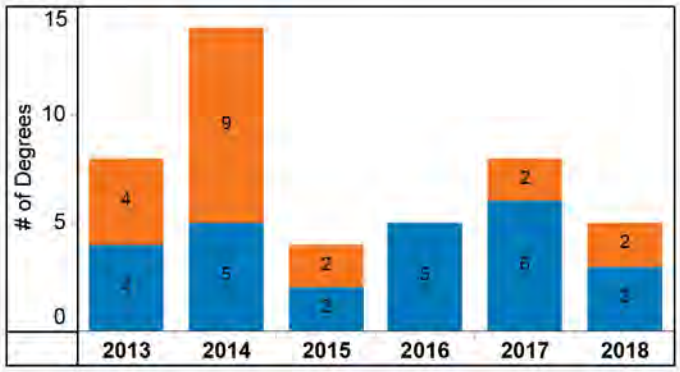
MS



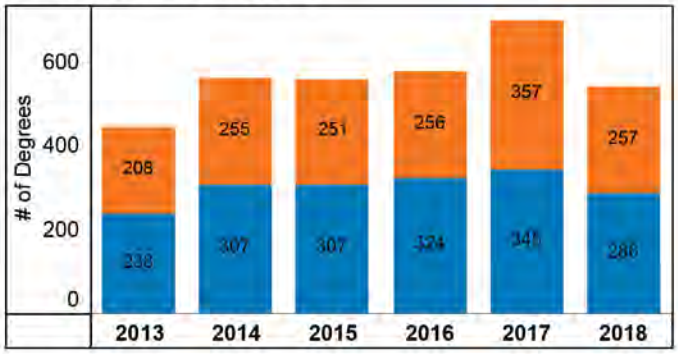
MA



MFA



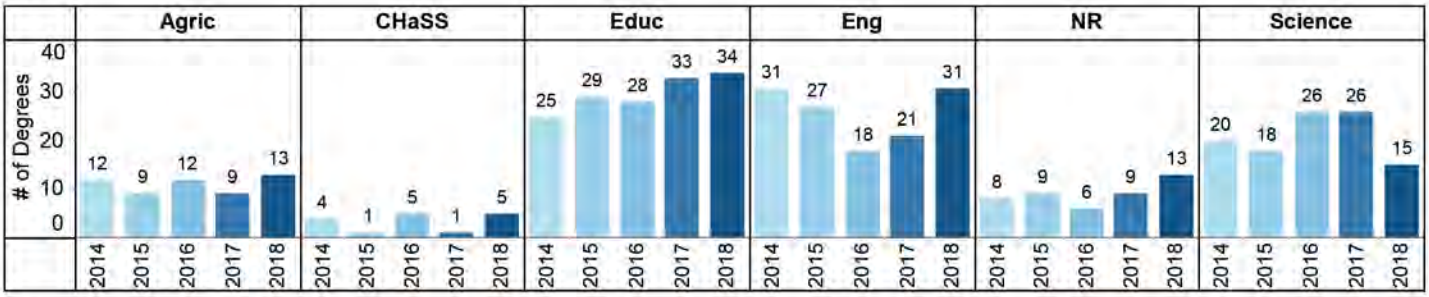
Professional Master's



Graduate Degrees Awarded: Degree Type & College

2014/15 - 2018/19

PhD



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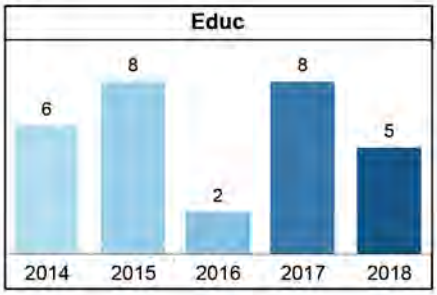
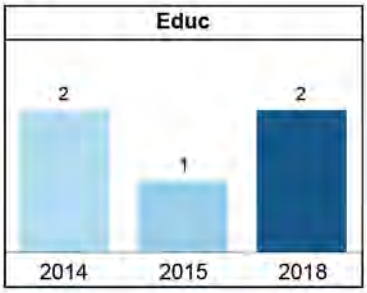


EdD



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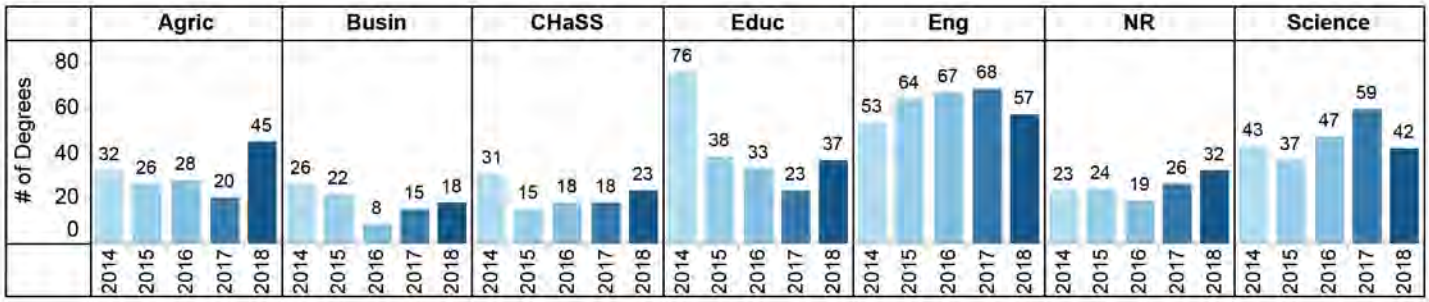

