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Faculty Senate Executive Committee

October 16, 2023
3:30 – 5:00 pm
Champ Hall Conference Room
[Zoom](#) (Statewide)

AGENDA

- 3:30 Call to Order**..... Maureen Hearn
Approval of Minutes – [September 18, 2023](#)
- 3:35 University Business**Robert Wagner, Executive Vice President
- 3:50 Faculty Senate Business** Maureen Hearn | John Ferguson | Grant Cardon
Promotion Processes..... John Ferguson
- 4:00 Information**
Education Policies Committee – [October 5, 2023](#) Paul Barr
Human Resources [Policy 313](#) - Drug & Alcohol-Free Workplace – 1st Review Doug Bullock
Human Resources [Policy 350](#) – Tuition Benefit Doug Bullock
Human Resources [Policy 398](#) – Reduction in Force - 1st Review..... Doug Bullock
- 4:15 Reports**
[Academic Freedom & Tenure Annual Report](#)..... Doug Ramsey
[Athletic Council Annual Report](#) James Morton
- 4:25 Old Business**
Faculty Code 405 | [Track Changes](#) (2nd Reading)..... John Ferguson
- 4:30 New Business**
Faculty Code 406 | [Track Changes](#) (1st Reading)..... John Ferguson
[Policy 104 Concerns](#)Andrew Sorenson
Mandatory Employee Reporting Jennifer Sinor

Adjourn: 4:45 pm



September 18, 2023
3:30 – 5:00 pm
Old Main-Champ Hall

MINUTES

Present: Grant Cardon, College of Agriculture and Applied Sciences (President-Elect)
Maureen Hearn, Caine College of the Arts (President)
John Ferguson, Jon M. Huntsman School of Business (Past-President)
Matt Bunnell, College of Agriculture and Applied Sciences
Sandra Weingart for Carol Kochan, University Libraries
Danielle Ross, College of Humanities and Social Sciences
Michele Hillard, Executive Secretary
Yoon Lee, Emma Eccles Jones College of Education and Human Services
Sarah Null, S.J. & Jessie E. Quinney College of Natural Resources
Don Busenbark, Statewide Campuses
Yu Huang, College of Engineering

Absent: Elizabeth Cantwell, President
Larry Smith, Provost
Robert Wagner, Executive Vice President
Doug Miller, College of Science-USU Eastern
Denise Stewardson, Extension

Guests: Paul Barr, EPC Chair
Kristine Miller, Honors Program
Doug Bullock, Human Resources
Patrick Belmont, Watershed Sciences

Call to Order - Maureen Hearn
Approval of Minutes – [August 21, 2023](#)
Minutes approved as distributed.

University Business - Elizabeth Cantwell, President | Larry Smith, Provost
N/A – Administrative team on business travel.

Faculty Senate Business - Maureen Hearn | John Ferguson | Grant Cardon
At the Faculty Senate meeting in two weeks, we will need to have seven people nominated for the Honorary Degrees and Awards. This year the president will need to select two who will serve for the next few years.

Information

Educational Policies Committee – [September 7, 2023](#) - Paul Barr
Motion to move the Educational Policies Committee monthly report to the Faculty Senate agenda made by Grant Cardon. Seconded by Sandra Weingart. Moved to Faculty Senate agenda.
General Education Subcommittee – No designations were approved. Discussed the new R470 policy that will be coming out and how USU adheres to the updates/changes.

Academic Standards Subcommittee – Working on academic grievance policy. A phrase was added to the excused absence policy. Academic Subcommittee is purely an advisory committee.

Curriculum Subcommittee – Approved 84 course requests and 14 R401 proposals. The Graduate School is looking at the student grievance process. This is different than undergraduate grievances. Some of the problems have illustrated that the program handbooks are not being written well enough.

Human Resource Policies - 351 [Policy](#) | [Redline](#) – 379 [Summary](#) | [Policy](#) - Doug Bullock

Motion to move the Human Resources Policies to the Faculty Senate Agenda made by Yoon Lee. Seconded by Yu Huang. Moved to Faculty Senate agenda.

Policy 351: Family Medical Leave Act (FMLA) has been through the executive committee, the SEA and now disclosing to the Faculty Senate. This is a federal law, and it has not been updated in quite some time so Human Resources is bringing it all current. Reformatted the content to align with new policy format including adding purpose and scope. Strengthened and clarified language that USU utilizes paid leave, worker's compensation wherever possible when an employee takes FMLA leave. Clarified dual employment FMLA limits. Updated family member definition. Clarified military caregiver leave period. Clarifying FMLA permissions to contact health care provider. Changed fit for duty certification to return to work. Clarified supervisor and employee responsibilities.

Policy 379: International Assignments. Consulted with the Dean's Council, the Office of Global Engagement, the Office of Research, and the Office of Human Resources and have reviewed the continued need for this policy. This is not a policy that has been used for years and there are no existing HR processes to even administer it as written. Currently looking at retiring the policy.

Reports

[Educational Policies Committee Annual Report](#) - Paul Barr

Motion to move the Educational Policies Committee Annual Report to the Faculty Senate agenda made by John Ferguson. Seconded by Grant Cardon. Moved to Faculty Senate agenda.

Much appreciation to the committee members for their assistance. There were 865 course requests and 59 R401 proposals submitted and approved. General Education Subcommittee approved 23 designation requests. Looking at credit number changes for General Education that will be taking place. Academic Standards Subcommittee – Working on the new excused absence policy. Also approved the proposal regarding testing of English proficiency standards and broadening the list of countries. Currently working on the academic grievance policy/process.

[Honors Program Annual Report](#) - Kristine Miller

Motion to move the Honors Program Annual Report to the Faculty Senate agenda made by John Ferguson. Seconded by Yu Huang. Moved to Faculty Senate agenda.

Welcomed 184 new first-year and 16 current/transfer students into the program. Had 664 students from all eight colleges and the statewide campuses. Graduated 32 students with university honors. Involved 202 USU faculty and staff from 44 departments/programs in teaching and other academic activities. Worked with 49 Honors alumni through alumni-student programming and mentoring. Hired a new Honors academic advisor.

Old Business

Update on Divestment Task Force - Grant Cardon

Motion to move the update on divestment task force made by John Ferguson. Seconded by Matt Bunnell. Moved to Faculty Senate agenda.

Last year the senate set up an ad hoc committee to gather information regarding university investments. They wrote a letter requesting a list of investments that may be going into Carbon Underground 200. The deadline for this information was April 10. President Cockett encouraged Grant Cardon to meet with David Cowley on April 12. They met and went through the details of the investment funds and the groups they are invested in. Meeting ended with knowing where the money is, but it is the committee's responsibility to find out who the money is invested with, since USU comingles funds. The committee can then go and approach these investors to see if they associate or invest with Carbon Underground 200. Meketa investment group looks through the markets and they are an investment counselor. In 2021 they provided a briefing on the rising

sector of sustainability in the investing. Their purpose is to help with sustainable investments. This could offer better options for the university. The committee has not met since receiving this information. Have gathered some information from other universities on how they did their divestment. If we divest, what would we invest in? It was felt that that question should be part of the resolution as well.

Greenhouse Waste Emissions - Patrick Belmont

Motion to move the Greenhouse Waste Emissions resolution to the Faculty Senate agenda made by Yoon Lee. Seconded by Sandra Weingart. Moved to Faculty Senate agenda.

In 2007 USU committed going Carbon neutral by 2050. Brought forward a resolution to help move this forward. Asked for USU to commit to a 10% per year in greenhouse gas emissions. Each year should decrease by 10% which would get us to the deadline date. President Cockett started the greenhouse gas reduction committee. Did make good progress up through the 2020-2021 academic year. Got a 20% reduction during that time. However, it increased last year by 4%. Facilities is working with Logan and Rocky Mountain power to find ways to decrease the emissions. Now is the time to restate our commitment. Currently there are 100 co-sponsors for this resolution.

New Business

Issue of Faculty Concern - Andrew Sorensen

This item will be postponed until the October Faculty Senate Executive Committee meeting.

Adjourn: 4:40 pm

Report from the Educational Policies Committee October 5, 2023

The Educational Policies Committee (EPC) met on October 5, 2023. The agenda and minutes of the meeting are posted on the Educational Policies Committee web page (www.usu.edu/epc). During the October 5, 2023 meeting of the EPC, the following actions were taken:

1. General Education Subcommittee

- October 5, 2023
 - ITLS 4320 Writing for Design – CI
 - NURS 4010 Leadership, Management and Policy – CI
 - R470 Policy Update

2. Academic Standards Subcommittee

- Vote by Email
 - The University administration would override an instructor's evaluation only in an extremely limited circumstance. Specifically, the occurrence or incident relating to an academic grievance must constitute, ~~from the student's perspective~~, a failure to adhere to Faculty Code in Section 403 of the Utah State University Policy Manual. If a student believes that the actions of an instructor, academic supervisor, or supervisory committee represent a failure to uphold responsibilities to students as outlined in section 403.3.1 (Faculty Responsibilities to Students) of the faculty code, the student may initiate an academic grievance

3. Curriculum Subcommittee

- October 5, 2023
 - Course Approvals –277*
 - Request from the Department of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences to offer a Career and Technical Education Teaching Academy Institutional Certificate of Proficiency.
 - Request from the Department of Technology, Design and Technical Education in the College of Agriculture and Applied Sciences to offer an Engineering Technology AAS.
 - Request from the Department of Technology, Design and Technical Education in the College of Agriculture and Applied Sciences to offer an Engineering Technology BAS.
 - Request from the Department of Theatre Arts in the Caine College of the Arts to change the name of the Theatre Arts Design and Technology Film Production Option BFA to Theatre Arts: Theatre Design & Technology BFA.

- Request from the Department of Communicative Disorders and Deaf Education in the Emma Eccles Jones College of Education and Human Services to discontinue the Speech Language Pathology and Audiology-BS.
- Request from the Department of Communicative Disorders and Deaf Education in the Emma Eccles Jones College of Education and Human Services to discontinue the Speech Language Pathology and Audiology – Online Second BS.
- Request from the Department of Communication Studies and Philosophy in the College of Humanities and Social Sciences to discontinue the Speech Communication Teaching Minor.
- Request from the Departments of Communication Studies and Philosophy, Journalism and Communication and Political Science in the College of Humanities and Social Sciences to offer a Political Communication Certificate of Proficiency.
- Request from the Department of Sociology and Anthropology in the College of Humanities and Social Sciences to move the Community and Natural Resources Institute from the Department of Sociology and Anthropology to the College of Humanities and Social Sciences.
- Request from the Department of Sociology and Anthropology in the College of Humanities and Social Sciences to offer an Environmental Justice Institutional Certificate of Proficiency.
- Request from the Department of Sociology and Anthropology in the College of Humanities and Social Sciences to offer a Social Dimensions of Climate Change Institutional Certificate of Proficiency.
- Request from the Department of Sociology and Anthropology in the College of Humanities and Social Sciences to offer a Social Dimensions of Climate Change and Environmental Justice Minor.
- Request from the Department of Geosciences in the College of Science to change the name from Earth Science Composite Teaching-BA, BS to Earth Science Teaching-BA, BS.
- Request from the Department of Management in the Jon M. Huntsman School of Business to offer a Healthcare Management Minor.
- Request from the Department of Environment and Society in the S.J. & Jessie E. Quinney College of Natural Resources to offer a Climate Change Solutions Certificate of Proficiency.

- Request from the Department of Environment and Society in the S.J. & Jessie E. Quinney College of Natural Resources to offer an Environmental Science and Sustainability Bachelor of Science.
- Change the CIP code for the Landscape Architecture-BLA, Landscape Architecture-MLA (advanced professional degree)-MLA, and Accelerated Master of Landscape Architecture-BLA, MLA to 40601 Landscape Architecture. Also change the Landscape Architecture Minor.

4. **Other Business**

- The committee discussed the Gen Ed requirements for AAS and BAS degrees. It was decided that a working group would develop a proposal and present it to the Gen Ed Subcommittee for consideration. This could then be brought to EPC for approval.

Definition of Academic Grievance

An instructor has full autonomy to evaluate a student's academic performance in a course. Accordingly, options for outcomes from a grievance process are limited. The University administration would override an instructor's evaluation only in an extremely limited circumstance. Specifically, the occurrence or incident relating to an academic grievance must constitute, from the student's perspective, a failure to adhere to Faculty Code in Section 403 of the Utah State University Policy Manual. If a student believes that the actions of an instructor, academic supervisor, or supervisory committee represent a failure to uphold responsibilities to students as outlined in section [403.3.1](#) (Faculty Responsibilities to Students) of the faculty code, the student may initiate an academic grievance. An academic grievance includes complaints related to course conduct or grades (e.g., unfair grading, unfair course policies, unwillingness to accommodate approved class absences), graduate committee decisions, practicum or internship placements or evaluations, and other discipline-specific activities that impact the students' academic record or progress.

Academic Grievance Process

1. Prior to initiating a formal appeal process, where possible, every effort should be made to come to a solution informally between the instructor/supervisor/committee and the student. Informal resolution efforts should be submitted in writing (e.g., by email), and efforts should be thoroughly documented.
2. If an informal resolution cannot be reached, students should submit a written appeal using the online academic appeal form ([see draft form below](#)), selecting the appropriate department head to receive the appeal form. The department head will review the formal complaint, along with the written response of the faculty member/supervisor/committee and recommend a path for resolution.
3. If not satisfied with the recommendation of the department head, the student or the faculty member/supervisor/committee may request review by the Academic Standards Subcommittee of the Educational Policies Committee. The Academic Standards Subcommittee will review the written documentation from the student, instructor/supervisor/committee, and department head and make a recommendation for resolution.
4. All written materials will be sent to the Dean of the academic college for review and decision. The Dean's decision is considered final.

Item for Action

Re: Updates to [USU Policy 313](#): Drug- and Alcohol-Free Workplace

Key

- **Red** – Is anything that was removed from the current policy
- **Blue** – Anything that was added
- **Black** – Original to Policy that was not changed
- **Dark/Light Green** – Text that was moved within the policy.

Summary of Changes

- **Reformatted Policy-** Reformatted content to align with new policy format including adding Purpose and Scope. Clarified and updated language, definitions, and policy references throughout to align with current Federal (DOT) and State laws.
- **Strengthened Policy on Behavior and Tolerance-** Clarified that impairments due to drug or alcohol use that result in behavior that is not respectful or unsafe will not be tolerated.
- **Added Federal Reporting Requirements-** All employees must notify supervisor in writing within five (5) calendar days of any drug violation if it occurred at work or while on duty. Safety sensitive positions (i.e., DOT related) must notify supervisor in writing within five (5) calendar days of any alcohol/drug related felony regardless of where it occurred.
- **Added Rehabilitation Requirement Option-** Added language that permits USU to require participation in drug/alcohol abuse assistance or rehabilitation program.
- **Added Federal Testing Language for Safety-Sensitive Positions-** DOT requires pre-employment and random testing as well as training requirements. Employees who refuse testing, will be treated as having a positive test result and will be subject to disciplinary action.
- **Added Confidentiality Language-** Added language to protect employee information related to this policy per Utah Code.
- **Added Required Drug Free Awareness Program Language-** Added required language regarding creating awareness and training on the program expectations.

~~POLICY MANUAL~~

~~GENERAL~~

~~Number 313~~

~~Subject: Drug and Alcohol-Free Workplace; Drug and Alcohol Testing~~

~~Date of Origin: January 24, 1997~~

~~Effective Date of Last Revision: July 1, 1999~~

University Policy 313: Drug- and Alcohol-Free Workplace

Category: Human Resources

Subcategory: General

Covered Individuals: All Employees

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Office of Human Resources, Associate Vice President of Human Resources

Last Revised: 2023/MM/DD

Previous USU Policy Number: N/A

313.1 PURPOSE AND SCOPE

The purpose of this policy is to provide a safe and productive work and educational environment free from the effects of ~~the unlawful and/or unauthorized manufacture, distribution, dispensing, sale, possession, or use of controlled substances or alcohol in the workplace, is expressly prohibited~~ and to promote the protection and safety of students and employees.

313.2 POLICY

It is the policy of Utah State University (USU) to maintain a drug- and alcohol-free workplace. ~~The University~~ USU expects employees to report to all work assignments unimpaired and in a condition ~~ready~~ to perform their duties safely, ~~and~~ efficiently, and respectfully. Unsatisfactory job performance, ~~and poor attendance, or conduct, or behavior~~ caused by alcohol or substance abuse ~~that is detrimental to the University, its employees, the community, the state, or to any person or agency with whom the University serves or conducts business~~ is unacceptable and will not be tolerated.

~~The unlawful and/or unauthorized manufacture, distribution, dispensing, sale, possession, or use of controlled substances or alcohol in the workplace is expressly prohibited.~~

~~Responsible, moderate use of alcohol by employees not in safety sensitive positions in connection with off-campus business meals, travel, entertainment, conferences and association meetings, or other appropriate social settings where alcohol is not expressly prohibited, is not a violation of this policy. Employees in safety sensitive positions must not use, be under the influence of, or be in possession of alcohol or drugs while on duty or on University premises.~~

2.1 Provisions

The unlawful manufacture, distribution, dispensing, sale, possession, or use of controlled substances or alcohol is prohibited on university property. Providing alcoholic beverages during a university-sponsored social event may be authorized if the event is approved by the dean or vice president and the vice president for Finance and Administrative Services.

~~Drug and alcohol tests will be administered to employees in safety sensitive positions in accordance with U.S. Department of Transportation regulations (49 CFR, Parts 40 and 382). Employees in safety sensitive positions will receive training and information in compliance with federal law.~~

Successful candidates for safety-sensitive positions at ~~the University~~ USU will be required to submit to, and pass, a drug and ~~blood~~ alcohol test. A position offer will be rescinded if a candidate refuses to take the required drug and ~~blood~~ alcohol test, tests positive for a controlled substance ~~listed in the Definitions section~~, or ~~his or her~~ their test detects an ~~blood~~ alcohol content equal to or greater than the upper limit designated by the Department of Transportation (DOT). ~~All terms in this policy are used as defined in U.S. Department of Transportation regulations.~~

~~Consistent with federal and state law, drug/alcohol testing may be required of any employee if there is sufficient evidence to suggest that an employee is under the influence of alcohol or drugs while at work. An University employees who is convicted in a court of law for a workplace violation of this policy must provide notification of the conviction to the Office of Human Resources notify the Office of Human Resources (HR) in writing within five (5) calendar days of the any conviction of a criminal drug statute if the violation occurred in the workplace or while the employee was engaged in university work off campus. Failure to do so could result in immediate dismissal of the employee. Additionally, an employee in a safety-sensitive position who is convicted under a federal or state criminal statute for an alcohol- or drug-related felony must notify HR of the conviction within five (5) calendar days regardless of where the violation occurred.~~

~~The University must impose sanctions on an employee convicted of a workplace violation w~~ Within 30 calendar days of notification of a the conviction of a criminal drug statute, the university may require. The minimum sanctions that may be imposed on an employee convicted of a violation include to participate in an education/drug or alcohol abuse assistance or rehabilitation program, and/or mandatory probation for at least 90 days, with weekly supervisory reviews may impose disciplinary action and sanctions.

~~Any employee qualifying for consideration wishing to request a reasonable accommodation under the Americans with Disabilities Act (ADA), in conjunction with this policy, will by treated by the University under the provisions of that law may request the accommodation through HR.~~

313.2 PROCEDURES

2.1 When an Employee is Unfit for Duty

~~When a supervisor has reasonable grounds to suspect that an employee is not fit for duty, the supervisor must see that the employee is removed from the workplace to a safe, non-threatening environment. An employee's refusal to leave the workplace will be considered insubordination and may result in disciplinary action.~~

~~Without making specific diagnosis, the supervisor should meet with the employee and others as needed as soon as possible to determine whether there is sufficient evidence to support a violation of this policy.~~

2.2 Testing

2.2 Drug and Alcohol Testing

~~If sufficient evidence suggests that an employee is under the influence of alcohol or drugs while at work, the employee will be required to submit to a drug/alcohol test at a site designated by the University at the University's expense.~~

~~The Office of Human Resources maintains a list of positions that are subject to USU may require testing for drugs and/or alcohol testing due to the nature of the position (safety sensitive positions). Employees in these positions are required to participate in alcohol and controlled substance testing for any of the following purposes:~~

- ~~• Investigation of possible individual employee impairment while on duty.~~
- ~~• Investigation of accidents in the workplace.~~
- ~~• As part of a drug or alcohol abuse assistance or rehabilitation program.~~

~~Before being hired and placed in or reassigned to a safety sensitive position.~~

~~After being involved in an accident. (The employee will be tested for alcohol within 8 hours following the accident, and tested for drugs within 32 hours.)~~

~~When a designated, trained supervisor determines there is reasonable suspicion that an employee performing or assigned to a safety sensitive position is using, under the influence of, or in possession of alcohol or drugs. Two supervisors who have been trained in reasonable suspicion determination must concur that the drug test is warranted. One of the supervisors must be a direct line supervisor. The supervisors' findings will be documented in writing within 24 hours of the determination.~~

~~At random, just before, or just after, operating a vehicle in a safety sensitive position. (Driving assignments may be interrupted for the testing.) Fifty percent of employees in safety sensitive positions must be tested each year for controlled substance and 25 percent must be tested each year for alcohol.~~

~~After returning to a safety sensitive function following removal due to a positive test result.~~

~~At least 6 follow-up tests may be conducted during the 12-month (1-year) period following the employee's return to work.~~

~~As many as 30 follow-up tests may be conducted during the 60-month (5-year) period following the employee's return to work.~~

~~If a supervisor has a reasonable suspicion that an employee may be impaired at work by alcohol or drugs, they should contact the Office of Human Resources (HR) for additional direction. HR will coordinate a drug and/or alcohol test with the testing vendor under contract with USU.~~

~~Drug and alcohol tests will be administered consistent with Utah law for employees in safety-sensitive positions and in accordance with U.S. Department of Transportation (DOT) regulations (rule 49 CFR, Pparts 40 and 382). USU requires Employees in safety-sensitive positions to submit to drug and alcohol testing as a condition of hire (pre-employment) and may also require random testing for these employees. Employees in safety-sensitive positions will receive training and information in compliance with federal~~

law.