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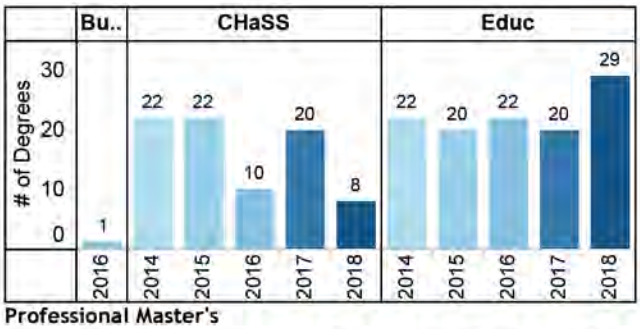
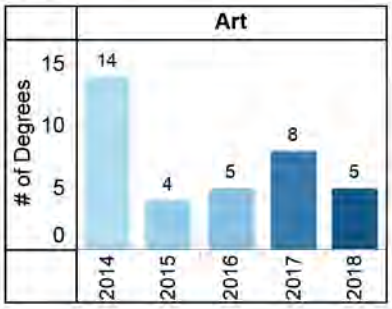
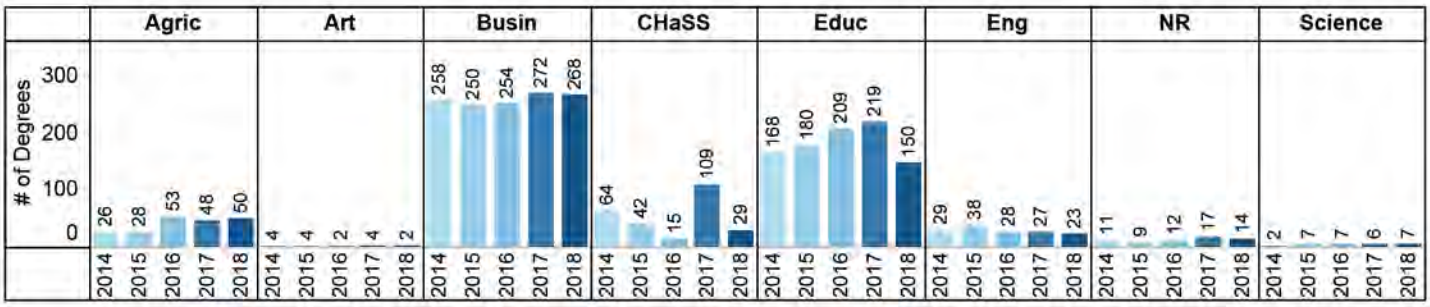


MFA

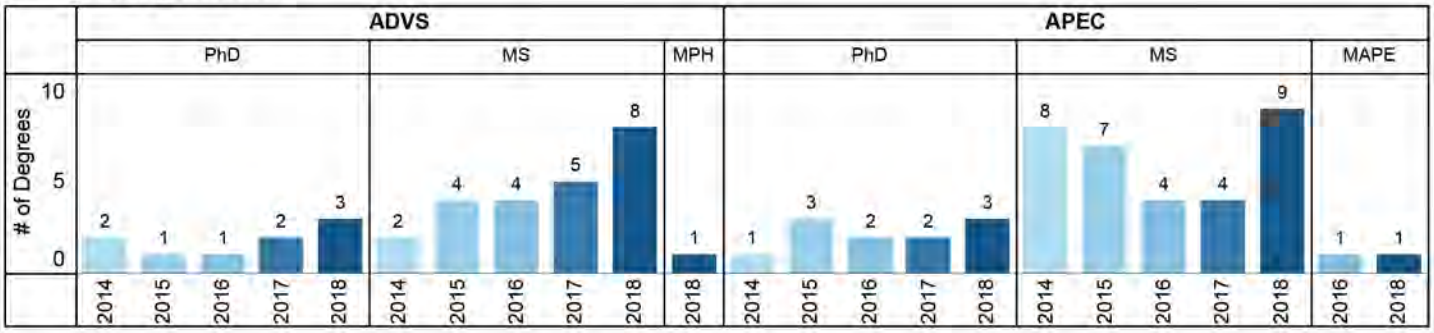


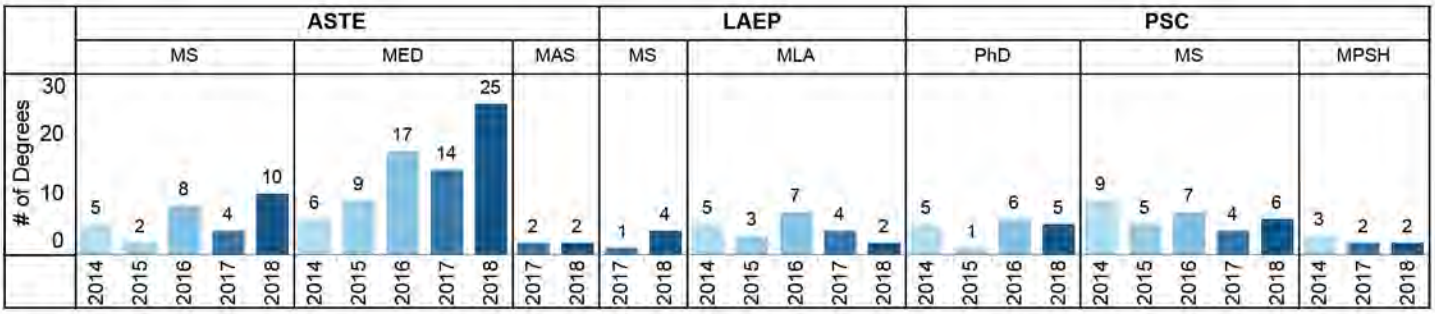
Professional Master's

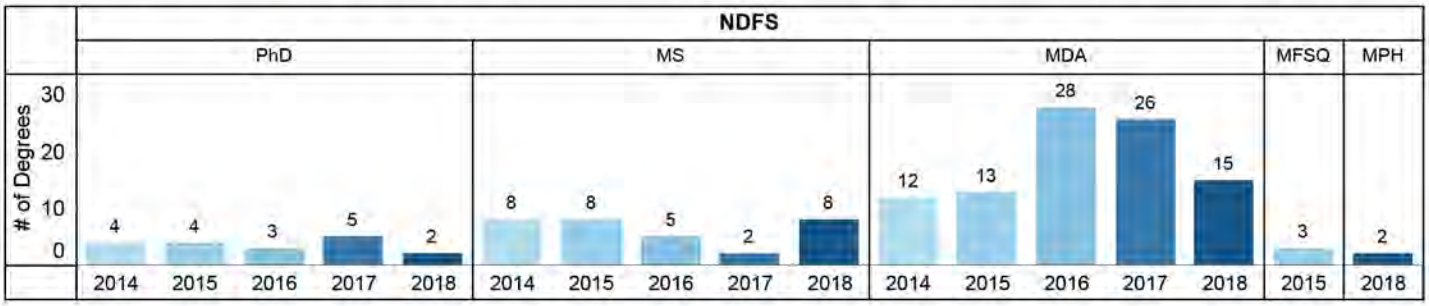


Graduate Degrees Awarded: AY 2014/15 - 2018/19

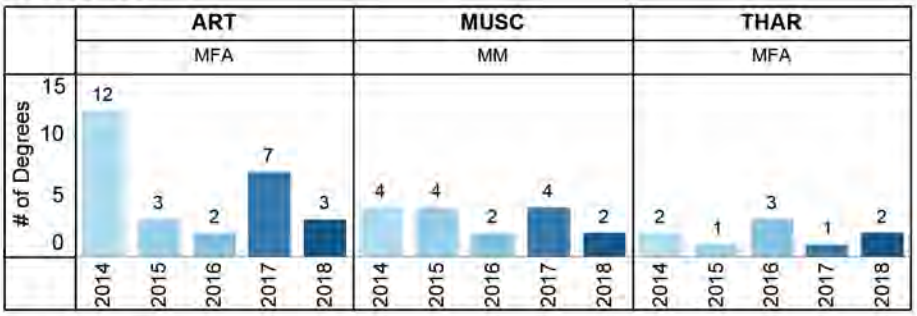
College of Agriculture