All drug and alcohol testing shall be conducted by an independent laboratory certified for employment testing.

An employee's refusal to submit to drug or alcohol or controlled substance testing will be construed/treated as having a positive test result and will be subject to disciplinary action (see USU Policy 311: Setting Expectations and Managing Performance).

2.3 Alcohol Testing (Safety Sensitive Positions)

Alcohol testing will be conducted in accordance with U.S. Department of Transportation criteria and standards, as described below.

- (1) If an employee's breath alcohol test indicates a blood alcohol content equal to or greater than the lower threshold currently designated by the Department of Transportation, a second confirmation test will be performed within 15 minutes (or shortly afterwards).
- (2) If the confirmation test indicates a blood alcohol content equal to or greater than the lower threshold, the University will remove the employee from a safety sensitive position for at least 24 hours.
 - (a) Random follow-up testing may occur for up to 5 years after the employee returns to a safety sensitive position.
 - (b) The employee may be reassigned to a non-safety sensitive function.
- (3) If an employee's test indicates a blood alcohol content equal to or greater than the upper threshold currently designated by the Department of Transportation, the University will
 - (a) remove the employee from a safety sensitive function,
 - (b) refer the employee to a substance abuse professional,
 - (c) require the employee to follow the recommendations of the substance abuse professional before allowing the employee to return to a safety sensitive function,
 - (d) conduct random follow-up testing for at least one year after the employee returns to a safety sensitive function, and/or
 - (e) reassign the employee to a non-safety sensitive function.

An employee's refusal to submit to alcohol or controlled substance testing will be construed as a positive test result.

2.4 Drug Testing (Safety Sensitive Positions)

Drug (controlled substance) testing, analysis, and medical review of tests will be conducted in accordance with U. S. Department of Transportation criteria and standards.

If the test result indicates the presence of prohibited drugs, the University will

- (1) remove the employee from a safety sensitive position,

- ~~(2) refer the employee to a substance abuse professional, and~~
- ~~(3) require the employee to follow the recommendations of the substance abuse professional before allowing the employee to return to a safety sensitive position,~~
- ~~(4) conduct random follow-up testing for at least one year after the employee returns to a safety sensitive position, and/or~~
- ~~(5) reassign the employee to a non safety sensitive position.~~

2.5 Treatment

2.3 Medically-Prescribed Treatments

An employee undergoing medically-prescribed treatment with a controlled substance which might impair his/her their ability to perform his or her their work in a safe and efficient manner, must report this treatment to his or her their supervisor or HR. The supervisor and HR will coordinate to assess and ensure the employee's ability to perform and take appropriate action to insure safety in the workplace operation.

It is the responsibility of the employee to follow the guidance given by their health care provider when medication is prescribed. If an employee fails to follow this guidance and it results in a safety incident or damage to university property, the employee may be subject to disciplinary action. Disciplinary action may also be taken if ~~Aan employee who fails to inform report his or her their supervisor of medically-prescribed treatment (with a controlled substance), that may impair his/her ability and who is involved in either an accident or a performance/behavior issue that is detrimental to the University because or related to that treatment, will be disciplined.~~

~~Utah State University requires an employee to seek rehabilitation treatment if he/she tests positive for a drug (controlled substance).~~

- ~~(1) The employee must enroll in a counseling and/or rehabilitation program.~~
- ~~(2) The employee must use accrued sick leave, compensation time, then vacation time until all leave is expended. After the employee uses all his or her paid time off, the University's short-term disability insurance program can be used by eligible employees.~~
- ~~(3) The University will pay the employee's benefit package during the prescribed time of treatment, after all leaves and short-term disability coverage has been used.~~
- ~~(4) If prescribed rehabilitation involves confinement, the University will hold the employee's position until the prescribed length of treatment ends.~~
- ~~(5) Upon verified completion of substance abuse rehabilitation, the University will restore the employee to his or her former position or one of equivalent value.~~

2.6 Disciplinary Action

2.4 Disciplinary Action

An ~~E~~employee's job will not be in jeopardy if they ~~who voluntarily seek assistance for an alcohol or drug dependency-related problemsubstance abuse before it is~~ they are subject to formal disciplinary action(s). ~~will not place his or her job in jeopardy. Rehabilitation, however, is the responsibility of the employee.~~ Additional resources and services may be available through the university's Employee Assistance Program (EAP).

~~The University~~USU may impose disciplinary action or sanctions, up to and including termination on any

employee who violates this policy. ~~Progressive sanctions will be imposed under the disciplinary policies of the University.~~ Action may be taken against an employee if any of the following apply:

- A positive confirmation test for controlled substances.
- A positive confirmation test for alcohol showing more than the state limit of blood alcohol content.
- The employee's actions put others at risk even if a confirmation test for alcohol shows less than the state limit of blood alcohol content.
- An employee fails to notify HR within five (5) calendar days of any conviction of a criminal drug statute that occurred in the workplace or while the employee was engaged in university work off campus.
- An employee in a safety-sensitive position fails to notify HR within five (5) calendar days of an alcohol or drug related felony conviction.

~~Depending on the frequency and seriousness of the offense, additional sanctions may be imposed, including satisfactory participation in an alcohol-, drug-, or substance-abuse assistance or rehabilitation program approved by the Office of Human Resources.~~

~~Employees who have not voluntarily dealt with an alcohol or drug-related problem and whose conduct, performance, or attendance appears to violate this policy will be subject to sanctions by the University as a condition of continued employment.~~

2.7 Conviction of a Workplace Violation

~~An employee who is convicted in a court of law for a workplace violation of this policy must provide notification of the conviction to the Office of Human Resources within 5 days of the conviction. Failure to do so could result in immediate dismissal of the employee.~~

~~The University must impose sanctions on an employee convicted of a workplace violation within 30 days of the conviction. The minimum sanctions that may be imposed on an employee convicted of a violation include participation in an education/rehabilitation program and mandatory probation for at least 90 days, with weekly supervisory reviews.~~

~~The University reserves the right to dismiss any employee convicted of a workplace offense if the University considers it to be in the best interest of the University to do so. All convictions resulting from buying, selling, transferring, or trafficking controlled substances in the workplace will be cause for mandatory dismissal.~~

2.8 Exceptions

~~An employee undergoing medically prescribed treatment with a controlled substance which might impair his/her ability to perform his or her work in a safe and efficient manner, must report this treatment to his or her supervisor. The supervisor will assess the employee's ability to perform and take appropriate action to insure safe operation.~~

~~An employee who fails to inform his or her supervisor of medical treatment that may impair his/her ability and who is involved in an accident or behavior that is detrimental to the University because or related to that treatment, will be disciplined.~~

~~Employees who voluntarily seek assistance for an alcohol or drug dependency related problem before it is subject to formal disciplinary actions will not place his or her job in jeopardy. Rehabilitation, however, is the responsibility of the employee.~~

~~Any employee qualifying for consideration under the Americans with Disabilities Act will be treated by the~~

University under the provisions of that law. 2.5 Confidentiality

Information collected and/or received by USU in connection with this policy and any related procedures is confidential and shall be treated consistent with Utah Code section 34-38-13.

313.3 RESPONSIBILITIES

3.1 Department Heads/Directors and Supervisors

~~Responsible for ensuring that~~ Promote this policy ~~is adhered and adherence to it -at all times-~~ within their departments. Department heads/directors and supervisors should coordinate with the Office of Human Resources in implementing this policy.

3.2 Office of Human Resources

~~Responsible for communicating the University's~~ Establish a drug-free awareness program. Provide clear communication regarding USU's position on a drug- and alcohol-free workplace and campus (and any related programs). Oversee and coordinate drug testing to for all employees. will contact employees for tests and training, and will a Assist department heads/directors and supervisors with the implementation of this policy.

3.3 Employees

Provide timely notification to the Office of Human Resources of any applicable drug or alcohol conviction. Submit to a drug and/or alcohol test as requested by the Office of Human Resources, if applicable, based on this policy.

313.4 REFERENCES

- Omnibus Transportation Employee Testing Act of 1991
- US Department of Transportation Regulations (49 CFR, Part 40)
- Federal Law, Drug-free Workplace Act of 1988
- Federal Law, Drug-Free Schools and Communities Act of 1989
- Utah Code §34-38-1, et seq.
- Americans with Disabilities Act (ADA)

313.5 RELATED USU POLICIES

- USU Policy 311: Setting Expectations and Managing Performance
- USU Student Conduct Article V: University Regulations Regarding Student Conduct

313.6 DEFINITIONS

6.1 Controlled Substance

A controlled substance in schedules I through V of Section 202 of the Controlled Substances Act (21 U.S.C. 812) and as further defined in regulations at 21 CFR 1308.11 through 1308.15.

6.2 Criminal Drug Statute

Criminal drug statute means a Federal or non-Federal criminal statute involving the unlawful manufacture, distribution, dispensing, sale, possession, or use of controlled substances or alcohol in the workplace.

6.3 Safety-Sensitive Employees

An employee who is under the DOT's jurisdiction who could pose a direct safety threat to themselves or others if they do their job while impaired.

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.

RESOURCES

Procedures

- None

Guidance

- None

Related Forms and Tools

- USU Employee Assistance Program (EAP)

Contacts

- None

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2023/

Next scheduled review date: N/A

Previous revision dates: 1999/07/01

University Policy 313: Drug- and Alcohol-Free Workplace

Category: Human Resources

Subcategory: General

Covered Individuals: All Employees

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Office of Human Resources, Associate Vice President of Human Resources

Last Revised: 2023/MM/DD

Previous USU Policy Number: N/A

313.1 PURPOSE AND SCOPE

The purpose of this policy is to provide a safe and productive work and educational environment free from the effects of the unlawful manufacture, distribution, dispensing, sale, possession, or use of controlled substances or alcohol in the workplace, and to promote the protection and safety of students and employees.

313.2 POLICY

It is the policy of Utah State University (USU) to maintain a drug- and alcohol-free workplace. USU expects employees to report to all work assignments unimpaired and in a condition to perform their duties safely, efficiently, and respectfully. Unsatisfactory job performance, attendance, conduct, or behavior caused by alcohol or substance abuse is unacceptable and will not be tolerated.

2.1 Provisions

The unlawful manufacture, distribution, dispensing, sale, possession, or use of controlled substances or alcohol is prohibited on university property. Providing alcoholic beverages during a university-sponsored social event may be authorized if the event is approved by the dean or vice president and the vice president for Finance and Administrative Services.

Successful candidates for safety-sensitive positions at USU will be required to submit to, and pass, a drug and alcohol test. A position offer will be rescinded if a candidate refuses to take the required drug and alcohol test, tests positive for a controlled substance, or their test detects an alcohol content equal to or greater than the upper limit designated by the Department of Transportation (DOT).

University employees must notify the Office of Human Resources (HR) in writing within five (5) calendar days of any conviction of a criminal drug statute if the violation occurred in the workplace or while the employee was engaged in university work off campus. Additionally, an employee in a safety-sensitive position who is convicted under a federal or state criminal statute for an alcohol- or drug-related felony must notify HR of the conviction within five (5) calendar days regardless of where the violation occurred.

Within 30 calendar days of notification of a conviction of a criminal drug statute, the university may require the employee to participate in drug or alcohol abuse assistance or rehabilitation program, and/or may impose disciplinary action and sanctions.

An employee wishing to request a reasonable accommodation under the [Americans with Disabilities Act \(ADA\)](#), in conjunction with this policy, may request the accommodation through HR.

2.2 Drug and Alcohol Testing

USU may require testing for drugs and/or alcohol for any of the following purposes:

- Investigation of possible individual employee impairment while on duty.
- Investigation of accidents in the workplace.
- As part of a drug or alcohol abuse assistance or rehabilitation program.

If a supervisor has a reasonable suspicion that an employee may be impaired at work by alcohol or drugs, they should contact the Office of Human Resources (HR) for additional direction. HR will coordinate a drug and/or alcohol test with the testing vendor under contract with USU.

Drug and alcohol tests will be administered consistent with Utah law for employees in safety-sensitive positions and in accordance with U.S. Department of Transportation (DOT) regulations ([rule 49 CFR, part 40](#)). USU requires employees in safety-sensitive positions to submit to drug and alcohol testing as a condition of hire (pre-employment) and may also require random testing for these employees. Employees in safety-sensitive positions will receive training and information in compliance with federal law.

All drug and alcohol testing shall be conducted by an independent laboratory certified for employment testing.

An employee's refusal to submit to drug or alcohol testing will be treated as having a positive test result and will be subject to disciplinary action (see [USU Policy 311: Setting Expectations and Managing Performance](#)).

2.3 Medically-Prescribed Treatments

An employee undergoing medically-prescribed treatment with a controlled substance which might impair their ability to perform their work in a safe and efficient manner must report this treatment to their supervisor or HR. The supervisor and HR will coordinate to assess and ensure the employee's ability to perform safely in the workplace.

It is the responsibility of the employee to follow the guidance given by their health care provider when medication is prescribed. If an employee fails to follow this guidance and it results in a safety incident or damage to university property, the employee may be subject to disciplinary action. Disciplinary action may also be taken if an employee fails to report their medically-prescribed treatment (with a controlled substance), and is involved in either an accident or a performance/behavior issue.

2.4 Disciplinary Action

An employee's job will not be in jeopardy if they voluntarily seek assistance for substance abuse before they are subject to formal disciplinary action(s). Rehabilitation is the responsibility of the employee. Additional resources and services may be available through the university's Employee Assistance Program ([EAP](#)).

USU may impose disciplinary action or sanctions, up to and including termination on any employee who violates this policy. Action may be taken against an employee if any of the following apply:

- A positive confirmation test for controlled substances.
- A positive confirmation test for alcohol showing more than the state limit of blood alcohol content.
- The employee's actions put others at risk even if a confirmation test for alcohol shows less than the state limit of blood alcohol content.

- An employee fails to notify HR within five (5) calendar days of any conviction of a criminal drug statute that occurred in the workplace or while the employee was engaged in university work off campus.
- An employee in a safety-sensitive position fails to notify HR within five (5) calendar days of an alcohol or drug related felony conviction.

2.5 Confidentiality

Information collected and/or received by USU in connection with this policy and any related procedures is confidential and shall be treated consistent with [Utah Code section 34-38-13](#).

313.3 RESPONSIBILITIES

3.1 Department Heads/Directors and Supervisors

Promote this policy and adherence to it within their departments. Department heads/directors and supervisors should coordinate with the Office of Human Resources in implementing this policy.

3.2 Office of Human Resources

Establish a drug-free awareness program. Provide clear communication regarding USU's position on a drug- and alcohol-free workplace and campus (and any related programs). Oversee and coordinate drug testing for all employees. Assist department heads/directors and supervisors with the implementation of this policy.

3.3 Employees

Provide timely notification to the Office of Human Resources of any applicable drug or alcohol conviction. Submit to a drug and/or alcohol test as requested by the Office of Human Resources, if applicable, based on this policy.

313.4 REFERENCES

- [Omnibus Transportation Employee Testing Act of 1991](#)
- [US Department of Transportation Regulations \(49 CFR, Part 40\)](#)
- [Federal Law, Drug-free Workplace Act of 1988](#)
- [Federal Law, Drug-Free Schools and Communities Act of 1989](#)
- [Utah Code §34-38-1, et seq.](#)
- [Americans with Disabilities Act \(ADA\)](#)

313.5 RELATED USU POLICIES

- [USU Policy 311: Setting Expectations and Managing Performance](#)
- [USU Student Conduct Article V: University Regulations Regarding Student Conduct](#)

313.6 DEFINITIONS

6.1 Controlled Substance

A controlled substance in schedules I through V of Section 202 of the Controlled Substances Act (21 U.S.C. 812) and as further defined in regulations at 21 CFR 1308.11 through 1308.15.

6.2 Criminal Drug Statute

Criminal drug statute means a Federal or non-Federal criminal statute involving the unlawful manufacture, distribution, dispensing, sale, possession, or use of controlled substances or alcohol in the workplace.

6.3 Safety-Sensitive Employees

An employee who is under the DOT's jurisdiction who could pose a direct safety threat to themselves or others if they do their job while impaired.

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.

RESOURCES

Procedures

- N/A

Guidance

- N/A

Related Forms and Tools

- [USU Employee Assistance Program \(EAP\)](#)

Contacts

- N/A

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2023/

Next scheduled review date: N/A

Previous revision dates: 1999/07/01

ITEM FOR ACTION

Re: Amendments to USU Policy 350: Tuition Benefit (formerly Educational Benefits)

Key

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

SUMMARY OF CHANGES

- **Reformatted & Retitled Policy-** Reformatted content to align with new policy format including adding Purpose and Scope. Updated unclear terms and retitled from “Educational Benefits” to “Tuition Benefits”. Clarified that it is “tuition remission” and not “tuition waiver” throughout.
- **Updated Eligibility Requirements and Remission Levels-** Based on feedback from the staff development and retention workgroup, modifying eligibility to be more balanced/consistent.

| Category | Length of Employment* |
|-----------------------|--------------------------|
| Employee | 3 months (no change) |
| Spouse** | 3 months (was immediate) |
| Dependent Children*** | 3 months (was 2 years) |

*Employment must be completed on or before the first day of classes for the applicable semester

**Excludes domestic partners (clarification of practice)

***Under the age of 26 and single on the first day of classes for the applicable semester

- **Clarified Approvals-** Clarified that supervisors must approve requests for this benefit. Additionally, to audit a course, permission must first be obtained from the instructor.
- **Clarified Student Fee Options-** Dependents must pay all student fees. Employees and spouses may choose to waive some or all of student fees.
- **Simplified Credit Limits During Work Hours-** Benefit eligible employees may take up to 6 credit hours per semester during their work hours with supervisory approval (was prorated credits based on % time worked). Such hours may not interfere with department operations or the employee’s performance. Any schedule adjustments or “make-up” time should be coordinated with their supervisor.
- **Clarified Supervisory Responsibilities-** Supervisors review and approve/deny requests for tuition remission considering the needs of the department.
- **Defined Dependent Children-** Covers age, relationship, legal status criteria.

University Policy 350: Tuition Benefits

Category: Human Resources

Subcategory: Benefits

Covered Individuals: Benefit-Eligible Employees

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Office of Human Resources, Associate Vice President for Human Resources

Last Revised: 2023/MM/DD

Previous USU Policy Number: N/A

350.1 PURPOSE AND SCOPE

Utah State University (USU) encourages all individuals associated with USU to continue their educational development. To assist in that regard, USU provides tuition benefits. Tuition benefits have unique eligibility and participation requirements.

350.2 POLICY

This policy establishes the eligibility for defined participants to receive reduced undergraduate, graduate, and differential tuition at USU. It outlines the requirements for approval for the benefit, the tax implications for the individual(s), and any limits that may apply.

2.1 Eligibility

Employees must be benefit eligible and complete three (3) months of employment before they or their eligible spouse (excludes domestic partner) or dependent children are eligible for benefits under this policy. The three (3) months of employment must be completed on or before the first day of classes for the applicable semester. Dependent children must be under the age of 26 and single on the first day of classes for the applicable semester. Eligible participants will receive 50% tuition remission.

USU-Eastern employees with a service hire date prior to July 1, 2010 are grandfathered into the 100% tuition waiver program previously offered by the College of Eastern Utah. This applies only to classes offered as part of the USU-Eastern program. For those same grandfathered employees, classes taken through any other USU program will qualify for 50% tuition remission as stated in this policy.

Employees on sabbatical or other approved leave with pay, their spouses, and their dependent children, are eligible for tuition benefits described in this policy.

Retirees, their spouses, and their dependent children are eligible when the retiree meets the minimum definition of Retirement Status as stated in USU [Policy 361: Retirement Plans and Retirement Benefits](#).

Spouses and dependent children of deceased university employees who were eligible when the employee died will continue to be eligible subject to the provisions of this policy.

Employees on leave without pay (LWOP) for more than six (6) months are not eligible for the benefits described in this policy. Spouses and dependent children of employees on LWOP are also ineligible for

tuition benefits.

This benefit does not apply to courses taken in the College of Veterinary Medicine.

2.2 Approval

Active employees must receive approval from their supervisor to take courses under this benefit. Courses approved to be taken during scheduled working time may not interfere with the operation of the employee's department nor the employee's performance. Employees should work with their supervisor to coordinate work and course schedules and make up missed work time during the same week in which it is missed for class attendance.

2.3 Admissions Provisions

To participate in tuition benefits, the student must be accepted for admission to USU using the regular admission guidelines.

Active employees must complete the [Application for Tuition Remission and Student Fees Waiver](#). Eligible participants without system access should return the applicable paper form(s) directly to the Office of Human Resources.

2.4 Student Fees

Student fees are charged to all students as listed on the [USU Tuition and Fee schedule](#). Dependent children taking university courses must pay all student fees in full.

Employees, retirees, and spouses approved for tuition remission may elect to waive some or all of their student body fees. If the student fees are waived, the services associated with them are no longer available to the student. If the services associated with the fees are wanted, the individual service fees will be charged to the student's account and must be paid in full.

2.5 Credit Limitations

Eligible employees may register for a maximum of six (6) credit hours per semester for courses taken during their scheduled work time. This limit applies to the combination of courses taken for credit and/or audit.

2.6 Financial Limitations

The employee tuition remission is a benefit of employment. This benefit is not reduced when a student receives tuition waivers, except that combined tuition remission and waivers cannot exceed 100% of tuition charges for a given term. For the purposes of this policy, a waiver is any funding that is restricted to the payment of tuition.