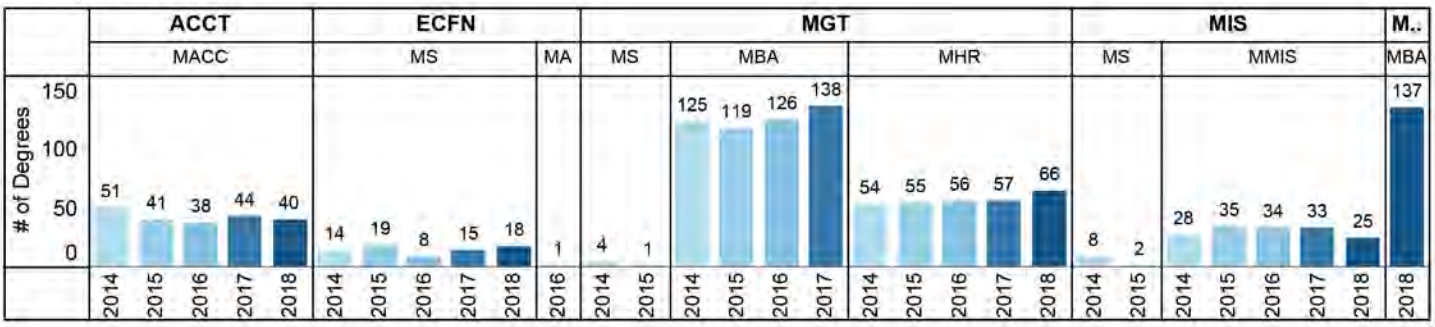




College of Arts

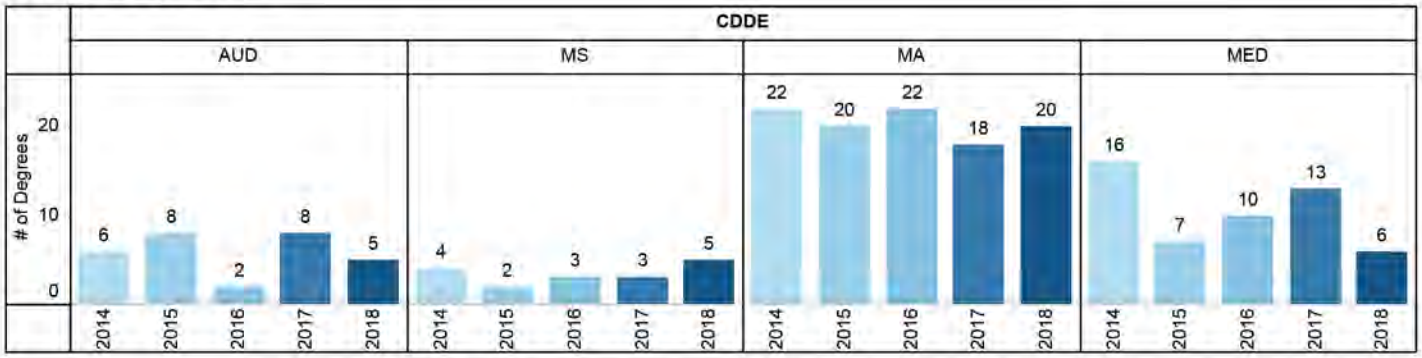


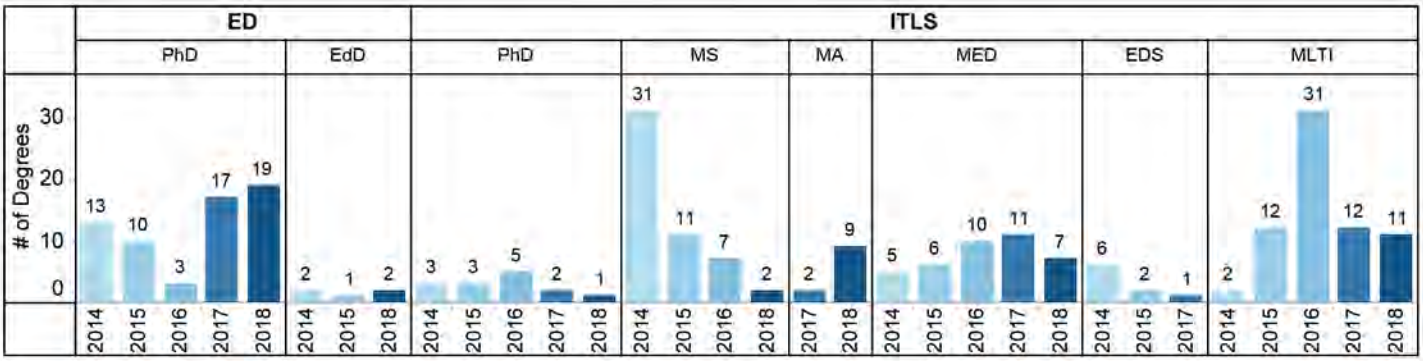
College of Business

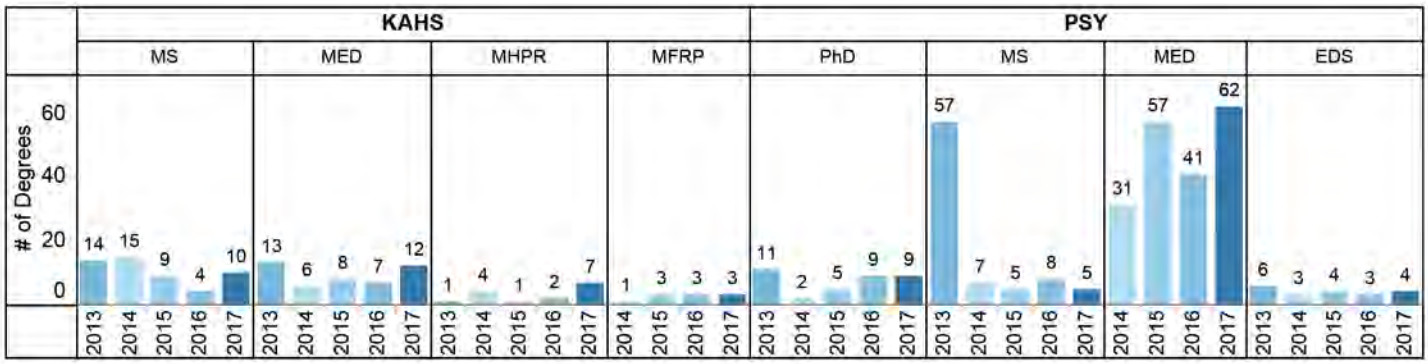


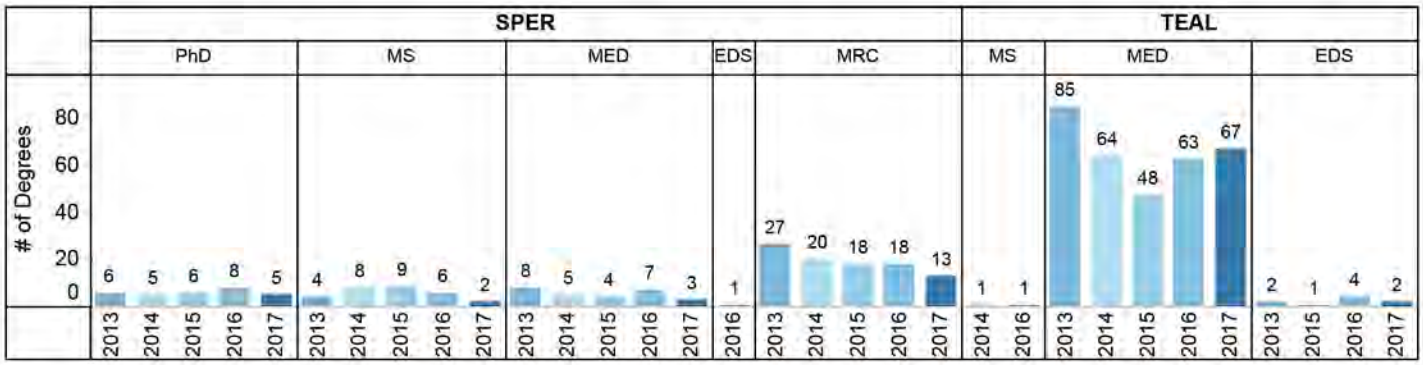
Graduate Degrees Awarded: AY 2014/15 - 2018/19

College of Education





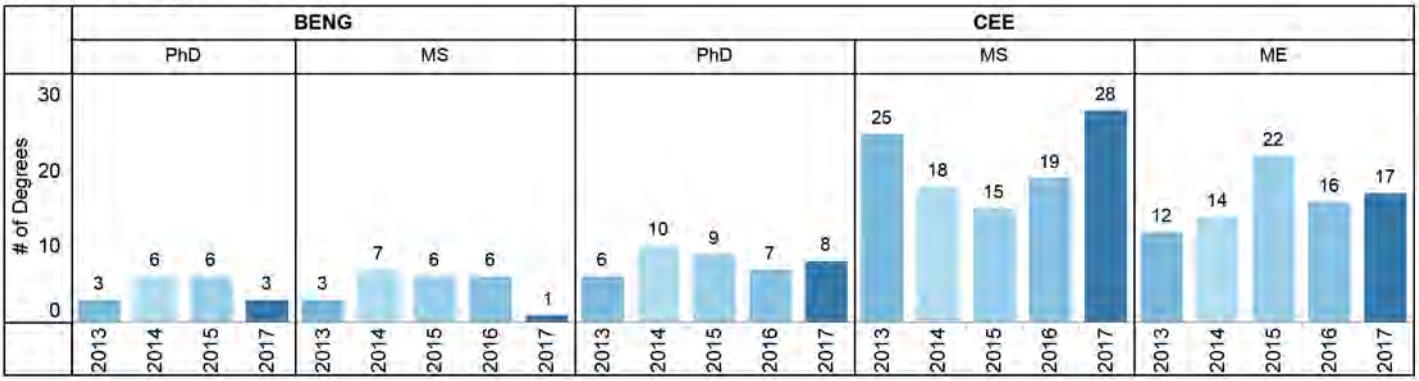


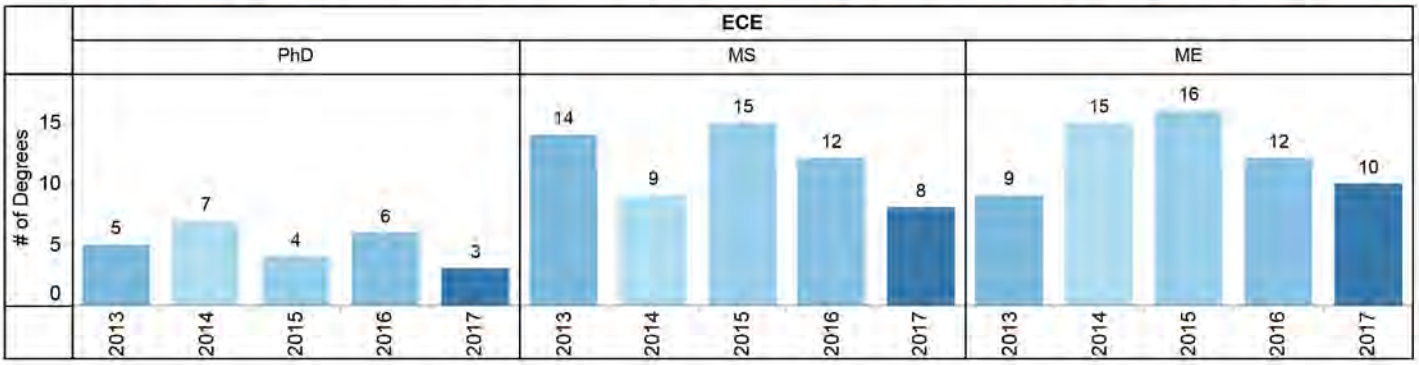


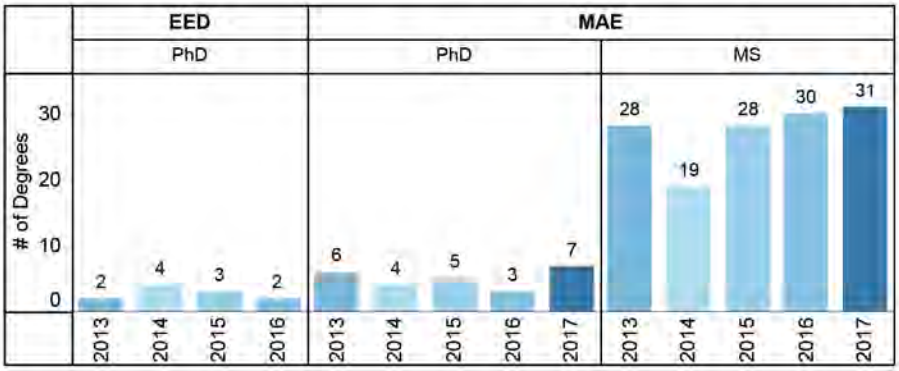
APPENDIX

Graduate Degrees Awarded: AY 2014/15 - 2018/19

College of Engineering

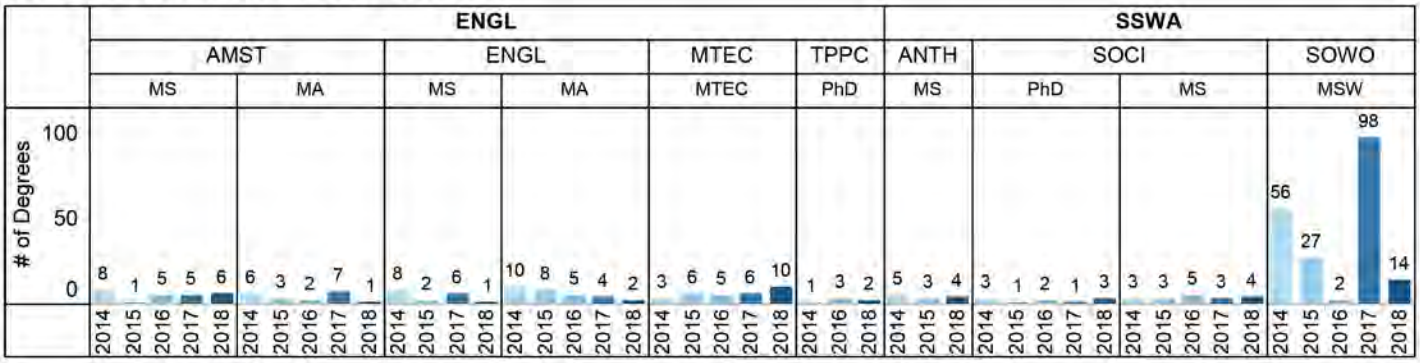


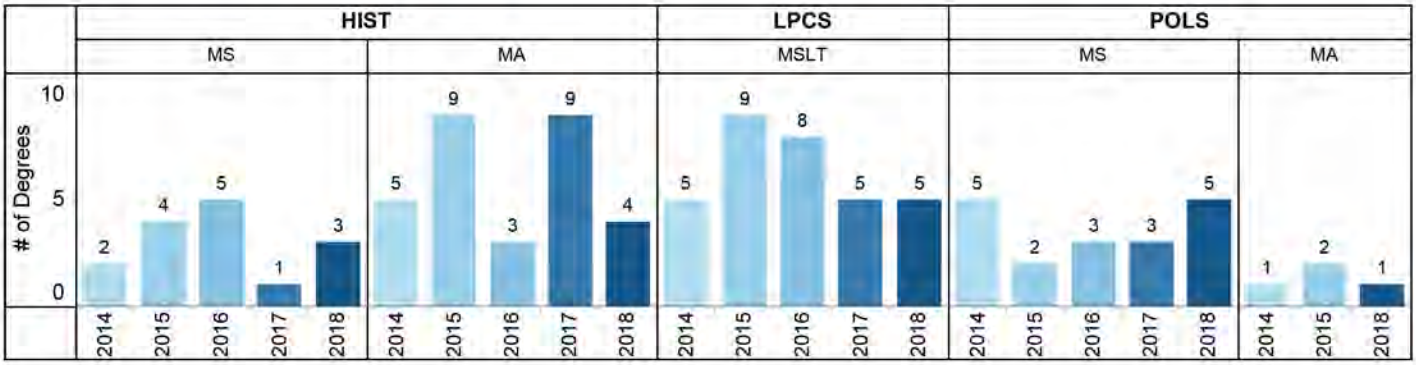




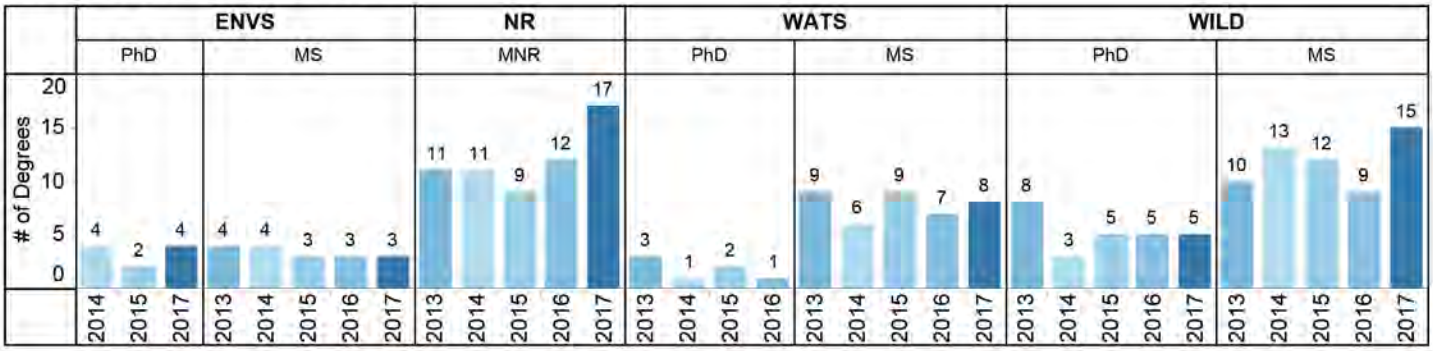
Graduate Degrees Awarded: AY 2014/15 - 2018/19