2.7 Auditing a Course

To audit a course, an individual must first obtain permission from the instructor. The following individuals are eligible to audit university courses without tuition or mandatory student fees:

- Benefit-eligible employees and their spouses.
- USU retirees (see [USU Policy 361: Retirement Plans and Retirement Benefits](#)) and their spouses.
- Spouses of deceased USU employees who were eligible for this benefit when the employee died.

2.8 Termination While Enrolled in Courses

When employment ends, the employee, spouse, or dependent child, who is in the process of taking a university course using this benefit, will be allowed to complete that course.

2.9 Taxation

Certain educational benefits received by employees, their spouses, and dependent children may be taxable under current IRS rules. If the IRS rules determine that all or a portion of these benefits are taxable, the university will add the value of the benefit received to the employee's income and will withhold appropriate taxes for the amount of the benefit.

Retirees and deceased employee dependents will receive appropriate IRS documents reflecting the taxable benefit received.

350.3 RESPONSIBILITIES

3.1 Supervisors

Review and approve or deny employee requests for tuition remission and/or requests to take classes during work time while considering the department's needs.

3.2 Office of Human Resources

Administer this policy for eligible employees and retirees—their spouses, and dependent children; and for the spouses and dependent children of deceased employees. Assist department heads and supervisors in administering this policy.

3.3 Registrar's Office

Assist the Office of Human Resources in determining eligibility for tuition remission.

3.4 Employees

Coordinate course times with supervisor(s) if taking courses during regular working time to reduce interference with the operation of the department. All employees must follow the normal registration procedures.

Responsible for applicable taxes.

350.4 REFERENCES

- [IRC Section 127](#) (Educational Assistance Programs)
- [IRC Section 117\(d\)](#) (Qualified Tuition Reduction Programs)
- [IRC Section 1.132-1\(f\)](#) (Fringe Benefit rules)
- [USHE R824](#) Tuition Remissions Benefits

350.5 RELATED USU POLICIES

- [USU Policy 361: Retirement Plans and Retirement Benefits](#)

350.6 DEFINITIONS

6.1 Dependent Children

Children, under the age of 26, by birth, legal adoption, placed for adoption, or legal (court-appointed) guardianship granting full guardianship rights who are a disabled dependent due to a physical or mental impairment.

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.

RESOURCES

Procedures

- N/A

Guidance

- N/A

Related Forms and Tools

- [Application for Tuition Reduction and Student Fees Waiver Form](#)

Contacts

- N/A

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2023/MM/DD

Next scheduled review date: N/A

Previous revision dates: 2012/06/29, 2016/03/04



University Policy 350: Tuition Benefits

Category: Human Resources

Subcategory: Benefits

Covered Individuals: Benefit-Eligible Employees

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Office of Human Resources, Associate Vice President for Human Resources

Last Revised: 2023/MM/DD



Previous USU Policy Number: N/A

~~POLICY~~ ~~MANUAL~~ ~~BENEFITS~~

~~Number 350~~

~~Subject: Educational Benefits~~

~~Covered Employees: Benefit-Eligible Employees-~~

~~Date of Origin: January 24, 1997~~

~~Date of Revision(s): June 29, 2012, May 6, 2016~~

~~Effective Date: May 6, 2016~~

~~350.1 POLICY~~

350.1 PURPOSE AND SCOPE

The Utah State University (USU) encourages all individuals associated with Utah State University USU to continue their educational development. To assist in that regard, the University USU has established provides several educational tuition benefits programs. Each program t Tuition benefits has ve unique eligibility and participation requirements.

~~350.2 PROVISIONS~~

~~350.3-~~

~~2.1 Eligibility~~

350.2 POLICY

This policy establishes the eligibility for defined participants to receive reduced undergraduate, graduate, and differential tuition at USU. It outlines the requirements for approval for the benefit, the tax implications for the individual(s), and any limits that may apply.

2.1 Eligibility

Employees must be benefit eligible and complete three (3) months of employment before they or their eligible spouse (excludes domestic partner) or dependent children are eligible for benefits under this policy. The three (3) months of employment must be completed on or before the first day of classes for the applicable semester. According to the stipulations described below, employees who are budgeted 75% time or more are eligible to participate in the educational benefit programs. In addition, their spouses and dependent children must be under the age of 26 and single at the time of registration on the first day of classes for the applicable semester. Eligible participants will receive 50% tuition remission, and all Utah State University retirees, their spouses, and dependent children (under the age of 26 and single at the time of registration), are eligible to participate.

- (1) Employees qualify after 3 months of service working 75% time or more. The 3-month waiting time must be completed on or before the last eligible day that fees are due in the applicable semester.
- (2) Dependent children qualify for benefits after the related University employee has been employed in an eligible position (working 75% time or more) for 2 years.
- (3) Spouses qualify immediately for this benefit. The eligibility period must be completed on or before the last day fees are due in the applicable semester.
- (4) Spouses and dependent children of deceased University employees who were eligible when the employee died will continue to be eligible under the provisions of this policy.

Retirees, their spouses, and dependent children qualify when the retiree meets the minimum definition of Retirement Status as stated in Policy #361 Retirement Plans and Retirement Benefits.

2.2 USU-Eastern Employees with Service Date Prior to July 1, 2010

2.3

Employees of USU-Eastern employees with a service hire date prior to July 1, 2010 are grandfathered into the 100% tuition waiver program previously offered by the College of Eastern Utah. This applies only to classes offered as part of the USU-Eastern program. For the those same grandfathered employees, classes taken through any other USU program will qualify for 50% tuition reduction-remission as stated in this policy.

Employees on sabbatical or other approved leave with pay, their spouses, and their dependent children, are eligible for educational tuition benefits described in this policy.

Retirees, their spouses, and their dependent children are eligible qualify when the retiree meets the minimum definition of Retirement Status as stated in USU Policy #361: Retirement Plans and Retirement Benefits.

Spouses and dependent children of deceased University employees who were eligible when the employee died will continue to be eligible under subject to the provisions of this policy.

Employees on leave without pay (LWOP) for more than six (6) months do not qualify are not eligible for the benefits described in this policy. Spouses and dependent children of employees on LWOP are also disqualified ineligible from the educational for tuition benefits.

2.4 Utah State University Courses for Credit

~~The educational benefit for individuals who meet the eligibility requirements is a reduction in tuition by 50% of the appropriate rate (in-state or out-of-state depending on official residence) for the courses being taken. This reduction is for both day and night courses offered and described on the Online Catalog found at HYPERLINK "<http://catalog.usu.edu/>" \hcatalog.usu.edu.~~

~~For eligible individuals taking study abroad courses, the waiver would be 50% of the equivalent tuition for the number of credits taken.~~

~~The This educational benefit does not apply to courses taken in the ~~School~~ College of Veterinary Medicine.~~

2.5 Utah State University Non-Tuition Fees

2.2 Approval

~~Active employees must receive approval from their supervisor to take courses under this benefit. Courses approved to be taken by employees during regular scheduled working hours may not interfere with the operation of the employee's department, and nor the employee's performance. must have the permission of his or her. Employees should work with their supervisor or department head to coordinate work and course schedules. Regular hours of work m and make up missed work by non-exempt employees for class attendance must be made up time during the same week in which they it is are missed for class attendance.~~

2.3 Admissions Provisions

~~All individuals who want tTo participate in the educational tuition benefits program the student must apply and be accepted for admission to the University USU using the regular admission guidelines.~~

~~Active employees must complete the online HYPERLINK "https://usu.service-now.com/aggies?id=sc_cat_item&sys_id=7b8acf6bfc1b31005736528164edd7bf" \hTuition Reduction Application form and HYPERLINK "<https://hr.usu.edu/benefits/tuition-reduction>" \hWaiver of HYPERLINK "<https://www.usu.edu/hr/files/benefits/student-fee-waiver.pdf>" \hNon-Tuition Fees form, if applicable, available on the Human Resources website Application for Tuition Remission and Student Fees Waiver. All others Eligible participants without system access should return the applicable paper form(s) directly to the Office of Human Resources office.~~

2.4 Student Fees

~~Student fees are charged to all students as listed on the USU Tuition and Fee schedule. Dependent children taking U university courses must pay all student full non-tuition fees in full.~~

~~Employees, retirees, and spouses are not required to pay non-tuition fees (approved for tuition remission may elect to waive some or all of their student body fees), except for the following, which will be paid at the standard rate: special lab and class fees, graduation fees, correspondence or home study fees, noncredit workshops, conferences, institutes, special field trip fees, and fees for most courses offered by the Regional Campuses. If the student fees are waived, the services associated with them are no longer available to the student. If the services associated with the fees are wanted, the individual service fees will be charged to the student's account and must be paid in full.~~

~~If, while taking University classes, the eligible employee, spouse, retiree, or spouse of an eligible retired or deceased employee desires student privileges that require fees, (i.e. activity fees) the fees must be paid at the time of registration.~~

Page-

~~Dependent children taking University courses must pay full non-tuition fees.~~

2.5 Credit Limitations

~~Full-time Utah State University Eligible employees (95% time or greater) may register for a maximum of six (6) credit hours per semester, to be for courses taken during their employee's normal working hours scheduled work time. This limit applies to the combination of courses taken for credit and/or audit.~~

2.6 Financial Limitations

~~The employee/spouse/dependent waiver tuition remission is a benefit of employment, and provides a 50% waiver of tuition. This benefit is not reduced when a student receives other tuition waivers, except that combined tuition remission and waivers cannot exceed 100% of tuition charges for a given term. For the purposes of this policy, a waiver is any funding that is restricted to the payment of tuition.~~

~~2.6 Utah State University Courses Taken for Audit~~

2.7 Auditing a Course

~~To audit a course, an individual must first obtain permission from the instructor. All budgeted employees working 50% time or more, their spouses, and University retirees and their spouses qualify forThe following individuals are eligible to auditing University courses without tuition and or mandatory student fees; or a waiting period. ~~Dependent children do not qualify for this benefit.~~~~

- Benefit-eligible employees and their spouses.
- USU Retirees (see USU Policy 361: Retirement Plans and Retirement Benefits) and their spouses qualify for this benefit when the retiree meets the minimum definition of Retirement Status as stated in Policy #361 Retirement Plans and Retirement Benefits.
- Spouses of deceased University-USU employees who were eligible for this benefit when the employee died ~~will continue to be eligible.~~

~~Retirees and their spouses qualify for this benefit when the retiree meets the minimum definition of Retirement Status as stated in Policy #361 Retirement Plans and Retirement Benefits.~~

2.7 Full Time Employee Limitations

~~Full-time Utah State University employees (95% time or greater) may register for a maximum of 6 credit hours per semester, to be taken during the employee's normal working hours. This limit applies to the combination of courses taken for credit or audit. Employees working less than full-time may register for the following credit hours, to be taken during the employee's normal working hours:~~

| Percent of Time Working | Credit Hours Allowed During Normal Working Hours Per Semester |
|--------------------------------|--|
| 95—100 % | 6 hours |
| 85—94 % | 5 hours |
| 75—84 % | 4 hours |
| less than 75% | ineligible |

~~Courses taken by employees during regular working hours may not interfere with the operation of the employee's department, and the employee must have the permission of his or her supervisor or department head. Regular hours of work missed by non-exempt employees for class attendance must be made up during the same week in which they are missed.~~

~~When the same course is offered in both day and night sessions, the employee is encouraged to enroll in-~~

~~the night course.~~

~~Employees who work on an academic year basis (9 months—August through early May) are not restricted by the limitations above during the period of the year in which they are not working full-time (normally the summer term).~~

~~Qualified employees are not restricted by the limitations above for courses that are to be taken during non-working hours.~~

~~2.8 Admissions and Registration Provisions~~

~~All individuals who want to participate in the educational benefits program must apply and be accepted for admission to the University using the regular admission guidelines.~~

~~Active employees must complete the online [Tuition Reduction Application form](#) and [Waiver of Non-Tuition Fees form](#), if applicable, available on the Human Resources website. All others should return the applicable paper form(s) directly to the Human Resources office.~~

~~2.9 Termination While Attending Classes~~

~~2.8 Termination While Enrolled in Courses~~

~~Employees who terminate employment with the University for reasons other than retirement or death disqualify themselves, their spouses, and dependent children from participating in future educational benefit programs.~~

When employment ends, the employee, spouse, or dependent child, who is in the process of taking a University course ~~with reduced tuition fees under the guidelines of this policy~~ [using this benefit](#), will be allowed to complete that course. ~~Any future courses taken will require payment of the fully applicable tuition costs.~~

~~Employees on leave without pay (LWOP) for more than 6 months do not qualify for the benefits described in this policy. Spouses and dependent children of employees on LWOP are also disqualified from the educational benefits. Employees on sabbatical or other approved leave with pay, their spouses and dependent children, are eligible for educational benefits described in this policy.~~

~~2.10 Financial Limitations~~

~~The employee/spouse/dependent waiver is a benefit of employment and provides a 50% waiver of tuition. This benefit is not reduced when a student receives other tuition waivers, except that combined tuition waivers cannot exceed 100% of tuition charges for a given term. For the purposes of this policy, a waiver is any funding that is restricted to the payment of tuition.~~

~~2.11 Appeal Process~~

~~Refer to Policy #325 Employee Grievance Procedures.~~

~~2.12 Taxation~~

~~2.9 Taxation~~

Certain educational benefits received by employees, their spouses, and dependent children may be taxable under current IRS rules. If the IRS rules determine that all or a portion of these benefits are taxable, the University will add the value of the benefit received to the employee's income and will withhold appropriate taxes for the amount of the benefit.

Page-

Retirees and deceased employee dependents will receive appropriate IRS documents reflecting the taxable benefit received.

350.4 RESPONSIBILITY

350.3 RESPONSIBILITIES

2.13 Department Heads and Supervisors

3.1 Supervisors

Review and approve or deny employee requests for tuition remission and/or requests to take classes during work time. ~~Responsible to administer this policy for employees within their departments~~ while considering the department's needs ~~of the department~~.

2.14 Office of Human Resources

3.2 Office of Human Resources

~~Responsible to a~~Administer this policy for eligible employees and retirees, ~~—~~their spouses, and dependent children; and for the spouses and dependent children of deceased employees. ~~Responsible to a~~Assist department heads and supervisors in administering this policy.

3.3 Registrar's Office

Assist the Office of Human Resources in determining eligibility for tuition remission.

2.15 Employees

3.4 Employees

Coordinate course times with supervisor(s) ~~!f~~ taking courses during regular working hourstime; ~~employees must coordinate course times with supervisors~~ to reduce interference with the operation of the department. All employees must follow the normal registration procedures.

Responsible for applicable taxes, ~~as appropriate~~.

350.4 REFERENCES

- IRC Section 127 (Educational Assistance Programs)
- IRC Section 117(d) (Qualified Tuition Reduction Programs)
- IRC Section 1.132-1(f) (Fringe Benefit rules)
- USHE R824, Tuition Remissions Benefits

350.5 RELATED USU POLICIES

- USU Policy 361: Retirement Plans and Retirement Benefits

350.6 DEFINITIONS

6.1 Dependent Children

Children, under the age of 26, by birth, legal adoption, placed for adoption, or legal (court-appointed) guardianship granting full guardianship rights who are a disabled dependent due to a physical or mental impairment.

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.

RESOURCES

Procedures

- N/A

Guidance

- N/A

Related Forms and Tools

- Application for Tuition Reduction and Student Fees Waiver Form

Contacts

- N/A

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2023/MM/DD

Next scheduled review date: N/A

Previous revision dates: 2012/06/29, 2016/03/04

Item for Action

RE: [Updates to USU Policy 398: Reduction in Force \(RIF\)](#)

KEY

- **Red** – Is anything that was removed from the current policy
- **Blue** – Anything that was added
- **Black** – Original to Policy that was not changed
- **Dark/Light Green** – Text that was moved within the policy.

Summary of Changes

- **Reformatted Policy-** Reformatted content to align with new policy format, including adding Purpose and Scope and removal of procedures. Clarified and updated language, definitions, and policy references throughout to align with current practices.
- **Updated/Added Definitions-** Defined Recall, RIF, Reestablishment. Updated definition for Seniority and Job Family to better align with current RIF practices and terminology.
- **Clarified Reasons for RIF-** May occur due to budgetary needs, program reductions, reorganization, or other business needs.
- **Clarified Protected Status-** Updated language from “impermissible grounds” to “protected status” to be more aligned with current terminology. Refer to Policy 399: Termination of Exempt and Non-Exempt staff when terming for cause.
- **RIF Benefit Exclusions-** Added explicit language excluding temporary positions, grant/contract funded positions, employees in introductory period and employees engaged in recent documented disciplinary action (i.e., last 6 months) from receiving RIF benefits.
- **Deleted Affirmative Action Language-** Deleted references related to minorities and women bumping rights being different where underutilization could be present. This is in line with current legal recommendations related to use of affirmative action language for appointments of opportunity.
- **Clarified Bumping Rights-** Updated language on how bumping rights are assessed and administered (i.e., bumping less senior employees in an equal or lower salary grade of the same job family with the same department if the employee is otherwise qualified). Added language that employees who have been on a documented disciplinary action or performance plan in the previous 6-months are not eligible for bumping rights.
- **Clarified Employee Notification-** Added provision requiring written notice of termination by supervisor after consultation with HR.
- **Priority Interviews-** Clarified that Priority Interviews do not guarantee job placement and cited eligibility criteria for priority interview (i.e., employee has applied, meets minimum qualifications,

and is at the same/lower grade as the employee's affected position). Changed time frame for priority interviews from one year to six months.

- **Combined Reestablishment, Recall, and Reassignment-** Combined these post-RIF categories under one section of the policy. Typically, we will not reestablish a position for one (1) year from date of the RIF unless the department is planning to recall the individual who received the RIF.

University Policy 398: Reduction in Force

Category: Human Resources

Subcategory: Employment

Covered Individuals: Benefit-eligible Staff

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Office of Human Resources, Associate Vice President of Human Resources

Last Revised: 2023/MM/DD

Previous USU Policy Number: N/A



POLICY MANUAL

EMPLOYMENT

Number 398

Subject: Reduction in Force

Covered Employees: Classified and Professional Employees

Date of Origin: January 24, 1997

Effective Date of Last Revision: July 1, 1999

398.1 POLICY PURPOSE AND SCOPE

The terms of this policy will govern job termination and salary reductions for a reduction in force among While Utah State University (USU) classified and professional staff. A reduction in force could result from strives to provide a stable and secure environment in which to work, under certain circumstances it may be necessary to eliminate ion of funds or the dissolution or employee positions, reduce hours, or reduce salaries due to budgetary needs, program reductions, reorganization, of programs. The Office of Human Resources should be notified as soon as a reduction in force situation becomes known or other business needs.

398.2 POLICY

A Reduction in Force (RIF) may be necessary or appropriate when there is a lack of funds; a redesign or elimination of work; a redundancy in roles; or excess capacity within a work group or across work groups such that it would be economically feasible and responsible to reduce the number of employees in a department.-

Termination of employees or salary reductions of personnel employees due to a reduction in force RIF must not be based on impermissible grounds a protected status such as race, color, religion, sex, gender identity or expression, sexual orientation, national origin, age (40 and older), disability, or the exercise of first amendment rights, except as provided in (3) above status as a protected veteran. This policy should not be used in lieu of dismissing an employee does not include termination for cause such as performance or disciplinary issues (-For clarification of termination for cause, see USU pPolicy 399: Termination of Exempt and Non-exempt Staff).

When a department determines the need for a RIF, the supervisor must contact Human Resources who will guide the department in assessing options and developing a plan for implementing the RIF.

2.1 Employee Notification

When it is necessary for the University USU to implement a reduction in force RIF, or to terminate an employee for reasons other than cause, affected employees will be given written notice of termination (2 weeks for classified staff and 4 weeks for professional staff). If the full required notice is not given, an employee may be given pay in lieu of notice on a full or partial basis by the supervisor after consultation with the Office of Human Resources.

398.2 DEFINITIONS

2.1 Seniority

The accumulated time of all salaried service at the University in which the employee provided services in a position that is in the same designated job family as the employee's current position.

2.2 Job Family

A series of jobs which have a basis of common skills, occupational qualifications, technology, licensing, working conditions, work place, career paths, and organizational tradition.

398.3 PROCEDURES

3.1 Reduction in Force

(1) Staff may be terminated or their hours and/or salaries reduced without any demonstration or suggestion of incompetence, poor performance, or wrongdoing as the result of a reduction in force, with the approval of the dean/vice president and the Provost.

(2) This policy does not include termination for cause. For clarification of termination for cause, see policy 399.

3.2 Layoffs Determined Primarily By Seniority

When a department must reduce or reorganize its staff, the administrator should arrange layoffs within the targeted program and employment classification beginning with less senior employees, unless important job-related considerations dictate a different order of layoffs. Any time an administrator discharges employees out of the order of seniority, he or she will provide written reasons to the Director of the Office of Human Resources.

(1) Bumping rights within the department and job family.

2.2 Bumping Rights

~~Employees targeted for layoff do not bump employees with less seniority in other departments of the University or within the same department in different job families or higher employment classifications. However, a~~ An employee ~~targeted identified~~ for ~~layoff a~~ RIF may bump a less senior employee in an equal or lower ~~employment classification~~ grade of the same job family within the same department, ~~as long as~~ if the employee ~~targeted identified~~ for a RIF has the necessary ~~job skills~~ qualifications to perform in that position. If this occurs, the bumping employee ~~individual~~ will be adjusted to the salary schedule for the position of the bumped ~~individual~~ employee.

A benefit-eligible employee who is identified ~~to be laid off through a reduction in force~~ for a RIF may also bump a less senior, ~~hourly non-benefited~~ employee who is ~~working performing similar duties and is within~~ in the same ~~job family and department, with salary and benefits adjusted according to the eligibility of the hourly position being bumped.~~

Employees engaged in any documented disciplinary action or performance plan in the previous 6-month period are not eligible for bumping rights.