College of Humanities & Social Sciences

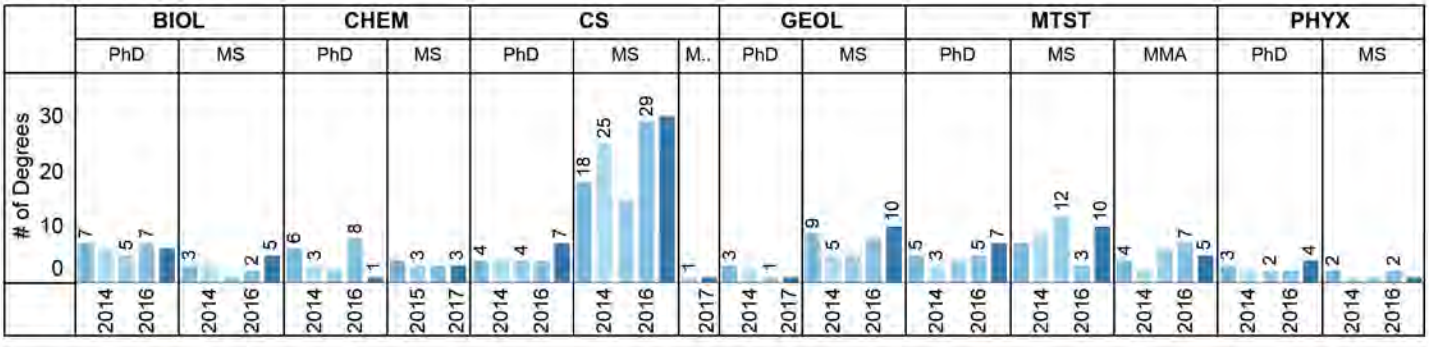




College of Natural Resources

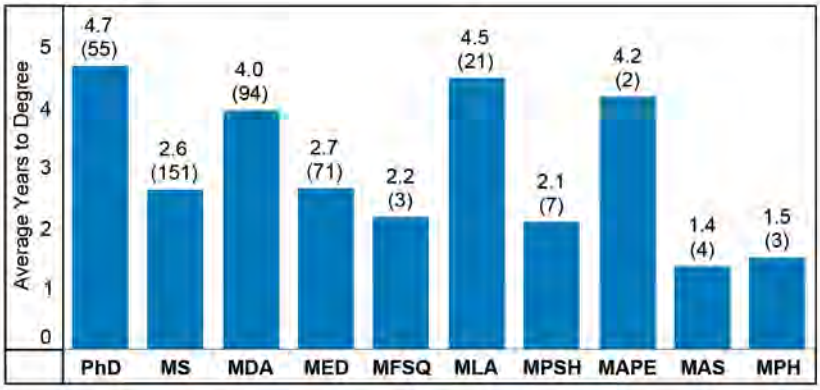


College of Science

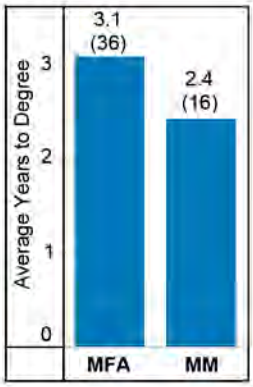


Average Years to Degree (last 5 years)

Agriculture

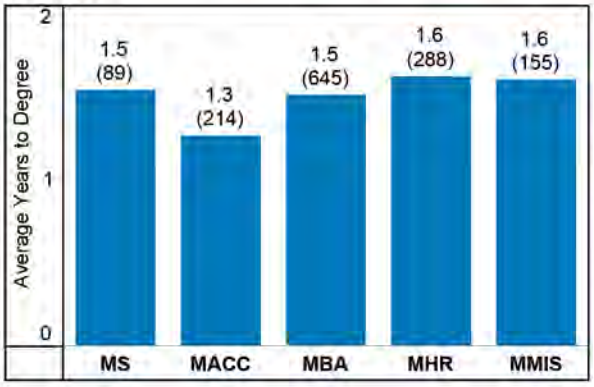


Arts

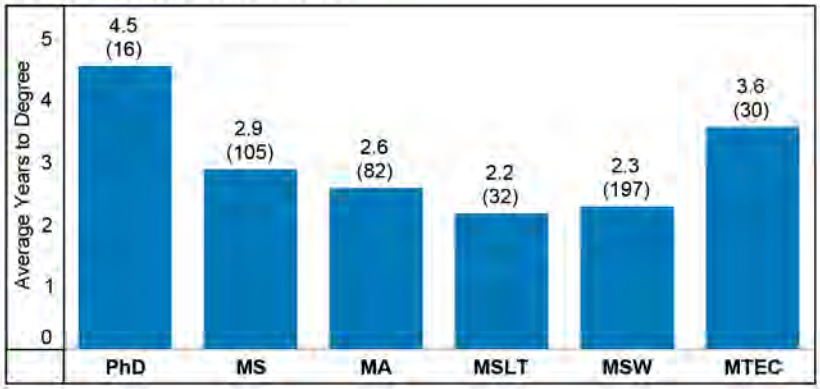


Above bars: average (# degrees)

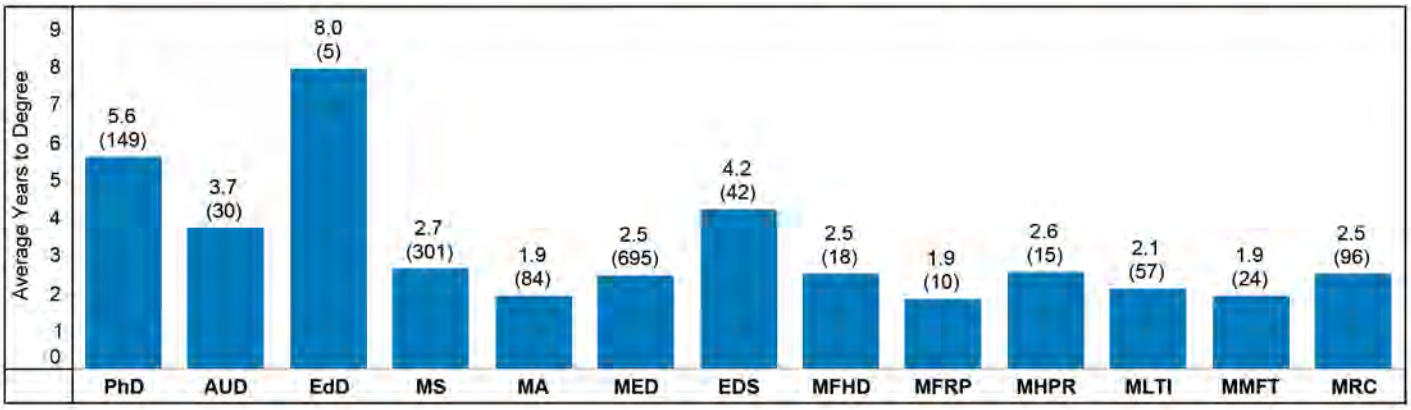
Business



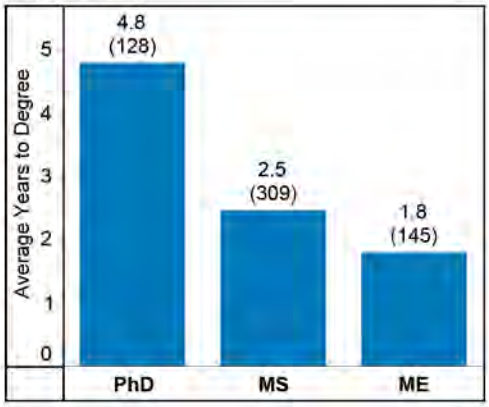
Humanities & Social Sciences



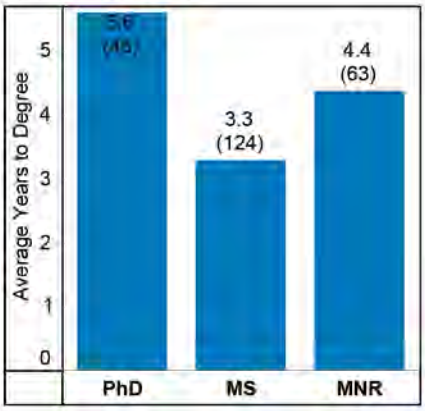
Education



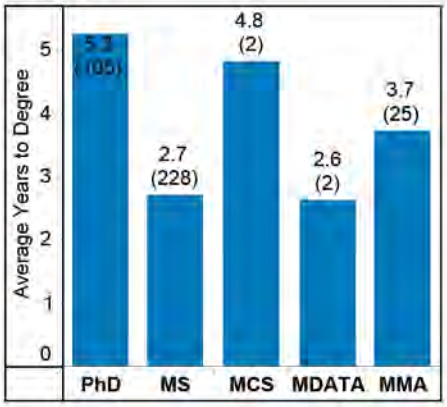
Engineering



Natural Resources



Science

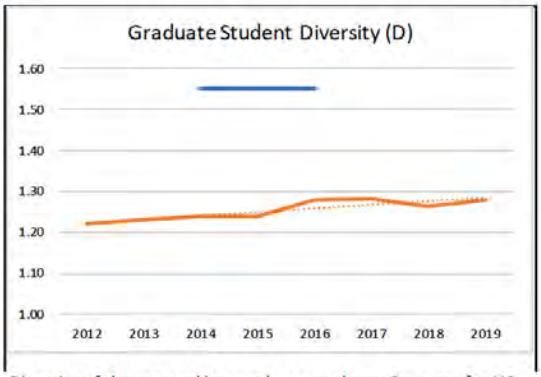


F

APPENDIX

Race/ethnicity data (self reported) from Banner. [enrollment data as of 9/23/19]

American Indian Alaskan Native	Asian	Asian/Pacific Islander	Black, non_hispanic	Hispanic	Multicultural	Pacific Islander	Unspecified/Other	White, non-Hispanic	Total	D	College Rank
1	**3**	**2**	**2**	**3**	**3**		**6**	**114**	**134**	**1.37**	**1**
	1				1			15	17	1.27	
1		1						8	10	1.52	
				1	1		2	32	36	1.26	
							1	13	14	1.15	
	2	1	2	2			3	29	39	1.76	
					1			17	18	1.12	
								9	**9**	**1.00**	**8**
								3	3	1.00	
								4	4	1.00	
								2	2	1.00	
3	**3**		**2**	**6**	**2**	**1**	**16**	**215**	**248**	**1.32**	**3**
	2			1	1	1		23	28	1.46	
								13	13	1.00	
3	1		1	5	1		14	165	190	1.31	
			1				2	14	17	1.44	
8	**4**	**1**	**1**	**16**	**4**	**3**	**24**	**433**	**494**	**1.30**	**4**
						1		43	44	1.05	
			1		1		3	49	54	1.21	
								1	1	1.00	
1				1				28	30	1.15	
3				3	1		1	57	65	1.29	
2				1	1	2	3	32	41	1.61	
1	3			7	1		12	125	149	1.40	
	1			3			1	41	46	1.25	
1		1		1			4	57	64	1.25	
	1	**2**		**1**	**2**		**1**	**130**	**137**	**1.11**	**7**
					1		1	8	10	1.52	
	1			1				42	44	1.10	
								33	33	1.00	
								3	3	1.00	
		2			1			44	47	1.14	
5		**2**	**1**	**4**	**2**		**10**	**137**	**161**	**1.37**	**2**
			1				4	35	40	1.29	
							1	12	13	1.17	
		1			1		1	12	15	1.53	
								9	9	1.00	
5		1		4	1		4	69	84	1.46	
1	**2**			**1**			**1**	**49**	**54**	**1.21**	**5**
								8	8	1.00	
1								13	14	1.15	
	1						1	8	10	1.52	
	1			1				20	22	1.20	
	2		**1**		**2**		**4**	**99**	**108**	**1.19**	**6**
	1				1		1	13	16	1.49	
								16	16	1.00	
			1				2	23	26	1.27	
								4	4	1.00	
	1						1	30	32	1.14	
					1			13	14	1.15	



Diversity of degree-seeking graduate students. Data are for US citizens and permanent residents registered in fall (excluding DVM students). The blue line shows the value of D for Utah in the 2015 census.