~~(2) Personnel of equal seniority.~~

~~In situations where the seniority of staff members in programs or classifications identified for reduction is equal, relative competence and experience, or any job-related factor at the discretion of the supervisor, will be the determining factor for reduction. Layoffs among persons of equal seniority will be managed so that the numbers of women and minorities in the affected department are not disproportionately reduced.~~

~~(3) Minorities and women.~~

~~Minorities and women (frequently last hired to redress ethnic and gender underutilization) will be protected from bumping, regardless of their seniority if the bumping situation negatively affects the department's utilization statistics. An exception to this would be granted if the individual of a protected group were transferred to another position in another unit/department. Any transfer affecting either the losing organization's affirmative action goals or the gaining organization's affirmative action goals will be reviewed by the Director of the AA/EO Office.~~

~~(4) Equal opportunity.~~

~~Termination or salary reductions of personnel due to a reduction in force must not be based on impermissible grounds such as race, color, religion, sex, national origin, age, disability, or the exercise of first amendment rights, except as provided in (3) above.~~

~~3.3 Right to First Interview for Available Positions~~

~~2.3 Priority Interview~~

Hiring managers must give a priority interview to employees if the following criteria are met:

- The employee has applied for the position.
- The employee meets the minimum qualifications of the position.
- The position is at the same or lower grade as the employee's position that was subject to the RIF.

Priority interviews help employees find employment after their positions have been subject to a RIF, but ~~do not~~ guarantee job placement.

~~In the event of a reduction in force, hiring administrators in other University departments will interview the affected qualified employee for open positions at an equal or lesser grade. Administrators are not required to hire such individuals, but the qualified employee will receive priority interviewing status before the position is opened for career enhancement opportunity or to the general public. Affected individuals are given "right to first interview" status for one year from the date of termination (whether or not they become employed off campus). The affected individual may apply for higher level positions, but will not receive "right to first interview" for those positions.~~

~~If an affected employee is not hired after interviewing for an open position for which he or she is qualified, the hiring administrator will supply in writing to the Director of the Office of Human Resources reasons for not hiring the individual. Such reasons may include legitimate questions concerning competence, past performance, or any other job-related consideration. The Office of Human Resources will coordinate the priority interviewing efforts for affected employees with departments that have appropriate open positions.~~

Outplacement

~~However, The UniversityUSU is not required to create a position for or retrain an affected employee who is laid off. The University will make a reasonable effort to help laid-off employees obtain other employment.~~

Priority interviews will be granted for up to six (6) months from the position's date of termination.

2.4 Exclusions

The following positions and/or statuses are not eligible for bumping rights or priority interviews:

- Temporary positions where the duration of the position is defined.
- Grant or contract funded positions where the position is defined as "contingent upon funding."
- Employees who are in the introductory period of employment (see USU Policy 395: Introductory Period of Employment).

3.4 Reduction Through Cutbacks in Hours and/or Salaries

~~If an administrator chooses to implement a reduction by cutting salaries and/or hours of staff, the following rules apply:~~

~~(1) The administrator may apportion the cuts evenly among employees within the same employment classification and department, or~~

~~(2) the administrator may let reductions fall in the reverse order of seniority within the same employment classification and department, or the administrator may let such cuts fall outside the order of seniority if important job-related considerations dictate another order of cuts, and with approval of the Director of the Office of Human Resources.~~

3.5 Post-Layoff Adjustments

~~Employees remaining after a reduction in force must have the necessary skills and capabilities to accomplish the duties of the remaining positions. Retraining should be considered only if the layoff period is expected to be lengthy. If the tasks to be performed in a remaining position are difficult for the remaining employee(s) to perform in a satisfactory manner, the appropriate dean or vice president will approve one of the following:~~

~~(1) Allow the remaining employee(s) to complete short-term training to acquire necessary skills, or~~

~~(2) Allow the remaining employee(s) an introductory period of 90 days to assume all duties and responsibilities and to perform at a satisfactory level. At the end of the introductory period, if it is demonstrated by the supervisor to the dean or vice president that the performance is substandard, the~~

~~employee may be placed in layoff status and another employee recalled in the order of seniority, if the employee to be recalled is considered to have the necessary skills and capabilities to accomplish the job.~~

~~3.6 Reestablishment of Positions~~

2.5 Position Reestablishment and Employee Recall

~~3.7~~ Reestablishment of a position which has been ~~discontinued-eliminated~~ under a ~~reduction-in-force~~RIF action requires prior approval ~~of-from~~ the Office of Human Resources, ~~AAVEO Office, and the Provost~~. Typically, a budgeted position ~~may-will~~ not be reestablished for at least one (1) calendar year ~~from the RIF date~~. **Recall**

~~Employees laid off due to a reduction in force will be recalled without advertising if an opening occurs in the same department in a position of the same job family with equal or lower classification, and if the recall takes place~~ If a position is reestablished within one (1) year from the RIF date, employees will be recalled ~~of layoff~~without advertising. If more than one person has been ~~laid-off from the same-employment category and department~~affected by a RIF from the same job family and department, the employee must be rehired in order of ~~length-of previous service~~seniority unless important job-related reasons for recall out of order can be demonstrated in writing to ~~the Director of the Office of Human Resources~~HR.

~~3.8 Notice and Pay in Lieu of Notice~~

~~When it is necessary for the University to implement a reduction in force, or to terminate an employee for reasons other than cause, affected employees will be given written notice of termination (2 weeks for classified staff and 4 weeks for professional staff). If the full required notice is not given, an employee may be given pay in lieu of notice on a full or partial basis.~~

398.3 RESPONSIBILITIES

3.1 President/Provost

Review and deny/approve RIF requests.

3.2 Department Head/Directors

Contact HR, list reason(s) for RIF, and submit plan to Dean/VP. Notify employees.

3.3 Office of Human Resources

Check bumping rights, review plans to ensure that all RIFs are handled in a non-discriminatory fashion. Oversee the priority interview process. Provide consultation to affected employees.

3.4 Employees

Initiate application for position(s) for which they are qualified.

398.4 REFERENCES

- N/A

398.5 RELATED USU POLICIES

- USU Policy 395: Introductory Period of Employment

- USU Policy 399: Termination of Exempt and Non-exempt Staff

398.6 DEFINITIONS

6.1 Job Family

A series of jobs which have a basis of common skills, occupational qualifications, technology, licensing, working conditions, work place, career paths, and organizational tradition.

6.2 Recall

Reinstating an employee in the same position or a position in the same job family within one (1) calendar year.

6.3 Reduction in Force

A separation from employment due to a lack of funds; a redesign or elimination of work; a redundancy in roles; or excess capacity within a work group or across work groups such that it would be economically feasible and responsible to reduce the number of employees in a department.”

6.4 Re-establishment

Requesting a new position that was previously eliminated due to a RIF.

6.5 Seniority

The total length of service in the affected position.

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.

RESOURCES

Procedures

- N/A

Guidance

- N/A

Related

- N/A

Contacts

- N/A

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2023/

Next scheduled review date:

Previous revision dates: 1999/07/01

University Policy 398: Reduction in Force

Category: Human Resources

Subcategory: Employment

Covered Individuals: Benefit-eligible Staff

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Office of Human Resources, Associate Vice President of Human Resources

Last Revised: 2023/MM/DD

Previous USU Policy Number: N/A

398.1 PURPOSE AND SCOPE

While Utah State University (USU) strives to provide a stable and secure environment in which to work, under certain circumstances it may be necessary to eliminate employee positions, reduce hours, or reduce salaries due to budgetary needs, program reductions, reorganization, or other business needs.

398.2 POLICY

A Reduction in Force (RIF) may be necessary or appropriate when there is a lack of funds; a redesign or elimination of work; a redundancy in roles; or excess capacity within a work group or across work groups such that it would be economically feasible and responsible to reduce the number of employees in a department.

Termination of employees or salary reductions of employees due to a RIF must not be based on a protected status such as race, color, religion, sex, gender identity or expression, sexual orientation, national origin, age (40 and older), disability, or status as a protected veteran. This policy should not be used in lieu of dismissing an employee for cause such as performance or disciplinary issues (see [USU Policy 399: Termination of Exempt and Non-exempt Staff](#)).

When a department determines the need for a RIF, the supervisor must contact Human Resources who will guide the department in assessing options and developing a plan for implementing the RIF.

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When it is necessary for USU to implement a RIF, affected employees will be given written notice of termination by the supervisor after consultation with the Office of Human Resources.

2.2 Bumping Rights

An employee identified for a RIF may bump a less senior employee in an equal or lower grade of the same job family within the same department if the employee identified for a RIF has the necessary qualifications to perform in that position. If this occurs, the bumping employee will be adjusted to the salary schedule for the position of the bumped employee.

A benefit-eligible employee who is identified for a RIF may bump a less senior, non-benefited employee who is performing similar duties and is within the same department.

Employees engaged in any documented disciplinary action or performance plan in the previous 6-month

period are not eligible for bumping rights.

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Hiring managers must give a priority interview to employees if the following criteria are met:

- The employee has applied for the position.
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- The position is at the same or lower grade as the employee's position that was subject to the RIF.

Priority interviews help employees find employment after their positions have been subject to a RIF, but *do not* guarantee job placement. However, USU is not required to create a position to accommodate an affected employee.

Priority interviews will be granted for up to six (6) months from the position's date of termination.

2.4 Exclusions

The following positions and/or statuses are not eligible for bumping rights or priority interviews:

- Temporary positions where the duration of the position is defined.
- Grant or contract funded positions where the position is defined as "contingent upon funding."
- Employees who are in the introductory period of employment (see [USU Policy 395: Introductory Period of Employment](#)).

2.5 Position Reestablishment and Employee Recall

Reestablishment of a position which has been eliminated under a RIF requires prior approval from the Office of Human Resources. Typically, a budgeted position will not be reestablished for at least one (1) calendar year from the RIF date. If a position is reestablished within one (1) year from the RIF date, employees will be recalled without advertising. If more than one person has been affected by a RIF from the same job family and department, the employee must be rehired in order of seniority unless important job-related reasons for recall out of order can be demonstrated in writing to HR.

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398.4 REFERENCES

- N/A

398.5 RELATED USU POLICIES

- [USU Policy 395: Introductory Period of Employment](#)
- [USU Policy 399: Termination of Exempt and Non-exempt Staff](#)

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Guidance

- N/A

Related

- N/A

Contacts

- N/A

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2023/

Next scheduled review date:

Previous revision dates: 1999/07/01

Academic Freedom and Tenure (AFT) Committee, Utah State University Report to
the Faculty Senate for Academic Year 2022-2023

Membership FY2023

Doug Ramsey, Committee Chair

Agriculture and Applied Sciences - Matt Bunnell

Arts - Maureen Hearn

Business - Kelly Fadel

Education and Human Services - David Feldon

Engineering - Shelly Halling

Extension - Michael Caron

Humanities and Social Sciences - Anna Pechenkina

Libraries - Carol Kochan

Natural Resources - Doug Ramsey (Chair)

Science - Joe Koebbe

Statewide Campuses - Scott Hammond

USU Eastern - Michaelann Nelson

Mission as Defined in USU Policies and Procedures

The Academic Freedom and Tenure Committee “is an administrative hearing body, with jurisdiction in matters related to academic freedom, tenure, promotion, dismissals, and other sanctions; and actions alleged not to be in accordance with the adopted standards, policies, and procedures of the university” [Policy 402.2.12.3.1].

Committee Business Academic Year 2023

During the 2022-2023 academic year, the AFT committee chair received one inquiry at the end of the fiscal year, from a faculty member to submit a grievance. From this inquiry, no grievance was filed.

R. Douglas Ramsey
Professor, Department of Wildland Resources
AFT Committee Chair

Utah State University

Athletics Council Report for

July 1, 2022 to June 30, 2023

Submitted to the
Utah State University Faculty Senate
by USU Athletics Council

Trevor P. Robinson, Athletics Council Chair (2022-2023), James T. Morton, Athletics Council Vice Chair (2022-2023), Edward M. Heath, Faculty Athletics Representative (2022-2023)

Faculty Senate Report

Athletics Council

Introduction

Council Members: Clara Alder, Paul Barr, Jerry Bovee, Eadric Bressel, Noelle Cockett, Annalise County, Dave Cowley, Amy Crosbie, Christopher Garff, Jacob Garcia, Ed Heath, Joyce Kinhead, Michelle McKnight, James Morton, Eric Olsen, Whitney Pugh, Trevor Robinson, Ryder Sasser, Roko Savin, Larry Smith, Denise Stewardson, Peyton Teevens, Robert Wagner, Matthew White

Mission: The Athletics Council advises the President with respect to the athletics program. The duties of the council are to: (a) help maintain an athletics program compatible with the best academic interests of the university; (b) assure compliance with the rules of the National Collegiate Athletic Association (NCAA), and the university athletics code; (c) review and recommend to the President and the Board of Trustees all intercollegiate athletics budgets; and (d) recommend policies and procedures for all aspects of the intercollegiate programs. The annual report from the Athletics Council to the Faculty Senate includes both future and current issues facing the Athletics Department. Each issue is reviewed by the Athletics Council to ensure the Department of Athletics is operating within the guidelines of the NCAA and Utah State University.

I. Athletics Council Issues/Actions during 2022-23 academic year (highlights briefly described below from the four scheduled AC meetings – October 5, 2022; November 16, 2022; January 27, 2023; and April 12, 2023 as well as each of the subcommittee’s meetings that meet twice during the academic year)

1. Student Academic and Athletics Eligibility and Intercollegiate Sports

- Academic performance of student-athletes for each of the USU teams was reviewed during each semester.
 - Academic Progress Rate (APR) and Graduation Success Rate (GSR) reviewed for each team (refer to Academic Performance data listed below).
- a. Academic Performance of Student Athletes to 2022-23.
- i. Graduation Rates – Federal Rate:
 - The 16-17 cohort rate is 66% with a 4-class average of 64%
 - The 15-16 cohort rate is 55% with a 4-class average of 64%
 - The 14-15 cohort rate is 72% with a 4-class average of 70%
 - The 13-14 cohort rate is 61% with a 4-class average of 69%
 - The 12-13 cohort rate is 69% with a 4-class average of 70%
 - The 11-12 cohort rate is 78% with a 4-class average of 67%
 - The 10-11 cohort rate is 65% with a 4-class average of 66%

- The 09-10 cohort rate is 67% with a 4-year average of 67%
- The 08-09 cohort rate is 55% with a 4-year average of 66%
- The 07-08 cohort rate is 75%, with a 4-year average of 68%
- The 06-07 cohort rate is 68%, with a 4-year average of 61%
- The 05-06 cohort rate is 62%, with a 4-year average of 61%
- The 04-05 cohort rate is 64%, with a 4-year average of 62%
- The 03-04 cohort rate is 48%, with a 4-year average of 57%
- The 02-03 cohort rate is 73%, with a 4-year average of 60%
- The 01-02 cohort rate is 65%, with a 4-year average of 58%
- The 00-01 cohort rate is 41%, with a 4-year average of 55%
- The 99-00 cohort rate is 61%, with a 4-year average of 64%
- The 98-99 cohort rate is 64%, with a 4-year average of 62%

The NCAA released the first Graduation Success Rate (GSR) for all teams of all NCAA Division I Member Institutions in December 2005. This rate, a 4-year average that can be directly compared to the Federal Rates' 4-year average mentioned above, is a more accurate snapshot of how scholarship student-athletes graduate. Students who transfer to USU that fall into one of the cohorts are counted in this rate (they are not counted in the federal rate) when they graduate; students who transfer from USU and are academically eligible at the time of transfer do not count against USU graduation rates (as they do with the federal rate). The overall USU GSR for the 4-year cohorts encompassing 2012-2015, to be publicly released in November, is 90%.

b. Academics/Awards

- Composite cumulative 3.39 (through Spring 2023) Student-Athlete GPA.
- 122 Academic All-Mountain West Conference Selections (spring 2023) with a 3.00 or better GPA.
- Utah State earned 183 Mountain West Scholar-Athlete recognitions exhibiting a 3.50 or better GPA. (Most in MW Conference)
- 224 Whitesides' Scholar-Athletes (3.2 or better GPA).
- General Highlights
 - 75% above 3.00 cumulative GPA (student-athletes)
 - 208 overall academic all-conference recognitions
 - 63% earned Whitesides' scholar-athlete recognition
 - 14 of 16 teams earned at least a 3.00 cum GPA
 - 14 of 16 teams earned a 3.20 or higher cum GPA
- Team Academic Recognitions
 - **Men's Basketball** – 3 MW Scholar-Athletes, 4 All Academic MW award winners.
 - **Football** – 3 were named as a member of the National Football Foundation & College Hall of Fame (NFF) Hampshire Honor Society. The 2023 class is comprised of college football players from all divisions of play who each maintained a cumulative 3.2 GPA or better throughout their college careers.

- **Men's Golf** – 3 earned CSC Academic All District
- **Men's and Women's Track & Field** earned 15 USTFCCCA All-Academic Team Honors and 10 CSC Academic All District.
- **Men's Cross Country** - earned all-academic distinction from the USTFCCCA for their efforts both academically and athletically. The men's team (3.61) recognized for notching a cumulative GPA of at least 3.00 or higher. **Camren Todd** wins NCAA Elite 90 Award for second time in career. (The Elite 90, an award founded by the NCAA, recognizes the true essence of the student-athlete by honoring the individual who has reached the pinnacle of competition at the national championship level in his or her sport, while also achieving the highest academic standard among his or her peers). The men's team earned the NCAA's Public Recognition Award with a perfect score of 1,000. Public Recognition Awards are given to teams finishing in the top 10 percent of APR scores within each sport. This marks the fifth year in a row the men's cross-country team has had an APR of 1,000.
- **Men's Tennis** – The men's tennis team earned 2023 Division I All-Academic Team honors from the Intercollegiate Tennis Association (ITA). 6 Aggies were named ITA Scholar-Athletes. 2 named to Collegiate Sports Communicators (CSC) Academic All District
- **Women's Basketball** – 6 MW Scholar-Athlete Awards, 8 Academic All MW.
- **Women's Cross Country** – earned all-academic distinction from the USTFCCCA for their efforts both academically and athletically. The women's team (3.82) were recognized for notching a cumulative GPA of at least 3.00 or higher. Individually, Sophomore **Ana Weaver** earned USTFCCCA All-Academic accolades for maintaining a cumulative GPA of at least 3.25 and finishing in the top 25 (or 10 percent) at the NCAA Regional Championships. The women's team was recognized for having an Academic Progress Rate (APR) of 1,000 for second year. **Mica Rivera** was nominated for NCAA Woman of the Year Award (1 of 2 nominated from USU)
- **Gymnastics** – 10 members earned Scholastic All-America Award accolades from the Women's Collegiate Gymnastics Association (WCGA) for 2022-2023. 4 members earned College Sports Communicators (CSC) Academic All-District teams. These are the first academic all-district honors for a Utah State gymnast in program history. The women's team was recognized for having an Academic Progress Rate (APR) of 1,000 for second year
- **Women's Soccer** – 6 Utah State soccer players have been announced as members of the College Sports Communicators (CSC) 2022 Academic All-District teams. **Sara Noel-Taylor** was nominated for NCAA Woman of the Year Award (1 of 2 nominated from USU)
- **Women's Softball** – 3 Utah State softball student-athletes were named to the College Sports Communicators (CSC) Academic All-District team.

- **Women's Tennis** - The women's team was recognized for having an Academic Progress Rate of 1,000. **Zeynep Nas Ozturk** named to CSC Academic All District.
- **Women's Volleyball** - Earned the United States Marine Corps (USMC) and the American Volleyball Coaches Association (AVCA). Utah State also earned the Team Academic Honor Roll distinction, representing the top 20 percent of team GPAs in Division I volleyball programs. Utah State volleyball senior opposite side hitter **Kylee Stokes** and sophomore setter **Beatriz Rodrigues** have been named to the College Sports Communicators (CSC) Academic All-District teams, The duo are the first Aggie volleyball players to garner the honors since Liz McArthur in 2011 and are just the eighth and ninth Aggies to glean academic all-district honors in program history.

2. Athletics Relations

- The Council discussed specific pending NCAA legislation during the 2022-23 legislative cycle and provided input on institutional positions for those with potential academic impact.

3. Budget and Administration

- The Council reviewed and recommended updates on the ongoing Athletics' budget and potential impacts throughout the academic year (see attached 2022-2023 Budget on page 13).

4. Gender and Minority Issues

- The Council discussed the Equity in USU Athletics Report.

II. Miscellaneous Athletics-Related Events/Changes during 2022-23.

1. Athletics Accomplishments of Department (2022-23).

MEN'S BASKETBALL

- Utah State finished the 2022-23 season with an overall mark of 26-9, and qualified for the NCAA Tournament for the fourth time in the past five seasons, earning an at-large berth as a 10-seed to the Big Dance.
- The Aggies reached the championship game of the Mountain West Tournament for the fourth time in the last five seasons, ultimately falling to San Diego State, 62-57, in the title game. As the conference's third seed, USU defeated sixth-seeded New Mexico, 91-76, and second-seeded Boise State, 72-62, in the quarterfinals and semifinals, respectively. Junior guard Steven Ashworth and graduate forward Taylor Funk were each named to the MW All-Tournament Team.
- Utah State's 34 postseason appearances are the second-most among current Mountain West schools, behind New Mexico (35) and ahead of Wyoming (29), UNLV (29), Colorado State (22), San Diego State (21), Boise State (18), Fresno State (17), Nevada (17), Air Force (7) and San José State (6). Additionally, USU is one of only 20 schools in the country with 12 or more NCAA Tournament bids and 18 or more 20+ win seasons since 2000.

- Ashworth finished the season ranked sixth in the nation in 3-point percentage (43.4), ninth in total 3-point field goals (111), 15th in 3-pointers per game (3.17) and 29th in free throw percentage (87.8). Ashworth also led the Mountain West in each statistic. Ashworth finished the season ranked first all-time in program history with 256 attempted 3-pointers and second all-time with 111 made 3-pointers.
- The Aggies recorded five of the top-10 single-game performances in program history for made three-pointers. USU set a program record with 21 made 3s versus Westminster on December 15, 2022. Utah State also made 19 3s against Oral Roberts (11/22/22), 18 3s against Colorado State (2/4/23), 14 3s against San Diego (11/17/22) and 13 3s against Utah Tech (12/1/22).
- Utah State finished the year ranked eighth in the nation in effective field goal percented (.562), ninth in assists per game (16.7) and 10th in 3-point field goal percentage (.387). In addition to leading the MW in those statistics, the Aggies also led the league in scoring margin (+8.3) and 3-pointers per game (9.3).
- Utah State ended the season as one of 14 teams in the nation with five players averaging double figures in Ashworth (16.2 ppg), Funk (13.4 ppg), graduate forward Dan Akin (12.0 ppg), junior guard Max Shulga (11.9 ppg), and senior guard Sean Bairstow (10.3 ppg).
- Ashworth received a bevy of awards following the season including USBWA District VIII Player of the Year and all-district, NABC All-District 17 and all-MW first-team. Shulga received all-MW honorable mention and Akin was named the MW Sixth Man of the Year.
- Utah State had three players earn academic all-Mountain West honors, while three players were named MW Scholar-Athletes.

WOMEN'S BASKETBALL

- Utah State women's basketball finished its 2022-23 season with a 4-26 overall record, including a 1-17 mark in Mountain West play. The Aggies fell in the first round of the Mountain West Tournament, 66-58, to No. 6-seeded Boise State.
- Utah State was led by graduate senior guard Maria Carvalho, who finished the season with averages of 10.9 points and 5.2 rebounds per game. Carvalho's 32.5 minutes per game also ranked T-7th in the Mountain West. Junior guard Tamiah Robinson added 9.2 points per contest and led the Aggies with 2.8 assists (T-8th in the MW), 1.4 steals and 0.6 blocks per game. Senior forward Ashya Klopfenstein also ranked second in the MW with an 83.3 percentage mark from the free throw line.
- Graduate senior Mayson Kimball became the first Aggie in program history to shoot 5-for-5 from behind the 3-point line in a single game, accomplishing the feat on November 11, 2022, against Southeastern Louisiana. Freshman guard Natalie Fraley matched the feat, becoming the first Aggie freshman to do so, going 5-for-5 from 3-point range versus San José State.
- USU earned back-to-back victories in conference play over a pair of in-state rivals, winning at Weber State, 74-69, before defeating Utah Valley at home, 65-55. It is Utah State's first time winning back-to-back games over in-state opponents since defeating Weber State, Southern Utah and Utah Valley in consecutive games in 2010.

- The Aggies were prolific from behind the 3-point line in 2022-23, recording 194 made triples on the season, ranking as the third-highest single-season mark in program history. USU's 197 attempts from behind the arc also rank as the second-most in school history. Utah State also excelled at the free throw line, shooting 74.2 percent from the charity stripe on the year, the fifth-best mark in school history for an entire season. USU's 383 made free throws rank as the 10th-most in a single season in program history.
- Utah State had seven women's basketball players earn academic all-Mountain West honors, while six players were named MW Scholar-Athletes.

FOOTBALL

- Utah State (6-7, 5-3 Mountain West) played in a bowl game for the 10th time in the past 12 seasons, participating in the SERVPRO First Responders Bowl for the first time in program history, falling to Memphis, 38-10. USU finished .500-or-above in MW play for the second-straight year, and the 10th time in the last 12 seasons.
- Offensively, USU was led by junior QB Cooper Legas, who was 135-of-221 (.611) passing for 1,499 yards (149.9 ypg) with 11 touchdowns and 10 interceptions. Graduate senior RB Calvin Tyler Jr. led the team in rushing with 1,122 yards on 253 carries (4.4 ypc/86.3 ypg) with seven touchdowns, and graduate senior WR Brian Cobbs had a team-best 76 receptions for 923 yards (12.1 ypr/71.0 ypg) and five touchdowns. Defensively, senior LB AJ Vongphachanh led the team with 101 tackles, which included 2.0 sacks and 10.5 tackles for loss, while graduate senior S Hunter Reynolds had 93 tackles, which included 2.5 tackles for loss. As a team, USU averaged 22.2 points and 354.5 yards of total offense (195.2 passing, 159.3 rushing), and allowed 31.2 points and 399.2 yards (205.0 passing, 194.2 rushing).
- Utah State graduate senior OL Alfred Edwards set a school record by starting his 53rd career game in the SERVPRO First Responder Bowl, breaking the previous mark of 52 career starts set by Tyler Larsen (2009-13). Edwards also set a school record by starting in four bowl games, breaking the previous record of three bowl game starts by Kyler Fackrell (2012-13, '15), Nick Vigil (2013-15), Zach Vigil (2012-14), Nevin Lawson (2011-13) and Larsen (2011-13). Edwards also joined Jordan Nielsen (2012-15) and Frankie Sutera (2011-14) as the only Aggies to ever play in four bowl games.
- Utah State's Blake Anderson is just the second head coach in school history, along with Matt Wells (2013-14), to lead the Aggies to bowl games in each of his first two seasons. Overall, Anderson is the fifth head coach in school history to coach in multiple bowls, along with E. Lowell Romney (1946-47), John Ralston (1960-61), Gary Andersen (2011-12, 2019) and Wells (2013-15, '17).
- The 2022 season marks the first time in school history that Utah State has had a pair of defensive backs earn All-America honors in the same season in graduate senior safety Hunter Reynolds and redshirt freshman safety Ike Larsen.
- Utah State had nine players receive all-MW honors this season, led by senior offensive lineman Alfred Edwards on the first-team. Cobbs, Tyler Jr. and Larsen were each named second-team all-MW, and Reynolds, Grzesiak, Vaughn, graduate senior offensive lineman Chandler Dolphin and junior linebacker MJ Tajisi were each given honorable mention. Larsen was also named a College Football News Freshman All-American, and Reynolds was named a ProFootball Focus All-American honorable mention.

- Utah State had 25 football players earn academic all-Mountain West honors, while 10 players were named MW Scholar-Athletes.

GOLF

- Utah State placed 10th out of 11 teams at the Mountain West Championships, held at the Catalina Course at the OMNI Tucson National Resort in Tucson, Arizona. The Aggies posted a team score of 881 (+17).
- Utah State finished in the top-10 in seven of 10 tournaments on the season. The Aggies posted a season-best finish at the Pizza Hut-Pat Hicks Thunderbird Invitational, finishing third with a team score of 863 (-1). The Aggies also posted a season-best score at the UC San Diego Invitational, tying for fourth place with a team score of 847 (-17)
- The Aggies were led on the season by sophomore Esteban Jaramillo, who posted a team-leading three finishes inside the top-10, including a fifth-place finish at the Gene Miranda Falcon Invitational.
- Utah State had five student-athletes earn academic all-Mountain West honors, while four student-athletes were named MW Scholar-Athletes.

GYMNASTICS

- Utah State finished the 2023 season at 2-15 overall with a fourth-place finish at the Mountain Rim Gymnastics Conference Championships. The Aggies sent junior Brianna Brooks and senior Sofi Sullivan to the NCAA Regional Championships in Pittsburgh, Pennsylvania. Brooks tied for third on bars with a score of 9.925, the second-best score in program history, while Sullivan placed seventh on beam with a score of 9.875.
- Brooks was named the NCAA North Central Region (Region 2) Gymnast of the Year by the Women's Collegiate Gymnastics Association, and was named first-team all-MRGC in the all-round and second-team all-MRGC on beam.
- Sullivan was USU's second gymnast named first-team all-MRGC, earning the award on beam. Utah State had two gymnasts named second-team all-MRGC as Alivia Ostendorf and Ariel Toomey each earned the honor on floor.
- Utah State earned a total of 12 weekly accolades from the MRGC as Brooks earned two MRGC Gymnast of the Week honors, one Bars Specialist of the Week honor and one Beam Specialist of the Week honor. Ostendorf earned two MRGC Floor Specialist of the Week honors and one Vault Specialist of the Week honor. Sullivan earned two MRGC Beam Specialist of the Week honors. Toomey was a two-time MRGC Floor Specialist of the Week honoree. Carley Bayles earned the MRGC Beam Specialist of the Week award once
- Individually, the Aggies recorded career-high marks 27 separate times on the season.
- Utah State had four gymnasts earn academic all-district honors from the College Sports Communicators (CSC).

SOCCER

- Utah State finished its 2022 season with an overall record of 8-5-8, including a 5-3-3 mark in the Mountain West.
- Utah State defeated Boise State, 2-0, in the final match of the regular season to secure a berth in the MW tournament for the second-straight year, a first for the program since 2013-14. Senior Sammie Murdock scored only 23 seconds into the match, USU's quickest opening goal since scoring in only 18 seconds against New Mexico State in 2009.
- USU's season ended in a marathon penalty shootout versus San Diego State in the quarterfinals of the MW tournament. The Aggies fell in the shootout, 19-18, after 120 minutes of scoreless soccer. At 22 rounds, the penalty shootout was the longest in college soccer history and one of the longest in soccer history worldwide.
- Juniors Alex Day and Kelsey Kaufusi plus freshman Kaylie Chambers were each named second-team all-Mountain West. Chambers was also named to the MW all-newcomer team. Senior goalkeeper Diera Walton was named MW Defensive Player of the Week (Oct. 29), while seniors Sara Taylor and Sammie Murdock were each named MW Offensive Player of the Week on Sept. 26 and Oct. 29, respectively. Chambers was named MW Freshman of the Week on Oct. 3 and redshirt freshman Kaitlyn Richins earned the honor on Aug. 22.
- Walton continued to climb the all-time ranks of Utah State soccer. The product of Draper, Utah, finished the season ranked second in career save (265), total career goalkeeper minutes played (5,680) and tied for second in career shutouts (21). Walton's career goals-allowed-average of 0.93 also ranks fourth all-time in school history.
- Utah State had 20 different players that have logged at least one point this season. The Aggies recorded 27 goals from 13 different players and 31 assists from 19 different players. Murdock led the team with five goals while senior Jordan Foraker plus junior London Miller each recorded four goals on the season. Murdock also led the team in assists and total points with four and 14, respectively.
- Utah State finished the regular season ranked first in the Mountain West in shots on goal per game (7.05), total shots on goal (141), total shots (300) and total assists (31), total points scored (87) and tied for first with 28 goals scored. The Aggies also ranked second with nine total shutouts.
- Utah State had 21 student-athletes earn academic all-Mountain West honors, with six student-athletes also being named CSC Academic All-District. 19 student-athletes were named MW Scholar-Athletes.

SOFTBALL

- Utah State softball finished its 2023 season with an 18-26 overall record, including a 9-13 mark in Mountain West play. The Aggies narrowly missed the Mountain West tournament, the conference's first postseason tournament for softball since 2006, tying for seventh place.
- Head coach Steve Johnson announced his retirement at the end of the 2023 season. Johnson ended his career as the second-winningest coach in program history, recording 204 wins at Utah State and has 354 career wins as a collegiate head coach. Johnson coached 16 players to 22 all-Mountain West accolades, while three players have earned NFCA all-region honors. Off the

field, Johnson led his players to 111 academic all-MW honors, 79 MW Scholar-Athlete awards and 50 NFCA/Easton Scholar-Athlete nods.

- Gabriella Jimenez concluded her Aggie career ranked third all-time in program history in both career home runs (35) and RBIs (125). Jimenez also ranks fourth all-time at USU with 305 total bases, sixth with a slugging percentage of .535 and seventh with 92 runs scored.
- Two USU softball players earned honors from the Mountain West in 2023 as Jimenez earned second-team honors and freshman Jaden Colunga was named MW Freshman of the Year. Colunga started in all 22 games for the Aggies in left field during league play and was a three-time MW Freshman of the Week honoree along with earning one Player of the Week distinction. USU earned a total of six MW Freshman of the Week honors as Hailey McLean also earned the honor twice and Tess Bumiller earned the distinction once.
- Freshman Hailey McLean finished the season ranked eighth in the nation with 10.2 strikeouts per seven innings, the top mark among MW pitchers. McLean set both the Utah State program and facility record at UCLA's Easton Stadium with 20 strikeouts across nine innings in USU's 3-2 win over CSU Bakersfield.
- Utah State had 16 softball players earn academic all-Mountain West honors, while 12 players were named MW Scholar-Athletes. Additionally, 15 players were named Joe E. and Elma Whitesides Scholar-Athletes.

CROSS COUNTRY

- Utah State's men's cross country team qualified for the NCAA Championships for the fourth time in program history, placing 26th out of 31 teams. Junior Yonas Mogos was the first Aggie across the line at the NCAA Championships, finishing 85th out of more than 250 runners with a time of 30:06.3. The Aggies received an at-large bid to the NCAA Championships after placing seventh at the NCAA Mountain Region Championships in Albuquerque, New Mexico. Mogos also earned all-region honors in the race.
- The Aggie women sent two representatives to the NCAA Championships in graduate senior Mica Rivera and sophomore Ana Weaver. The women finished eighth at the NCAA Mountain Region Championships, where both Rivera and Weaver earned all-region honors.
- Utah State placed third in both the men's and women's competitions at the Mountain West Championships in Laramie, Wyoming. A trio of Aggies earned second-team all-conference honors at the event as seniors Darren Harman and Camren Todd earned the distinction on the men's side and Weaver represented the USU women.
- Across the full 2022 season, the Aggies registered five team titles on the year, three from the men and two from the women. The men and women swept titles at the Idaho State Open and the Utah Open, while the men also claimed victory at the Steve T. Reeder Memorial Invite.
- Individually, the Aggies placed first overall twice as freshman Logan Garnica won the men's race at the Idaho State Open and sophomore Kaybree Christensen won the women's open race at the Paul Short Run. USU registered six top-three finishes on the women's side and eight top-three finishes on the men's side.

- Senior Camren Todd was awarded the Elite 90 award for the 2022 NCAA Division I Men's Cross Country Championships, winning the award for the second time in his career. Todd, the only Utah State student-athlete to be honored as an Elite 90, earned the award for being the student-athlete with the highest cumulative grade-point average participating at the NCAA Championships.
- Utah State had 29 runners earn academic all-Mountain West honors, while 33 runners were named MW Scholar-Athletes.

TRACK & FIELD

- Utah State had seven athletes earn all-Mountain West honors at the MW Outdoor Track & Field Championships in Clovis, California. The Aggies also placed 12 athletes on the all-MW team at the Indoor Track & Field Championships in Albuquerque, New Mexico.
- The Utah State men placed fifth as a team at the MW Indoor Championships with 64 points, while the Aggie women place 10th with 30 points. At the MW Outdoor Championships, the men again placed fifth with 73 points, while the women finished eighth with 50.50 points.
- Junior Brennan Benson and freshman Logan Hammer claimed MW championships in the 800 meters and the pole vault, respectively, at the MW Outdoor Championships. Benson won the 800 meters with a time of 1:48.94, the fifth-best time in program history, while Hammer cleared a height of 5.25 meters (17-2.75).
- 15 Aggies competed at the NCAA West Preliminary Championships in Sacramento, California. Several Aggies placed inside the top-20 of their respective events, highlighted by Benson finishing eighth in the 1,500 meters with a school-record time of 3:40.96. Hammer placed 14th in the pole vault with a career-best height of 5.30 meters (17-4.50), ranking third all-time at USU. Graduate senior Mica Rivera and sophomore Ana Weaver finished 16th and 19th, respectively, in the 10,000 meters with times of 33:14.18 and 33:23.81.
- The Aggies broke five school records during the outdoor season. Rivera broke records in the 10,000 meters (32:58.50) and the 5,000 meters (16:10.90), while junior Mattie Geddes broke the school record in the 800 meters (2:07.40). On the men's side, Benson broke the record in the 1,500 meters (3:40.96) and junior Max Wehrli broke the school record in the 3,000-meter steeplechase (8:38.94).
- Utah State set a total of 64 marks across the indoor and outdoor seasons which rank among the top-10 marks all-time in school history. The Aggie men set 16 marks in the indoor season and 10 marks during the outdoor season which rank top-10 all-time at USU, while the women recorded 19 such marks during both the indoor and outdoor seasons.
- Utah State had 79 track & field athletes earn academic all-Mountain West honors, while 77 athletes were named MW Scholar-Athletes. Additionally, 15 Utah State athletes were named Division I USTFCCA All-Academic honorees. Reagan Hoopes was named the top honoree at the 30th annual Joe E. and Elma Whitesides Scholar-Athlete Luncheon.

WOMEN'S TENNIS

- Utah State finished the season with a 7-14 overall record, including a 2-8 mark in Mountain West play.

- The Aggies were represented on the All-Mountain West teams by senior Zeynep Naz Ozturk. Naz Ozturk was named to the all-MW singles team after posting an 7-8 record during the dual match season, playing exclusively at the top two positions.
- Junior Lisa Küng tied the all-time record at Utah State for doubles wins in a single season. Küng won a total of 23 doubles matches, including a 13-5 record during the dual match season, tying the program record set by Sabrina Demerath in 2016-17.
- Seniors Annaliese County and Sidnee Lavatai concluded their Aggie careers after five years in Logan. County ended her career ranked eighth all-time in program history for combined singles and doubles wins with 118, while Lavatai finished ranked 12th with 81 total victories.
- Utah State had six players earn academic all-Mountain West honors, while five players were named MW Scholar-Athletes.

MEN'S TENNIS

- Utah State finished with an overall record of 12-13 and a 3-3 mark in Mountain West play to enter the MW Championships as the No. 4 seed. The Aggies defeated UNLV and New Mexico in the MW tournament before falling to Boise State in the championships match.
- The Aggies were buoyed by juniors David Cierny and Bodin Zarkovic at the top of the singles and doubles lineups as the duo were each named to the all-Mountain West singles and doubles teams for the second-consecutive season. Cierny compiled a singles record of 20-17 with an 11-12 mark in dual matches, playing exclusively at the first position, also going 3-2 in MW play. Zarkovic went 21-9 on the year, including an 18-5 record in dual match play and a 5-0 mark in MW action. Zarkovic ended the season on a 15-match unbeaten streak, including three-straight wins during USU's run at the MW Championships. The duo combined for an 8-9 record in doubles play during the dual match season, all at the No. 1 position.
- Cierny tied the program record for highest individual ITA ranking, reaching as high as 111th in the nation in February. Cierny also registered USU's lone win over a ranked opponent, defeating Utah's Geronimo Busleiman, the nation's 37th-ranked singles player entering the match.
- Senior Javier Ruiz finished the season having broken into top-10 all-time for career wins at Utah State. Ruiz currently ranks ninth all-time at USU with 95 total wins. Fellow senior Roko Savin also ranks 13th all-time at USU with 86 career victories.
- Utah State had seven players earn academic all-Mountain West honors, while six players were named MW Scholar-Athletes.

VOLLEYBALL

- Utah State volleyball recorded one of its best seasons in school history in 2022, winning the program's first Mountain West Tournament title and reaching the NCAA Tournament for the first time since 2010. The Aggies went 22-11 overall with an 11-7 mark in conference play. After a 22-9 showing in 2021, USU set a program record for most wins across a two-year span. Additionally, USU's 10 sweeps were the most in a season since recording 10 sweeps in 2013.

- USU had two all-MW selections in junior outside hitter Tatum Stall and graduate senior middle block Kennedi Boyd. Senior outside hitter Shelby Capllonch was named the MW tournament MVP and was named to the all-tournament team alongside Boyd, Stall and sophomore opposite side hitter Adna Mehmedovic. Stall and senior opposite side hitter Kylee Stokes were each named MW Offensive Player of the Week once on the season, and redshirt-sophomore defensive specialist Jordi Holdaway received USU's lone MW Defensive Player of the Week honor. Setter Leah Wilton-Laboy and middle blocker Bella Wooden were each twice named the MW Freshman of the Week.
- Utah State tied for second in program history with 215 service aces. USU set a single-set match program record for hitting percentage in a four-set match after hitting .371 (53-14-105) at San Diego State on November 5, 2022.
- Utah State defeated No. 12-ranked UCLA 3-1 at home on Aug. 26, 2020. It was the Aggies' first win over a ranked opponent since defeating No. 3 Hawai'i to win the WAC Tournament Championship on Nov. 24, 2010.
- Utah State finished in the top-50 nationally in several statistical categories, including team service aces (286, 14th), team assists (1,565, 25th), team kills (1,669, 33rd) and team aces per set (1.72, 46th). Additionally, Boyd ranked 60th in the nation in total blocks (133) and 66th in hitting percentage (.355), and sophomore setter Beatriz Rodrigues ranked 87th in the country with 42 service aces.
- Utah State had 11 players earn academic all-Mountain West honors, while nine players were named MW Scholar-Athletes. The Aggies also had 15 players who were named Joe E. and Elma Whitesides Scholar-Athletes.