401.3.3 and 405.3.3.1

Rationale for proposed code changes:
We would like to match the code with the preferred practice. A librarian would only be appointed at the affiliate librarian level if they have not yet completed a Masters in Library and Information Science or another relevant postgraduate degree (for example, a candidate will complete their degree in August but begins their position at USU in June). Three years' work experience is not an expectation for either affiliate or assistant librarian, so we propose to remove this requirement from the code, along with changes to conform the assistant librarian requirements listed in code between 401.3.3 and 405.3.1.

Current code:

401.3 THE TENURED AND TENURE-ELIGIBLE FACULTY

3.3 Academic Ranks: Librarians

Faculty members appointed to the academic unit of the library hold one of the following ranks: affiliate librarian, assistant librarian, associate librarian, or librarian. A description of each follows. (See policy 405.3 for a complete discussion of the criteria for appointment or promotion for these ranks.)

(1) Affiliate Librarian.
Appointment as affiliate librarian requires, a master's degree in library and information science from an institution accredited by the American Library Association or a master's degree and appropriate credentials for assignment to areas with specialized needs and demonstrated ability in accordance with the role statement.

(2) Assistant Librarian.
Appointment as or advancement in rank to assistant librarian requires all the qualifications prescribed for an affiliate librarian; demonstrated ability in librarianship, research, or other qualifying work; and evidence of professional development as determined by the appropriate administrator.

(3) Associate Librarian.
Appointment as or advancement to associate librarian requires all the qualifications prescribed for an assistant librarian; an established reputation in librarianship based on scholarship, and service; and broad recognition for professional success in librarianship.

(4) Librarian.
Appointment as or advancement to librarian requires all the qualifications prescribed for an associate librarian and an established outstanding reputation in the field of academic librarianship.

Proposed code:

401.3 THE TENURED AND TENURE-ELIGIBLE FACULTY

3.3 Academic Ranks: Librarians

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(1) Affiliate Librarian.

(1) Affiliate Librarian.
Appointment as affiliate librarian would occur when a candidate has not yet completed ~~requires,~~ a master's degree in library and information science from an institution accredited by the American Library Association or a relevant postgraduate degree ~~and~~ but has~~appropriate credentials for assignment to areas with specialized needs and~~ demonstrated ability in accordance with the role statement.

(2) Assistant Librarian.

Appointment as or advancement in rank to assistant librarian requires a master's degree in library and information science from an institution accredited by the American Library Association or a relevant postgraduate degree and demonstrated ability in accordance with the role statement~~all the qualifications prescribed for an affiliate librarian; demonstrated ability in librarianship, research, or other qualifying work; and evidence of professional development as determined by the appropriate administrator~~.

Current code:

405.3 TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS
3.1 Criteria for Promotion from Affiliate Librarian to Assistant Librarian

Faculty members will be initially appointed to the rank of affiliate librarian when they have completed the terminal degree in Library and Information Science or its equivalent but have less than three years work experience as a professional librarian. Promotion to assistant librarian requires the completion of a terminal degree or its equivalent; a minimum of three years work experience as a professional librarian; demonstrated ability in librarianship, research, or other qualifying work; evidence of scholastic promise; and evidence of professional development (policy 401.3.3(2)).

Proposed code:

405.3 TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS
3.1 Criteria for Promotion from Affiliate Librarian to Assistant Librarian

Faculty members will be initially appointed to the rank of affiliate librarian when they have not completed a master's degree in library and information science from an institution accredited by the American Library Association or a relevant master's degree ~~the terminal degree in Library and Information Science or its equivalent~~ but have demonstrated ability in accordance with the role statement~~less than three years work experience as a professional librarian~~. Promotion to assistant librarian requires a master's degree in library and information science from an institution accredited by the American Library Association or a relevant postgraduate degree and demonstrated ability in accordance with the role statement ~~the completion of a terminal degree or its equivalent; a minimum of three years work experience as a professional librarian; demonstrated ability in librarianship, research, or other qualifying work; evidence of scholastic promise; and evidence of professional development (policy 401.3.3(2))~~.

401.3.3 and 405.3.3.1

Rationale for proposed code changes:
We would like to match the code with the preferred practice. A librarian would only be appointed at the affiliate librarian level if they have not yet completed a Masters in Library and Information Science or another relevant postgraduate degree (for example, a candidate will complete their degree in August but begins their position at USU in June). Three years' work experience is not an expectation for either affiliate or assistant librarian, so we propose to remove this requirement from the code, along with changes to conform the assistant librarian requirements listed in code between 401.3.3 and 405.3.1.

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(2) Assistant Librarian.
Appointment as or advancement in rank to assistant librarian requires all the qualifications prescribed for an affiliate librarian; demonstrated ability in librarianship, research, or other qualifying work; and evidence of professional development as determined by the appropriate administrator.

(3) Associate Librarian.
Appointment as or advancement to associate librarian requires all the qualifications prescribed for an assistant librarian; an established reputation in librarianship based on scholarship, and service; and broad recognition for professional success in librarianship.

(4) Librarian.
Appointment as or advancement to librarian requires all the qualifications prescribed for an associate librarian and an established outstanding reputation in the field of academic librarianship.

Proposed code:

401.3 THE TENURED AND TENURE-ELIGIBLE FACULTY

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Current code:

405.3 TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS
3.1 Criteria for Promotion from Affiliate Librarian to Assistant Librarian

Faculty members will be initially appointed to the rank of affiliate librarian when they have completed the terminal degree in Library and Information Science or its equivalent but have less than three years work experience as a professional librarian. Promotion to assistant librarian requires the completion of a terminal degree or its equivalent; a minimum of three years work experience as a professional librarian; demonstrated ability in librarianship, research, or other qualifying work; evidence of scholastic promise; and evidence of professional development (policy 401.3.3(2)).

Proposed code:

405.3 TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS
3.1 Criteria for Promotion from Affiliate Librarian to Assistant Librarian

Faculty members will be initially appointed to the rank of affiliate librarian when they have not completed a master's degree in library and information science from an institution accredited by the American Library Association or a relevant master's degree ~~the terminal degree in Library and Information Science or its equivalent~~ but have demonstrated ability in accordance with the role statement~~less than three years work experience as a professional librarian~~. Promotion to assistant librarian requires a master's degree in library and information science from an institution accredited by the American Library Association or a relevant postgraduate degree and demonstrated ability in accordance with the role statement ~~the completion of a terminal degree or its equivalent; a minimum of three years work experience as a professional librarian; demonstrated ability in librarianship, research, or other qualifying work; evidence of scholastic promise; and evidence of professional development (policy 401.3.3(2))~~.