UTAH STATE UNIVERSITY

ATHLETICS DEPARTMENT

FY2023

2023 Actual

| REVENUE | |
|---|----------------------|
| Institutional Support | 13,344,954 |
| Tuition Waivers | 2,000,596 |
| Indirect F&A (In/Out) | 1,900,000 |
| Aggies Sports Properties Sponsorship | 1,144,000 |
| Pepsi Pouring Rights | 200,000 |
| NCAA/Mountain West | 6,468,215 |
| Student Fees | 4,490,695 |
| Football | 5,330,938 |
| Basketball | 880,552 |
| Development - Big Blue/Merlin Olsen | 2,772,031 |
| Marketing Trade (In/Out) | 261,966 |
| Other Revenue | 1,477,708 |
| TOTAL REVENUE | \$ 40,271,655 |
| EXPENSES | |
| Compensation | |
| Salary & Wages | 10,421,321 |
| Fringe Benefits | 4,252,681 |
| Compensation (Non-Benefited) | 1,771,437 |
| Total Compensation | 16,445,439 |
| Sport Expenses | |
| Men's Varsity Sports Operating Expenses | 6,457,116 |
| Women's Varsity Sports Operating Expenses | 2,988,057 |
| Scholarship Expenses | 7,342,293 |
| Total Sport Expenses | 16,787,466 |
| Administrative Expenses | |
| Administrative Operating Expenses | 4,075,935 |
| Indirect F&A (In/Out) | 1,900,000 |
| Marketing Trade (In/Out) | 261,966 |
| Other | 753,444 |
| Total Administrative Expenses | 6,991,345 |
| TOTAL EXPENSES | \$ 40,224,250 |
| NET REVENUE/(LOSS) | \$ 47,405 |

University Policy 405: General Procedures for Review, Promotion, and Retention of Tenure-Eligible, Tenured, and Term Appointment Faculty

Category: Faculty Policies (Faculty Code)

Subcategory: None

Covered Individuals: University Faculty

Responsible Executive: Provost

Policy Custodian: Chair of Professional Responsibilities and Procedures Committee

Last Revised: 2022/09/01

Previous USU Policy Number: 405

405.1 PURPOSE AND SCOPE

This section describes the general procedures for review, promotion, and retention that apply to all tenure-eligible, tenured, and term faculty.

405.2 POLICY

2.1 Role Statement and Role Assignment

A role statement will be prepared by the department head or supervisor and agreed upon between the department head or supervisor and the faculty member at the time the faculty member accepts an appointment, as indicated by their signatures. During the search process, the department head or supervisor will discuss with each candidate the candidate's prospective role in the academic unit as defined by the role statement. The role statement should also be approved and signed by the dean. Once signed by all appropriate parties and the provost and, where applicable, the vice president for extension, prior to the faculty member's signature should receive a copy. The role statement will include percentages for each domain of professional service (Policy 404.1.2, Professional Services). These percentages will define the relative evaluative weight to be given to performance in each of the professional domains. Role statements serve two primary functions:

- First, the faculty member can gauge their expenditure of time and energy relative to the various roles the faculty member is asked to perform in the university.
- Second, role statements provide the medium by which the assigned duties of the faculty member are described, including the campus or center location, start date, third review (where applicable), final tenure (where applicable), prior service, and by which administrators and advisory committees evaluate the faculty member's progress towards tenure and/or promotion.

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~~Revisions to the role statement may be initiated by either the faculty member or the department head or supervisor. Modified~~The role statements will be reviewed, signed, and dated ~~annually~~ by the faculty member and the department head or supervisor and dean, or, where appropriate, the vice president for extension, ~~and may be revised as needed. Subsequent revisions may be initiated by either the faculty member or the department head or supervisor.~~ Any revision of the role statement, including the campus or center location, should be mutually agreed to by the faculty member and the department head or supervisor and approved by the dean or the vice president for extension. If agreement cannot be reached, the disagreement should be resolved through an appeal by the faculty member through the ~~faculty grievance procedure~~College Faculty Advisory Committee (Section 410.x.x: xxxxx) before transmitting revised role statements to the tenure or promotion advisory committee. A copy of the role statement and any subsequent revisions will be provided to the faculty member, the department head or supervisor, the dean or the vice president for extension, the provost, and the members of the tenure and/or promotion advisory committee.

Academic units may find it useful to employ an annual work plan or “role assignment”. The faculty member’s role assignment describes the detailed implementation of the domains of professional service as defined in the faculty member’s role statement. During the annual review, the role assignment may be adjusted within the parameters of the role statement. Major changes in the role assignment may prompt review and revision of the role statement.

2.2 Professional Domains

2.2.1 Teaching

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

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2.2.2 Librarianship

Librarianship enables inquiry, discovery, and engagement with resources and tools that contribute to knowledge and creativity. Documentation supporting performance in librarianship should illustrate demonstrated proficiency and expertise in assigned area(s) of librarianship and engagement with practices centered around diversity, equity, and inclusion. Such evidence may include, but is not restricted to, managing and implementing systems and processes to facilitate the

acquisition, discovery and use of library and archival resources; preserving and conserving unique physical and digital collections; supporting faculty and student research, creative endeavors, and teaching; supporting equitable participation in the production and dissemination of research; developing students' ability to find, evaluate, and use knowledge for academic and personal purposes; assessing and improving library services and programs; and implementing community-engaged practices.

2.2.3 Research or Creative Endeavors

Research or creative endeavors encompass a wide variety of scholarly activities that lead to the advancement of knowledge and/or to original contributions in the candidate's field of endeavor. Documentation supporting such activities must include evidence of peer recognition of their value. Such evidence may include, but is not restricted to, publication of books, monographs, or articles in peer reviewed media; [use of research practices or exploration of topics centered on diversity, equity, and inclusion](#); intellectual contributions represented by patents, inventions, and other intellectual property; community-engaged scholarship and/or effective community engagement as part of the effort; participation in symposia and authorship of chapters in review volumes; participation in creative activity (such as performances, exhibitions, gallery representation, professional engagements); creative work that receives regional and national recognition; and success in competition for extramural funding.

2.2.4 Extension

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

2.2.5 Service

Service activities include but are not limited to, membership in and leadership of committees and organizations at the unit, department, college and/or university levels; active participation in regional and national professional organizations as evidenced by committee membership and/or by holding elected or appointed-office; consulting activities in local, regional, national, and international organizations and agencies; public speaking and/or information dissemination involving professional expertise; engagement in local communities, including participation in community organizations and committees; [and furthering diversity, equity, and inclusion through service](#).

All faculty must participate in service activities according to their role statement. Although such activities are vital to the mission of the university, they are not expected to constitute a major emphasis in the role statement for tenure-eligible, tenured, or term appointment faculty.

2.3 Candidate's File

The candidate is responsible for keeping their professional file current and complete. This file is the primary source of information for the tenure or promotion advisory committee. The file should include thorough documentation of all domains of professional responsibilities in accordance with the role statement.

Any other ~~written statements~~ documentation, regardless of source, which ~~are~~ is intended to provide information or data of consequence to the formal review of the candidate, should be added to the candidate's file as supplementary material prior to the advisory committee's meetings. The candidate is entitled to review this supplementary material upon request, with the exception of confidential external peer review letters. If a candidate wishes to comment on any item in this supplementary material, the candidate's written comment must be added prior to the meeting of the advisory committee.

2.4 University Records: Access

A faculty member has the right to examine, upon request, university records maintained or retrievable under their name or identifying number. University records maintained or retrievable under a faculty member's name or identifying number will be open to inspection only by the president and administrative officers or persons to whom the president delegates in writing the power to inspect such records. Other persons will not be permitted to examine such records except as required by law.

2.5 Ombudspersons

All faculty members at their penultimate rank or higher (as defined in section Policy 401.2.1, Faculty Defined, Faculty Categories) will be trained as ombudspersons within one academic year of achieving that rank. The provost's office will create the ombudsperson training. All academic units will assign ombudspersons to serve in the promotion, tenure, and post-tenure annual review processes. Each college has the freedom to determine the assignment process of ombudspersons and whether they remain attached to specific committees or not. The candidate has the right to reject an ombudsperson, though this may result in the candidate being required to find an appropriate replacement ombudsperson.

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

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

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

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

2.6 ANNUAL REVIEW OF FACULTY

An additional review of faculty performance other than those for tenure-eligible faculty and for promotion will be held annually. This annual review will be used for evaluation of faculty for salary adjustments, for term appointment renewal, and for post-tenure review of tenured faculty.

In the spirit of shared governance, the faculty (as defined in Policies 401.3, The Tenured and Tenure-Eligible Faculty, and 401.4, The Faculty with Term Appointments) and department head of each department will work together in consultation with the dean or, where appropriate, the vice president for extension, to establish procedures by which all faculty will be reviewed annually. During fall semester, in preparation for spring annual reviews, review procedures will be agreed upon by majority vote of the department faculty. If the procedures do not pass the majority vote, the department faculty must establish new procedures as described above before the next annual reviews begin. This evaluation will encompass a multi-year window of performance that covers a ~~five~~three-year span (~~to meet the requirements of post-tenure review for tenured faculty~~). Such reviews will, at a minimum, incorporate an analysis of the fulfillment of the role statement. The basic standard for appraisal will be whether the faculty member under review discharges conscientiously and with professional competence the duties ~~appropriately associated with the faculty member's position~~as specified in the faculty member's role statement.

The department head or supervisor will meet with the faculty member annually to review this analysis of the fulfillment of the role statement and provide a written report of this review to the faculty member. A copy of this report will be sent to the academic dean or vice president for extension, and, where appropriate, vice president for statewide campuses. The annual evaluation and recommendation letter by the department head or supervisor developed for tenure-eligible faculty as part of the promotion and tenure process (**Policy 405.7.1.3, Evaluation and Recommendation by the Department Head or Supervisor**) may not serve as a substitute for this annual review report for salary adjustment. For faculty with term appointments, the annual review will also include a recommendation regarding renewal of the term appointment.

405.3 RESPONSIBILITIES

3.1 Responsible Office/Party

Identify who is responsible for what with regard to this policy. Roles and responsibilities are best defined by department and/or job title.

405.4 REFERENCES

- Bullet list references to Federal, State, municipal regulations, USHE/Board of Higher Education policies. [Arial 10]
- Continue list of references. [Arial 10]

405.5 RELATED USU POLICIES

- 405
- 406
- 407
- 408

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.

RESOURCES]

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

Contacts

- Faculty Senate website: <https://www.usu.edu/fsenate/index>
- Executive Secretary: [Michele Hillard](#)

POLICY HISTORY

Original issue date: 1997/07/01

Last review date: 2022/09/01

Next scheduled review date: YYYY/MM/DD

Previous revision dates: 2007/02/15, 2009/03/06, 2010/08/13, 2011/07/08, 2012/01/06, 2012/08/02, 2013/05/03, 2014/02/28, 2015/05/01, 2015/07/17, 2015/10/30, 2016/06/24, 2019/01/11

**University Policy 406: Faculty with
Tenure-Eligible Appointments:
Evaluation, Promotion and Retention**
POLICY MANUAL
FACULTY

Commented [SH1]: Does "retention" refer to the awarding of "tenure"?
This term appears nowhere else in this policy other than in the title.

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Category: Faculty Policies (*Faculty Code*)

Subcategory: None

Covered Individuals: University Faculty

Responsible Executive: Provost

Policy Custodian: Chair of Professional Responsibilities and Procedures Committee

Last Revised: 2022/09/01

Previous USU Policy Number: 405

Number 405

Subject: Tenured and Term Appointments: Evaluation, Promotion and Retention

Effective Date: July 1, 1997

Revision: February 15, 2007; March 6, 2009; August 13, 2010; July 8, 2011; January 6, 2012; August 2, 2012; May 3, 2013; February 28, 2014; May 1, 2015; July 17, 2015; October 30, 2015; January 8, 2016; June 24, 2016.

Date of Last Revision: January 11, 2019

**406.1 TENURE: INTRODUCTION, RIGHTS CONFERRED, ELIGIBILITY,
PRE-TENURE PROBATIONARY PERIOD PURPOSE AND SCOPE**

To be added by PRPC This section describes the specific procedures for review, tenure, promotion, and retention that apply to all tenure-eligible faculty.

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Commented [SH2]: This section describes the specific procedures for review, tenure, promotion, and retention that apply to all tenure-eligible faculty.

Commented [SH3R2]: Is there a difference between retention and the awarding of tenure?

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406.2 POLICY

1.1 Introduction

Tenure is that provision of employment attained after completion of a pre-tenure probationary period during which the probationer's performance is found to be such as to make ~~him or her~~them an asset to the institution because of ~~his or her~~their abilities as a scholar, a teacher, a researcher, a librarian, an extension faculty member, and/or a professional career and technical educator. It is the policy of the university to reward such outstanding performance of tenure-

eligible faculty members by awarding them tenure and/or promotion.

~~Academic Freedom (Policy 403.2, Academic Freedom) and economic security for faculty are indispensable to the success of a university in fulfilling its obligations to its students and to society. Tenure, therefore, is a means of ensuring the freedom to engage in to certain ends, specifically: freedom of teaching, research, and other academic endeavor, and a sufficient degree of economic security to make the profession attractive to persons of ability, men and women of ability. Freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligations to its students and to society.~~

Commented [NK4]: This paragraph was revised for clarity.

Commented [NK5]: Policy references will be reviewed and checked again prior to posting online.

1.2 Permanence of Appointment Conferred by Tenure

To hold a position with tenure means that appointment to such a position is permanent and is not subject to termination, dismissal, or reduction in rank, and/or reduction in status, except as ~~defined~~provided in pPolicies 406, Program Discontinuance, Financial Exigency and Financial Crisis, and 407, Academic Due Process: Sanctions and Hearing Procedures, and is not subject to termination or reduction in status except as defined in policy 406 or policy 407.5. Tenure is established only in an academic unit as defined in policy 401.2.2. In other units, appointments to tenure ranks are not made and tenure is not granted.

1.3 Eligibility

Only non-tenured individuals holding faculty ranks as defined in ~~pPolicy 401.3, The Tenured and Tenure-Eligible Faculty,~~ enter the process that leads to ~~the granting of~~ tenure. Except for extraordinary instances, when specific and persuasive justification is provided, tenure will not be awarded ~~to faculty members~~ prior to the tenure-eligible faculty member's ~~their~~ advancement to the penultimate rank of associate professor, associate librarian, extension associate professor, and professional career and technical education associate professor. Exceptions may be made in order to fulfill the mission of the university, but require petition to and approval by the president. A faculty member's appointment to an administrative position in and of itself carries no weight in achieving tenure. Appointments to all administrative positions are without significance for the achievement of tenure. Administrators with faculty status positions pursue or hold their tenure with in an academic unit.

Tenure will be awarded only to tenure-eligible faculty. ~~A part-time (50% or more) faculty member appointed to a tenure-eligible rank is tenure-eligible (pPolicy 401.3.1, Description and Eligibility). All provisions of this policy apply to such part-time faculty. For tenured or tenure-eligible faculty who hold part-time appointment, T~~the right of permanence conferred by tenure encompasses only the faculty member's part-time appointment. If there is an upward adjustment in the appointment of a tenured or tenure-eligible part-time faculty member, the tenure status is adjusted upward an identical amount.

When a tenured or tenure-eligible faculty member is to hold appointments in two (2) or more academic units, the unit in which tenure is to be awarded must be specified in the role statement~~writing~~ by the department head or supervisor at the time of appointment.

1.4 Pre-tenure probationary period

(+) 2.4.1 Normal Period.

The normal pre-tenure probationary period shall be six (6) years. In general, the tenure-eligible track faculty members are eligible reviewed for promotion and tenure review in the sixth (6th) year from the calendar year in which they are appointed. The seventh (7th) year is not a probationary year; it is either a year that commences tenure status or a year of employment under a terminal contract.

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When the effective date of a tenure-eligible faculty appointment falls between July 1 and December 31, the academic year (Policy 404.2, Term of Appointment: Definition of Academic Year) in which the appointment becomes effective shall be the first year of the pre-tenure probationary period. When the effective date of a tenure-eligible faculty appointment falls between January 1 and June 30, the following academic year shall be the first year of the pre-tenure probationary period.

At the time of initial appointment, a tenure-eligible faculty member shall will sign a statement that records the final date for tenure consideration for the faculty member. This document shall will be signed and approved by the department head or supervisor and, academic dean or vice the vice president for extension, and, where applicable, the chancellor vice president of statewide campuses or regional campus statewide campus associate vice President dean, and the provost.

(+) 2.4.2 Prior Service.

At the time of appointment to a tenure-eligible position at USU, candidates who have served in a pre-tenure probationary appointment at another accredited university or college can negotiate with the department head or supervisor, the application of that prior service to the USU pre-tenure probationary period. Any The agreement regarding the application of prior service must be specified in writing in the role statement and approved by the department head or supervisor, academic dean and the provost, and, where appropriate, the vice president for extension, chancellor vice president of statewide campuses, or regional campus statewide campus associate vice president dean.

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(+) Leaves of Absence.

An academic year(s) in which leave without pay is taken will not count as part of the faculty member's pre-tenure probationary period. When a tenure-eligible faculty member is on any leave of absence with pay for one or more semesters in an academic year, upon recommendation from the faculty member's department head or supervisor, and the academic dean or vice president for extension, and, where appropriate, the chancellor vice president of statewide campuses or regional campus statewide campus associate vice president dean, the provost may approve an extension of the faculty member's pre-tenure probationary period in cases such as, but not limited to, Family and Medical Leave, Sick Leave, Military Leave, and Jury and Witness leave.

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— Extension of Pre-tenure Probationary Period.

Even if a leave of absence is not taken, at any time during the tenure process a tenure-eligible faculty member can request an extension of the pre-tenure probationary period for one year for reasons including, but not limited to, medical needs of the faculty member or a family member or

family responsibilities (including birth of a child or adoption). This extension may be requested up to two times. Upon recommendation from the faculty member's department head or supervisor, and the academic dean or vice president for extension, and, where applicable, the chancellor/vice president of statewide campuses or regional campus/statewide campus/associate vice president dean, the provost may approve an extension of the faculty member's pre-tenure probationary period. During the year in which the pre-tenure probationary period extension is granted, faculty responsibilities may be negotiated. When the faculty member that has extended the pre-tenure probationary period goes forward for tenure, expectations will be no greater than if the tenure extension had not been utilized.

2.4.3 Extension of Pre-tenure Probationary Period.

When a faculty member takes a Leave Without Pay (Policy 355) of a semester or more, the academic year in which the leave is taken does not count toward the pre-tenure probationary period.

In cases when a leave with pay, including but not limited to Family and Medical Leave (Policy 351), Sick Leave (Policy 363), Military Leave (Policy 359), or Jury and Witness Leave (Policy 369.2.2), of a semester or more is taken and upon recommendation from the faculty member's department head or supervisor and the dean or the vice president for extension, the provost may approve an extension of the faculty member's pre-tenure probationary period.

Even if a leave is not taken, at any time during the tenure process a tenure-eligible faculty member can request an extension of the pre-tenure probationary period for one (1) year for reasons including, but not limited to, medical needs of the faculty member or a family member, or family responsibilities (for example, the birth or adoption of a child). This extension may be requested up to two (2) times. For more information on how this impacts Interim Review see 406.2.9.3. Upon recommendation from the faculty member's department head or supervisor and the dean or the vice president for extension, the provost may approve an extension of the faculty member's pre-tenure probationary period.

Regardless of the reason for the extension of the pre-tenure probationary period, when the faculty member goes forward for tenure, expectations will be no greater than if the tenure extension had not been utilized.

Commented [NK6]: This section is a combination of the "Leaves of Absence" and "Extension of Pre-tenure Probationary Period" sections above. They were combined and revised for clarity.

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(5) 2.4.4 Award of Tenure Prior to the Completion of the Pre-tenure Probationary Service.

When justification is provided by a faculty member's tenure advisory committee, department head or supervisor, and academic dean or the vice president for extension, and, where applicable, the chancellor/vice president of statewide campuses or regional campus/statewide campus/associate vice president dean, the president may recommend the granting of tenure to a faculty member at any time.

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(6) 2.4.5 Transfers.

When a tenure-eligible faculty member who transfers permanently from one academic unit to another, the loses credit toward tenure in the unit from which he or she has transferred. The academic unit to which the faculty member transfers may require service for the full pre-tenure probationary period or the academic unit may accept any or all of the years of satisfactory

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service completed in the former academic unit toward tenure ~~in the former academic unit~~. The years of service in the former academic unit to be accepted toward tenure in the new academic unit must be agreed upon in advance of the transfer by the faculty member, the department head or supervisor, the ~~academic~~ dean or the vice president for extension, ~~and, where applicable, the chancellor/vice president of statewide campuses or regional campus/statewide campus associate vice president dean~~, and the provost.

(7) 2.4.6 Effective Date.

Tenure ~~shall~~ will become effective at the beginning of the university fiscal year immediately following the award of tenure.

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~~406.32.55.2~~ **APPOINTMENT, TENURE, AND PROMOTION: CRITERIA FOR CORE FACULTY RANKS**

2.2.5.1 **Criteria for Promotion from Instructor to Assistant Professor**

Faculty members will be initially appointed to the rank of instructor when they have not yet completed the terminal degree in their field but have demonstrated ability related to the role statement and have a master's degree or the equivalent as determined by the appropriate administrator. Promotion to or appointment as an assistant professor requires completion of the terminal degree or its equivalent; demonstrated ability in accordance with the role statement in teaching, research or creative endeavors, extension, ~~professional career and technical education, service, and~~ or other qualifying work; evidence of scholastic promise; and evidence of progressive professional development (~~policy 401.3.2(2)~~).

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

Tenure and promotion from assistant to associate professor are awarded on the basis by which a faculty member performs his or her/their responsibilities as defined by the role statement. Although tenured and tenure-eligible faculty members are expected to carry out the major university functions of teaching, research or creative endeavors, extension, and service, individual emphases will vary within and among academic departments as described in each faculty member's role statement. Each candidate must present evidence of effectiveness in all of the professional domains in which he or she/they performs, and must present evidence of excellence in the major emphasis of his or her/their role statement.

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The criteria for the award of tenure and the criteria for the award of promotion from assistant to associate professor are the same. These criteria include, but are not limited to: an established reputation based upon a balance of teaching, research or creative endeavors, extension, and or service; broad recognition of professional success in the field of appointment; evidence of effectiveness in all of the professional domains in which the faculty member performs; and evidence of excellence in the major emphasis of his or her/their role statement (~~Policy~~ ies 405.6.1, Role Statement and Role Assignment 401.3.2(3) and 405.2.1). Excellence is measured by standards for associate professors within the national professional peer group.

Commented [JF7]: Are these the same?

(8) The foregoing criteria are to be applied to the following areas/domains of professional service

included in and according to the role statement (Policy 405.6.1, Role Statement and Role Assignment and 405.7, Domains of Professional Service). Teaching.

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

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

(1) Extension.

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

(1) Service.

Service activities include but are not limited to: membership in, and leadership of, departmental, college and university committees and organizations; active participation in regional and national professional organizations as evidenced by committee membership and/or by holding elective or appointive office; consulting activities in local, regional, national and international organizations and agencies; public speaking and/or information dissemination involving professional expertise; engagement in local communities. Tenure-eligible faculty must participate in service activities. Although such activities are vital to the mission of the university, they are not expected to constitute a major emphasis in the role statement for tenure-eligible faculty.

Commented [NK8]: The professional domains have been combined into one section in 405 to avoid confusion and the chance that changes are made in one faculty rank and not in another. All faculty will be directed to the new 405 section to review professional domains and other selected common practices for appointment, evaluation, promotion, and retention.

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2.32.5.3 Initial Appointment at the Associate Professor or Professor Ranks without Tenure

Initial appointment as an associate professor requires all the qualifications prescribed for an assistant professor; an establishes reputation in teaching, research or creative endeavors, extension, service, or other qualifying work in accordance with the role statement; and broad recognition of professional success in the field of appointment.

Initial appointment as a professor requires all the qualifications prescribed for an associate professor and an established outstanding reputation in the field of appointment.

Faculty members who are qualified for initial appointments at the ranks of associate professor or professor may be appointed with or without tenure. The criteria for the award of tenure are the same as those in 406.32.2, Criteria for the Award of Tenure and for Promotion from Assistant to Associate Professor, above. For initial appointments to the associate professor ranks without tenure, a written statement attesting to the length of the pre-tenure probationary period is negotiated at the time of appointment and is approved by the department head, academic dean, and, where appropriate, the vice president for extension, chancellor, vice president of statewide campuses, or the regional campus statewide campus associate vice president dean, and the provost.

~~2.4~~ Criteria for Promotion from Associate Professor to Professor

~~In addition to the criteria for promotion to associate professor, i.e., evidence of excellence in the major emphasis of his or her role statement and effectiveness of all other professional domains (section 405.2.2), promotion to the rank of professor shall require an outstanding reputation in at least the major emphasis as defined in the role statement. Excellence is measured by standards for professors within the national professional peer group.~~

2.6 ~~406.45.3~~ APPOINTMENT, TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS

~~3.1~~ 2.6.1 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 but have demonstrated ability in accordance with the role statement. Appointment as or Ppromotion 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.

~~3.22.6.2~~ 2.6.2 Criteria for the Award of Tenure and for Promotion from Assistant to Associate Librarian

Tenure and promotion from assistant to associate librarian are awarded on the basis by which a librarian performs his or hertheir role as defined by the role statement. Although librarians are expected to carry out the major university functions of librarianship, research andor-creative

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endeavors, and service, individual emphasis~~s~~ will vary within and among library departments as described in the librarian's role statement. Each candidate must present evidence of effectiveness in all of the professional domains that ~~they~~~~he or she~~ performs, and must present evidence of excellence in the major emphasis of the role statement.

The criteria for the award of tenure and for promotion from assistant to associate librarian are the same. These criteria include but are not limited to: an established reputation based upon a balance of librarianship, research or creative endeavors, and service; broad recognition for professional success in librarianship; evidence for effectiveness in all of the professional domains in which the faculty member performs; and evidence of excellence in the major emphasis of ~~his or her~~the role statement (~~Policies 405.3.1, Criteria for Promotion from Affiliate Librarian to Assistant Librarian and 405.6.1, Role Statement and Role Assignment-404.3(3)~~). Excellence is measured by standards for associate librarians within the national professional peer group.

The foregoing criteria are to be applied to the ~~following areas: domains of professional service included in and according to the role statement (Policies 405.?, Role Statement and Role Assignment and 405.?, Domains of Professional Service).~~

~~(0) Librarianship:~~

~~Librarianship includes but is not limited to all forms of library activities that contribute to the educational, research, extension, and service mission of the university: identifying, selecting and developing library resources; providing bibliographic control and organizing library material for effective use; preserving and conserving library resources; performing effective reference service by anticipating and understanding user needs and pursuing user queries to satisfactory solutions; initiating new ideas, new technology or alternative approaches to library procedures that improve information resources and/or service; teaching and consulting to encourage and enhance full use of library resources and services, as well as promoting information literacy; supporting research efforts of others through faculty liaison work; and using special knowledge and/or skill, such as subject and bibliographic expertise, and knowledge of a foreign language to enhance library service.~~

~~Documentation supporting performance in librarianship must include peer evaluations, and may include, but is not restricted to: proficiency in assigned area of librarianship and areas of subject expertise as demonstrated through imaginative or creative use of up to date library/information and instructional materials such as computer programs and utilities, library manuals, reports, bibliographies, indexes, and abstracts; authorship of textbooks; authorship of refereed articles relating to librarianship and/or areas of expertise; recognition for outstanding teaching and/or consultation; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; and invited lectures or panel participation.~~

~~(0) Research or Creative Endeavors:~~

~~Research or creative endeavors encompass a wide variety of scholarly activities that lead to the advancement of knowledge. Documentation supporting such activities must include peer recognition of their value and may include, but is not restricted to: publication of books, or monographs, or articles in peer reviewed media; intellectual contributions represented by patents,~~

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inventions and other intellectual property; participation in symposia and authorship of chapters in state-of-the-art review volumes; creative work using computer/telecommunication technology which receives regional and national recognition; success in competition for extra-mural funding.

— Extension.

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

(1) Service.

Service activities include but are not limited to: membership in, and leadership of, library, college, and university committees and organizations; active participation in regional and national professional organizations as evidenced by committee membership and/or by holding elective or appointive office; consulting activities in local, regional, national and international organizations and agencies; public speaking and/or information dissemination involving professional expertise; engagement in local communities. Tenure-eligible library faculty must participate in service activities. Although such activities are vital to the mission of the university, they are not expected to constitute a major emphasis in the role statement for tenure-eligible library faculty.

3.32.6.3 Initial Appointment at the Associate Librarian or Librarian Ranks ~~without Tenure~~

Initial appointment as an associate librarian requires all the qualifications prescribed for an assistant librarian; an established reputation in librarianship based on research or creative endeavors, and service; and broad recognition for professional success in librarianship.

Initial appointment as a librarian requires all the qualifications prescribed for an associate librarian and an established outstanding reputation in the field of academic librarianship.

Candidates Librarians who are qualified for initial appointments at the ranks of associate librarian or librarian may be appointed with or without tenure. For initial appointments to the associate librarian or librarian ranks without tenure, a written statement attesting to the length of the pre-tenure probationary period is negotiated at the time of appointment and is approved by the supervisor, the Dean of the Library, and, where applicable, the chancellor/vice-president of statewide campuses or regional campus/statewide-campus associate vice president dean, and the provost.

Initial appointments to the associate librarian or librarian ranks with tenure are reviewed according to Policy 406.7.4.1, Administrative Nominations for Tenure.

3.3 Criteria for Promotion from Associate Librarian to Librarian

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~~In addition to the criteria for promotion to associate librarian, i.e., evidence of excellence in the major emphasis of his or her role statement and effectiveness of all other professional services (section 405.3.2), promotion to the rank of librarian shall require an outstanding reputation in at least the primary area of emphasis as defined in the role statement. Excellence is measured by standards for librarians within the national peer group.~~

406.52.7 5.4 APPOINTMENT, TENURE AND PROMOTION: CRITERIA FOR FACULTY WITH EXTENSION RANKS

4.42.7.1 Criteria for Promotion from Extension Instructor to Extension Assistant Professor

Extension faculty will be initially appointed to the rank of extension instructor when they have not yet completed ~~the terminal a minimum of a master's degree from an accredited institution or its equivalent~~~~appropriate for extension faculty~~, but have met all other criteria for appointment to the rank of extension assistant professor. ~~Appointment as or P~~promotion to extension assistant professor requires completion of ~~the terminal a minimum of a master's degree appropriate for extension faculty~~ or its equivalent; demonstrated ability in teaching, research or creative endeavors, extension, or other qualifying work according to the role statement; demonstrated ability in the ~~and~~ development of programs relevant to the identified population; evidence of scholastic promise; and evidence of progressive professional development as determined by the appropriate administrator.

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

Tenure and promotion from extension assistant professor to extension associate professor are awarded on the basis by which an extension faculty member performs ~~his or her~~their role statement. Although extension faculty are expected to carry out the major university functions of teaching, ~~research or creative endeavors~~, extension, and service, individual emphasis will vary as described in the extension faculty member's role statement. Each candidate must present evidence of effectiveness in all of the professional domains in which ~~he or she~~they performs and must present evidence of excellence in the major emphasis of ~~his or her~~their role statement.

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The criteria for the award of tenure and for promotion from extension assistant professor to extension associate professor are the same. These criteria include but are not limited to: an established reputation based upon a balance of scholarship, teaching, research or creative endeavors, extension, and service; recognition for professional success in the field of appointment; evidence for effectiveness in all of professional domains in which the faculty member performs; and evidence of excellence in the major emphasis of ~~his or her~~their role statement (Policies 405.4.1, Criteria for Promotion from Extension Instructor to Extension Assistant Professor and 405.6.1, Role Statement and Role Assignment~~401.3.4; 405.1~~). Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the ~~following areas:~~domains of professional service included in and according to the role statement (Policies 405.?, Role Statement and Role Assignment, and 405.? Domains of Professional Service).

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—Teaching.

Teaching includes, but is not limited to, all forms of extension instructional activities: proficiency in identifying the needs of the identified audience as demonstrated through imaginative or creative use of up-to-date instructional methods such as workshops, conferences, classes, lectures, newsletters, media presentations, computer-assisted instruction, authorship of extension bulletins, self-instruction materials; program development awards; service on relevant community committees; invited presentations or panel participation.

(1) Extension.

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

(1) Service.

Service activities include but are not restricted to: membership in and leadership of community, state, and/or national committees relevant to the role statement; committee participation in state, regional, and national professional organizations; consulting activities in local, state, regional, and national organizations and agencies; public speaking and/or information dissemination involving professional expertise; engagement in local communities.

432.7.3 Initial Appointment at the Extension Associate Professor or Extension Professor Ranks ~~without Tenure~~

Initial appointment to the rank of extension associate professor requires all the qualifications prescribed for an extension assistant professor; an established reputation based upon a balance of teaching, research or creative endeavors, extension, and service; and broad recognition for professional success in the field of appointment.

Initial appointment to the rank of extension professor requires all the qualifications prescribed for an extension associate professor and an established outstanding reputation in the field of appointment.

Faculty members with experience in extension at other accredited colleges or universities may be appointed to the ranks of extension associate professor or extension professor with or without tenure.

The criteria for the award of tenure are the same as those in 405.4.2, Criteria for the Award of Tenure and for Promotion from Extension Assistant Professor to Extension Associate Professor ~~above~~. For initial appointments to the extension associate professor or extension

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professor ranks without tenure, a written statement attesting to the length of the pre-tenure probationary period is negotiated at the time of appointment and is approved by the supervisor, the vice president of for extension, and the provost.

Initial appointments to the extension associate professor or extension professor ranks with tenure are reviewed according to Policy 405.7.3.1, Administrative Nominations for Tenure.

4.4 Criteria for Promotion from Extension Associate Professor to Extension Professor

~~In addition to the criteria for promotion to extension associate professor, promotion to the rank of extension professor shall require an established outstanding reputation for excellence in teaching, development of programs relevant to the identified population, and extension, according to the role statement. Excellence is measured by national standards for extension professors within the professional peer group.~~

406.65.52.8 APPOINTMENT, TENURE AND PROMOTION: CRITERIA FOR PROFESSIONAL CAREER AND TECHNICAL EDUCATION FACULTY RANKS

5.1 2.8.1 Criteria for Promotion from Professional Career and Technical Education Instructor to Professional Career and Technical Education Assistant Professor

Professional career and technical education faculty will be initially appointed to the rank of professional career and technical education instructor when they have not yet completed the associate of science or associate of applied science degree but have six (6) years of applicable work experience at the journeyman level. Up to three (3) years of academic training from an accredited college may be substituted for up to three (3) years' work experience. Promotion to professional career and technical education assistant professor requires completion of the associate of science or an associate of applied science degree from an accredited college plus basic industry qualifications; three (3) years' full-time teaching experience at an accredited college and evidence of progressive professional development.

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5.2 2.8.2 Criteria for the Award of Tenure and for Promotion from Professional Career and Technical Education Assistant Professor to Professional Career and Technical Education Associate Professor

Tenure and promotion from professional career and technical education assistant professor to professional career and technical education associate professor are awarded on the basis by which a faculty member performs his or hertheir assignment. Although professional career and technical education faculty are expected to carry out the major university functions of teaching, research or creative endeavors, and service responsibilities assigned to them, individual emphases will vary as described in the faculty member's role statement. Each candidate must present evidence of effectiveness in all of the professional domains in which he or shethey performs and must present evidence of excellence in the major emphasis of his or hertheir role statement.

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The criteria for the award of tenure and for promotion from professional career and technical education assistant professor to professional career and technical education associate professor are the same. These criteria include, but are not limited to: all of the qualifications prescribed for

an professional career and technical education assistant professor; a bachelor's degree from an accredited university; a minimum of seven years of full-time teaching at an accredited college; an established reputation based upon a balance of teaching, research or creative endeavors, and service; broad recognition for professional success in the field of appointment; evidence of effectiveness in all of the professional domains in which the faculty member performs; and evidence of excellence in the major emphasis of ~~his or her~~their role statement. Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the ~~following areas: domains of professional service included in and according to the role statement (Policies 405.?, Role Statement and Role Assignment and 405.?, Domains of Professional Service).~~

~~— Teaching.~~

~~Teaching includes, but is not limited to, all forms of career and technical education instructional activities: classroom performance, student advising and supervision, oversight of independent learning, mentoring students inside and outside the classroom, and curriculum development. Documentation supporting teaching performance must include student and peer evaluations, and may include, but is not restricted to: proficiency in identifying the needs of the identified audience; curriculum development as demonstrated through imaginative or creative use of up to date instructional methods materials such as workshops, conferences, classes, lectures, newsletters, syllabi, instructional manuals, assigned readings, case studies, media presentations, packages and computer assisted instruction, programs; authorship of extension bulletins, self-instruction textbooks or other instructional materials; program development teaching and/or advising awards; authorship of refereed articles on teaching; evidence of mentoring inside and outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, applicants for major scholarships or grants, and Honors or other independent study work; success of students in post instructional licensing procedures or employment placements; service on professional committees, panels and task forces; and invited presentations or panel participation and professional lectures or consultations.~~

~~(+) Service.~~

~~Service activities include but are not restricted to: membership in, and leadership of community, state, and/or departmental, college/school and university committees and organizations; active participation in regional and national committees relevant to the role statement; professional organizations as evidenced by committee participation in state, regional, and national professional organizations; membership and/or holding elective or appointive office; consulting activities in local, state, regional, and national and international organizations and agencies; public speaking and/or information dissemination involving professional expertise; engagement in local communities. Tenure eligible faculty must participate in service activities. Although such activities are vital to the mission of the university, they are not expected to constitute a major emphasis in the role statement for tenure eligible faculty.~~

5.3 2.8.3 Initial Appointment at the Professional Career and Technical Education Associate Professor or Professional Career and Technical Education Professor Ranks without Tenure

Initial appointment to the rank of professional career and technical education associate professor

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requires all of the qualifications prescribed for a professional career and technical education assistant professor: a bachelor's degree from an accredited university; a minimum of seven (7) years of full-time teaching at an accredited college; an established reputation in accordance with the role statement; and broad recognition for professional success in professional career and technical education.

Initial appointment to the rank of professional career and technical education professor requires all of the qualifications prescribed for a professional career and technical education associate professor; a master's degree or higher from an accredited university; a minimum of twelve (12) years of full-time teaching experience at an accredited college; an outstanding reputation in accordance with the role statement; and national recognition for professional success in professional and technical education.

Faculty members who are qualified for initial appointment at the ranks of professional career and technical education associate professor or professional career and technical education professor may be appointed with or without tenure. The criteria for the award of tenure are the same as those in Policy 405.2, Criteria for the Award of Tenure and for Promotion from Professional Career and Technical Education Assistant Professor to Professional Career and Technical Education Associate Professor~~above~~. For initial appointments to the professional career and technical education associate professor or professional career and technical education professor ranks without tenure, a written statement attesting to the length of the pre-tenure probationary period is negotiated at the time of appointment and is approved by the department head, the ~~academic dean and where appropriate, the chancellor/vice president of statewide campuses or regional campus/statewide campus associate vice president~~dean, and the provost.

Initial appointments to the professional career and technical education associate professor or professional career and technical education professor ranks with tenure are reviewed according to Policy 405.7.3.1, Administrative Nominations for Tenure.

~~Criteria for Promotion from Professional Career and Technical Education Associate Professor to Professional Career and Technical Education Professor~~

~~In addition to the criteria for promotion to professional career and technical education associate professor, promotion to the rank of professional career and technical education professor shall require a master's degree or higher from an accredited university; a minimum of twelve years of full-time teaching experience at an accredited college; an outstanding reputation based upon a balance of scholarship, teaching, and service; national recognition for professional success in professional and technical education; evidence of effectiveness in all of the professional domains in which the faculty member performs; and evidence of excellence in the major emphasis of his or her role statement. Excellence is measured by national standards within the respective professional peer groups.~~

~~405.6 TENURE, PROMOTION AND REVIEW: GENERAL PROCEDURES~~

~~6.2 Role Statement and Role Assignment~~

~~A role statement will be prepared by the department head or supervisor, and agreed upon between the department head or supervisor and the faculty member at the time he or she accepts an appointment, as indicated by their signatures. The role statement should also be, approved by~~

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~~the academic dean and the provost and where applicable, the chancellor/vice president of statewide campuses, vice president for extension or regional campus/statewide campus/associate vice president dean, prior to the faculty member's signature, and then signed by the academic dean, and the chancellor/vice president of statewide campuses, vice president for extension or regional campus/statewide campus/associate vice president dean where applicable. The role statement shall include percentages for each area of professional domains (404.1.2). These percentages will define the relative evaluation weight to be given to performance in each of the different areas of professional domains. Role statements serve two primary functions:~~

~~First, the faculty member can gauge his or her expenditure of time and energy relative to the various roles the faculty member is asked to perform in the university. Second, role statements provide the medium by which the assigned duties of the faculty member are described, including the campus or center location, and by which administrators and evaluation committees can judge and counsel a faculty member with regard to his or her allocation of effort. During the search process, the department head or supervisor will discuss with each candidate his or her prospective role in the academic unit as defined by the role statement.~~

~~The role statement shall be reviewed, signed and dated annually by the faculty member and department head or supervisor and academic dean, or, where appropriate, the vice president for extension, chancellor/vice president of statewide campuses, or regional campus/statewide campus/associate vice president dean and revised as needed. Any subsequent revision may be initiated by either the faculty member or the department head or supervisor. Any revision of the role statement, including the campus or center location, should be mutually agreed to by the faculty member and department head or supervisor and approved by the academic dean or vice president for extension, and, where applicable, the chancellor/vice president of statewide campuses or regional campus/statewide campus/associate vice president dean. If agreement cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements before transmitting revised role statements to promotion advisory committee and tenure committees. At the time of the appointment a copy of the role statement, and any later revisions, will be provided to the faculty member, the department head or supervisor, the academic dean or vice president for extension and the provost, and, where applicable, the chancellor/vice president of statewide campuses or regional campus/statewide campus/associate vice president dean, and the members of the tenure and/or promotion advisory committee.~~

~~Some academic units, such as Extension and the Regional and Eastern campuses, may find it useful to employ an annual work plan or "role assignment". The faculty member's role assignment provides for the detailed implementation of the professional domains of the faculty member described in the role statement. During the annual review, the role assignment may be adjusted within the parameters of the role statement. Major changes in the role assignment may prompt review and revision of the role statement.~~

2.9 406.7 PROCEDURES SPECIFIC TO THE TENURE PROCESS

6.1 2.9.1 Advisory Committees Tenure Advisory Committee (TAC)

Tenure advisory committee (TAC):

For each new tenure-eligible faculty member who is appointed, the faculty member's department head or supervisor shall will, in consultation with the faculty member and with the approval of

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the ~~academic~~ dean or ~~the~~ vice president for extension, ~~and, where appropriate, the chancellor/vice president of statewide campuses or regional campus/statewide campus associate vice president dean,~~ appoint a tenure advisory committee. A tenure advisory committee must be appointed during the faculty member's first semester of service. The committee ~~shall~~ will consist of at least five (5) members, one (1) of whom must be from outside the academic unit. The department head or supervisor will designate the chair of the committee. The dean of the college will appoint a tenure advisory committee for department heads appointed without tenure in academic departments. The provost will appoint a tenure advisory committee for deans ~~or;~~ vice presidents- ~~or chancellor/vice president of statewide campuses (where applicable)-~~ appointed without tenure.

The tenure advisory committee members ~~shall~~ will be tenured and hold rank higher than that held by the faculty member under consideration unless that faculty member is an untenured full professor, librarian, extension professor, or professional career and technical education professor. If there are fewer than five (5) faculty members in the academic unit with higher rank than the

candidate, then the department head or supervisor ~~shall~~ will, in consultation with the ~~academic~~ dean or ~~the~~ vice president for extension, ~~and, where appropriate, the chancellor/vice president of statewide campuses or regional campus/statewide campus associate vice president dean,~~ complete the membership of the committee with faculty of related academic units. The department head or supervisor of the candidate ~~shall~~ will not serve on the tenure advisory committees, and no committee member may be a department head or supervisor of any other member of the committee. A department head or supervisor may only be appointed to the TAC with the approval of the faculty member under consideration. The department head or supervisor for each committee ~~shall~~ will fill vacancies on the committee. In consultation with the faculty member, ~~the academic~~ dean or ~~the~~ vice president for extension, ~~and, where appropriate, the chancellor/vice president of statewide campuses or regional campus/statewide campus vice president dean,~~ the department head or supervisor may replace members of the tenure advisory committee. The candidate may request replacement of committee members subject to the approval of the department head or supervisor, and the ~~academic~~ dean or ~~the~~ vice president for extension, ~~and, where appropriate, the chancellor/vice president of statewide campuses or regional campus/statewide campus associate vice president dean.~~

The role and responsibility of the TAC is to provide an annual evaluation of a faculty member's progress toward tenure and promotion. The TAC is responsible for providing feedback to the faculty member with regard to progress toward tenure and promotion, and ~~shall~~ will recommend (a) to renew the appointment or (b) not to renew the appointment (~~Policy 407.2.1.(5), Dismissal~~). In the final year of the pre-tenure probationary period, the committee ~~shall~~ will recommend (a) awarding promotion and tenure or (b) denying promotion and tenure (~~Policy 407.2.1.(5), Dismissal~~). At any time during the pre-tenure probationary period, the committee can be asked to render judgment on an administrative proposal to grant promotion and tenure in accordance with ~~PolicySection 405.7.3.(1), Administrative Nominations for Tenure of the USU Policy Manual~~. Under those circumstances, the TAC ~~shall~~ will recommend (a) to award promotion and tenure or (b) to continue the pre-tenure probationary period. ~~(1) Promotion advisory committee (PAC)(Formation).~~

~~A promotion advisory committee must be formed no later than the third year from the time the faculty member was awarded tenure. At any time prior to this deadline, the faculty member may request that a promotion advisory committee be formed for him or herself. The request will be in writing and made to the department head. The promotion advisory committee will be formed by~~

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~~the department head in mutual agreement with the faculty member and in consultation with the academic dean, or vice president for extension, and, where appropriate, the chancellor/vice president of statewide campuses or regional campus/statewide campus associate vice president dean, within 30 days of receipt of the written request.~~

~~The promotion advisory committee shall be composed of at least five faculty members who have tenure and hold the rank of professor. The department head or supervisor will appoint a committee chair other than him or herself and at least one member of the promotion advisory committee will be chosen from outside the academic unit. Department heads and supervisors of the candidate may not serve on promotion advisory committees, and no committee member may be a department head or supervisor of any other member of the committee. The appointing authority for the committee will fill vacancies on the committee as they occur in mutual agreement with the faculty member. The dean, the department head or supervisor may replace members of the promotion advisory committee when necessary, in mutual agreement with the faculty member. The candidate may request removal of committee members subject to the approval of the department head or supervisor and the academic dean or vice president for extension, and, where appropriate, the chancellor/vice president of statewide campuses or regional campus/statewide campus associate vice president dean.~~

~~When a department head or supervisor is being considered for promotion, the appropriate dean, or vice president for extension shall appoint the promotion advisory committee; when a dean, vice president, or chancellor/vice president of statewide campuses is being considered for promotion, the provost shall appoint the promotion advisory committee.~~

~~—Candidate's File~~

~~The candidate is responsible for keeping his or her professional file current and complete. This file is the primary source of information for the tenure advisory committee or promotion advisory committee. The file should include thorough documentation related to the responsibilities outlined in the role statement.~~

~~Other materials that provide information or data of consequence to the formal review of the candidate should be added to the candidate's file as supplementary material before the tenure advisory committee's annual meeting. The candidate is entitled to review this supplementary material upon request, with the exception of peer review letters. If a candidate wishes to comment on any item in this supplementary material, the candidate's written comment must be added prior to the annual meeting of the tenure advisory committee. The same will hold true for files of faculty submitted for promotion.~~

6.2 University Records: Access

A faculty member has the right to examine, upon request, university records maintained or retrievable under his or her name or identifying number. University records maintained or retrievable under a faculty member's name or identifying number shall be open to inspection only by the president and administrative officers or persons to whom the president delegates in writing the power to inspect such records. Other persons shall not be permitted to examine such records except as required by law.

6.3 Ombudspersons

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

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

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

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

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

405.7 PROCEDURES SPECIFIC TO THE TENURE PROCESS

7.22.9.2 Annual Events

(+) 2.9.2.17.2.1 Meetings of the tenure advisory committee.

An initial meeting of the committee shall will be held to acquaint the candidate with the members, to discuss the professional plans of the candidate, to review the role statement, and to initiate an annual review of the candidate's progress. An ombudsperson must be present in person or by electronic conferencing at all meetings of the tenure advisory committee in accordance with pPolicy 405.6.5, Ombudspersons. All tenure advisory committee members shall will participate interactively in all committee meetings, either physically or by electronic conferencing, at the appointed date and time.

(2) 2.9.2.2 7.2.2 Evaluation and recommendation by the tenure advisory committee.

After the initial meeting, the tenure advisory committee shall will meet with the candidate at least

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annually and review the candidate's file to evaluate progress toward tenure. An ombudsperson must be present in person or by electronic conferencing at all meetings of the tenure advisory committee in accordance with Policy

405.6.5. Ombudspersons. The committee will submit, each year, a written report to the department head or supervisor. This report shall will be submitted by on or before December 1 for first year and second year appointees, by on or before October 26 for third year appointees, and by on or before December 1 during subsequent years for all pre-tenure probationary years except the year of the interim comprehensive review (Policy 2.9.3 Procedures for the interim comprehensive review).

Except in the year in which the tenure decision must be made, the report shall will include an evaluation of the candidate's progress toward tenure and identify areas for improvement in the candidate's performance as necessary. The report shall will also contain a recommendation regarding the renewal or nonrenewal of the appointment (Policies 405.6.2.(1), Tenure Advisory Committee (TAC) and Policy 407.67, Non-Renewal).

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Copies of all reports signed by the committee members and the ombudsperson shall will be provided to the candidate, the department head or supervisor, and the academic dean or the vice president for extension, and, where applicable, the chancellor vice president of statewide campuses or regional campus statewide campus associate vice president dean. A copy shall will be placed in the candidate's file.

(3) 2.9.2.3 7.2.3 Evaluation and recommendation by the department head or supervisor.

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The department head or supervisor shall will, after receiving the tenure advisory committee report, meet annually with the candidate to review fulfillment of the role statement and evaluate progress toward tenure. For meetings held between either the department head or supervisor and the candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson in accordance with Policy 405.6.5. Ombudspersons. Subsequently, the department head or supervisor shall will submit in writing to the academic dean, or the vice president for extension, chancellor vice president of statewide campuses or regional campus statewide campus associate vice president dean, an evaluation of the candidate indicating where satisfactory progress is being made and where improvement is needed. The department head or supervisor may recommend the renewal or nonrenewal of the appointment of the faculty member. This report shall will be submitted by on or before December 18 for all pre-tenure probationary years except the year of the interim comprehensive review (Policy 2.9.3 Procedures for the interim comprehensive review), first year and second year appointees, by on or before November 10 for third year appointees, and by on or before December 18 during subsequent years. Copies will be provided to the candidate and the tenure advisory committee. A copy shall will be placed in the candidate's file.

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2.9.3 Procedures for the interim comprehensive review

The interim comprehensive review is typically held during the candidate's third year. If the candidate has received an extension prior to the third year, the interim comprehensive review is held during the candidate's fourth year. In no case can the interim comprehensive review be held later than candidate's fourth year, even if a second extension is granted (Policy 2.4.3 Extension of Pre-tenure Probationary Period). All members of the tenure advisory committee and an ombudsperson must be present during the review meeting.

2.9.3.1 Evaluation and Recommendation by the tenure advisory committee

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The committee will submit a written report to the department head or supervisor. This report will be submitted on or before October 26 of the interim comprehensive review year. The report will include an evaluation of the candidate's progress toward tenure and identify areas for improvement in the candidate's performance as necessary. The report will also contain a recommendation regarding the renewal or nonrenewal of the appointment (Policies 405.6.2.1, Tenure Advisory Committee (TAC) and Policy 407.6, Non-Renewal). Copies of all reports signed by the committee members and the ombudsperson will be provided to the candidate, the department head or supervisor, and the dean or the vice president for extension. A copy will be placed in the candidate's file.

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2.9.3.2 Evaluation and recommendation by the department head or supervisor

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After receiving the tenure advisory committee report, the department head or supervisor will meet with the candidate to review fulfillment of the role statement and evaluate progress toward tenure. For meetings held between the department head or supervisor and the candidate to review the committee's evaluation and recommendation, either the candidate or department head or supervisor may request the presence of an ombudsperson in accordance with Policy 405.6.5, Ombudspersons. Subsequently, the department head or supervisor will submit in writing to the dean, or the vice president for extension, an evaluation of the candidate indicating where satisfactory progress is being made and where improvement is needed. The department head or supervisor may recommend the renewal or nonrenewal of the appointment of the faculty member. This report will be submitted on or before on or before November 10 of the interim comprehensive review year.

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2.9.3.3 Evaluation and recommendation by the dean or the vice president for extension

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The dean or the vice president for extension will send their own recommendation, the department head's recommendation, and the tenure advisory committee's recommendation to the provost on or before November 20 of the interim comprehensive review year. Copies of letters from the dean or the vice president for extension will be sent to the tenure advisory committee and the candidate, department head or supervisor, and placed in the candidate's file at the time that the recommendation of the dean or the vice president for extension is transmitted to the next level of review.

2.9.3.4 Further evaluation

After reviewing the recommendations from the tenure advisory committee, the department head or supervisor, and the dean or vice president for extension, the provost may approve or reject any or all of the recommendations received. A decision of renewal or nonrenewal must be communicated to the candidate on or before December 10. Should a decision of nonrenewal be made, the faculty member's appointment will terminate at the end of the current academic year. No terminal year appointment will be given.

7.3 ~~2.9.43~~ Additional Events During the Year in which a Tenure Decision is to be Made

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(+) ~~2.9.43.17.3.1~~ External peer reviews.

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The purpose of external peer review is to provide an objective evaluation and an independent assessment of the quality and impact of the candidate's record. ~~Prior to~~On or before September 15, the department head or supervisor will make a solicitation of letters from at least four (4) peers of rank equivalent to or higher than that sought by the candidate. If fewer than four (4) letters arrive, additional letters will be solicited only to attain the minimum of four (4) letters.

The candidate will be asked to submit the names of potential reviewers and to state the nature of ~~his or her~~their acquaintance with each of them. The reviewers must be external to the university and must be respected in their field. External reviewers should be persons who are not invested in the career of the candidate, but rather, who have sufficient distance to serve as ~~an~~ objective external reviewers. These persons should be familiar with the candidate's field of study and in some cases may know the candidate, but must be able to make an unbiased appraisal of the candidate's file as determined by the Tenure Advisory Committee and Department Head. If a candidate believes that their discipline is not large enough to enable the creation of a list of potential peer reviewers who do not have close professional relationships with the candidate, the candidate must provide an explanation of why the proposed peer reviewer's participation is essential and why the candidate anticipates the peer reviewer will be able to provide an objective assessment. A candidate ~~must~~ may be asked to submit additional names if it is decided that that nature of the candidate's acquaintance with the potential reviewers might prevent the reviewer from making an objective evaluation. The number of names submitted by the candidate should be at least equal to the number of letters to be solicited. At least one-half of the reviewers must be selected from the candidate's list. The candidate may also submit names of potential reviewers that ~~he or she~~the candidate does not want contacted, although this list is not binding on the department head or supervisor.

The department head or supervisor and the tenure advisory committee ~~shall~~will mutually agree to the peer reviewers from whom letters will be solicited to ensure an objective appraisal of the candidate's file. A summary of the pertinent information in ~~his or her~~the candidate's- file initially prepared by the candidate and a cover letter initially drafted by the department head or supervisor with final drafts mutually agreed upon by the candidate, the tenure advisory committee, and the department head or supervisor ~~shall~~will be sent to each reviewer by the department head or supervisor. Each external reviewer should be asked to state, the nature of ~~his or her~~their acquaintance with the candidate and to evaluate the performance, record, accomplishments, recognition and standing of the candidate in the major area of emphasis of ~~his or her~~the role statement. If the candidate, department head, and tenure advisory committee all agree, external reviewers may be asked to evaluate the secondary area of emphasis in the role statement as well. Copies of these letters will become supplementary material to the candidate's file (see ~~Code~~Policy 405.6.3, Candidate's File).

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

~~(2) 7.3.22.9.43.2~~ Evaluation and recommendation by the tenure advisory committee.

The tenure advisory committee ~~shall~~will review and evaluate the candidate for tenure, based on the information in ~~his or her~~the candidate's file including external peer reviews. The committee

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~~shall will~~ make a decision with respect to its tenure recommendation by a majority vote and the names of those for and against ~~shall will~~ be recorded. The committee ~~members will support this decision with a letter to inform~~ the department head or supervisor ~~of their decision in a letter and therein, and shall will~~ include ~~in that letter~~ a report of the committee vote by name along with appropriate summaries and interpretations of the documents ~~on which the decision was based, and may include both~~ Should there be majority and minority views, ~~if any, on which their decision was made~~ they may be documented in a single letter signed by the entire committee, or minority positions may be documented in separate letters. The letter is to be prepared by the chair of the tenure advisory committee, presenting the committee's decision, and is to be signed by the committee, and sent to the department head or supervisor ~~prior to on or before~~ December 1, ~~except that for third-year appointees the date is on or before October 26.~~ ~~Minority positions, if any, may be documented in separate letters.~~ A copy of the tenure advisory committee's letter(s) ~~shall will~~ be sent to the candidate at the same time that it is sent to the next level of review and placed in ~~his or her~~ the candidate's file.

(3) 7.3.32.9.34.3 Evaluation and recommendation by the department head or supervisor.

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After reviewing the candidate's dossier and the recommendation of the tenure advisory committee, the department head or supervisor ~~shall will~~ prepare a separate recommendation. For meetings held between either the department head or supervisor and the candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson in accordance with ~~p~~ Policy 405.6.5. Ombudspersons. The recommendations of the department head or supervisor and the tenure advisory committee ~~shall will~~ be transmitted to the ~~academic~~ dean or ~~the~~ vice president for extension, ~~and, where applicable, the chancellor vice president of statewide campuses or regional campus statewide campus associate vice president dean by on or before~~ December 15, ~~except that for third-year appointees the date is on or before November 10.~~ A copy of the department head or supervisor's letter ~~shall will~~ be provided to the tenure advisory committee, sent to the candidate, and placed in ~~his or her~~ the candidate's file at the time that ~~his or her~~ the department head or supervisor's recommendation is transmitted to the next level of review.

7.3.42.9.43.4 Evaluation and recommendation by the ~~academic~~ dean or ~~the~~ vice president for extension, ~~and, where applicable, the chancellor vice president of statewide campuses or regional campus statewide campus associate vice president dean.~~

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The ~~academic~~ dean or ~~the~~ vice president for extension will send ~~his or her~~ their own recommendation, the department head's recommendation, and the tenure advisory committee's recommendation to the provost on or before January 11, ~~except that for third-year appointees the date is on or before November 20.~~ ~~The regional campus statewide campus associate vice president dean will also submit a recommendation for each regional campus statewide campus candidate, and likewise, the chancellor vice president of statewide campuses of USU Eastern will submit a recommendation for each USU Eastern candidate. These recommendations may be submitted jointly with the academic dean's recommendation.~~ Copies of letters from the ~~academic~~ dean or ~~the~~ vice president for extension, ~~and, where applicable, the chancellor vice president of statewide campuses or regional campus statewide campus associate vice president dean will shall~~ be sent to the tenure advisory committee and the candidate, department head or supervisor, and placed in ~~his or her~~ the candidate's file at the time that ~~the dean's or the vice president for extension's~~ these recommendations ~~are is~~ transmitted to the next level of review.

Should the ~~academic dean, or the~~ vice president for extension, ~~chancellor vice president of statewide campuses, or regional campus statewide campus associate vice president dean~~ choose to convene an ad hoc advisory committee to review tenure and promotion recommendations under ~~his or her~~their purview, the members of this committee will shall have tenure and rank equal to or greater than that sought by the candidate. The department head or supervisor, of the candidate will shall not serve on this committee. The ~~academic dean, director, or the vice-~~ president for extension, ~~chancellor vice president of statewide campuses, or regional campus statewide campus associate vice president dean,~~ will shall chair the committee. Any such advisory committee formed will shall also utilize an ombudsperson (Policy 405.6.5, Ombudspersons), and the names of the members of the committee will shall be made known to the faculty of the academic unit.

(4) 7.3.52.9.34.5 Further evaluation and recommendation.

The provost will shall convene a committee including the vice president for research ~~and dean of the school of graduate studies~~, the vice president for extension, and others of ~~his or her~~the provost's choosing.

The president may attend and participate in meetings of the committee. All members must hold the rank of professor with tenure.

The provost will shall make the candidate's file available to all members of the committee ~~the candidate's file~~. After a thorough review and discussion of the ~~dossier file~~, the provost will report the collective recommendation of this committee to the president.

The president will shall review the committee's recommendations prior to making ~~his or her~~their own recommendations. The president will shall submit any recommendation to award tenure to the Board of Trustees prior to the April Board of Trustees meeting. The president will shall inform the candidate in writing upon approval of tenure by the Board of Trustees. The ~~academic dean or the~~ vice president for extension, department head or supervisor, tenure advisory committee, and, where appropriate, the ~~chancellor vice president of statewide campuses or regional campus statewide campus associate vice president dean,~~ will also be notified of the action.

The president will shall notify the provost, director (where applicable), ~~academic dean or the~~ vice president for extension, department head or supervisor, tenure advisory committee, and, where appropriate, the ~~chancellor vice president of statewide campuses or regional campus dean,~~ and the candidate in writing of the president's decision to deny tenure no later than on or before April 15. ~~For candidates in their third year, the deadline is on or before December 10th.~~

Once a decision has been reached, the provost will meet with the tenure advisory committee and with those administrators whose recommendations were not accepted. The provost will also, at the request of the candidate, meet collectively with the candidate, the chair of the tenure advisory committee, the department head or supervisor, ~~and the academic dean, or the~~ vice president for extension, ~~and, where appropriate, the chancellor or regional campus dean,~~ to discuss the candidacy and the decision.

7.4 2.9.54 Exceptional Procedure

(+) 7.4.12.9.54.1 Administrative nominations for tenure.

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The department head or supervisor, ~~academic dean, or the~~ vice president for extension, ~~and, where appropriate, the chancellor or regional campus dean,~~ provost or president may propose the granting of tenure. Such a proposal ~~will~~shall be referred to the tenure advisory committee for consideration, and all procedures of ~~Policy~~ Policies 405.6, Tenure, Promotion and Review: General Procedures and 405.7.2, Additional Events During the Year in which a Tenure Decision is to be Made ~~will~~shall be followed with the exception that the timetable therein may be waived.

~~(2) Transfers of tenured faculty.~~

~~A faculty member with tenure who transfers permanently from one academic unit to another forfeits tenure in the unit from which he or she has transferred. The academic unit to which the faculty member transfers determines the rank with which the faculty member will transfer and may require service for a pre-tenure probationary period appropriate to the faculty member's academic rank or may accept any or all of the years of satisfactory service completed toward tenure in the former academic unit, provided that in no case shall the pre-tenure probationary period exceed three years. Credit for service in the former academic unit to be accepted toward tenure in the new academic unit must be agreed upon in advance of the transfer by the faculty member, the department head or supervisor, academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, and the provost.~~

~~7.4.22.9.54.2 Expedited Review (PB working on. PB working on)~~

4056.82.10 PROCEDURES SPECIFIC TO THE PROMOTION PROCESS FOR FACULTY WITHOUT TENURE

8.1 2.10.1 Faculty without Tenure Instructors, affiliate librarians, extension instructors, and professional career and technical education instructors.

~~(1) Instructors, affiliate librarians, extension instructors, and professional career and technical education instructors.~~

Instructors, affiliate librarians, extension instructors, and professional career and technical instructors, ~~will~~shall be promoted to the ranks of assistant professor, assistant librarian, extension assistant professor, ~~and~~ professional career and technical education assistant professor, respectively, once the criteria in Policies 405.2.1, Criteria for Promotion from Instructor to Assistant Professor, 405.3.1, Criteria for Promotion from Affiliate Librarian to Assistant Librarian, 405.4.1, Criteria for Promotion from Extension Instructor to Extension Assistant Professor, or 405.5.1, Criteria for Promotion from Professional Career and Technical Education Instructor to Professional Career and Technical Education Assistant Professor have been met.

~~(2) **8.22.10.2** Assistant professors, assistant librarians, extension assistant professors, and professional career and technical education assistant professors.~~

~~Assistant professors, assistant librarians, extension assistant professors, and professional career and technical education assistant professors ~~will~~shall be promoted to the ranks of~~

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associate professor, associate librarian, extension associate professor, and professional career and technical education associate professor, respectively, when tenure is granted.

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8.2 Faculty with Tenure Below the Rank of Professor (Meeting)

The promotion advisory committee will meet at any time during the academic year upon the request of the faculty member. It is strongly recommended that the meeting take place no later than Spring semester of the third year following tenure. The purpose of the first meeting of the promotion advisory committee will be to provide guidance to the faculty member with regard to his or her performance relative to the criteria and qualifications for promotion to professor.

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All promotion advisory committee members will participate in all committee meetings, either physically or by electronic conferencing. An ombudsperson must be present in person or by electronic conferencing. The faculty member may request additional meetings with the promotion advisory committee if desired. When the faculty member wishes to be considered for promotion to professor, the promotion advisory committee will meet upon request of the faculty member during the Spring semester of the academic year prior to the academic year when the candidate's dossier would go forward for promotion.

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Within 1430 days after any meeting with the faculty member to discuss promotion (but not the evaluative meeting in 405.8.3), the promotion advisory committee chair will write a report on the guidance given to the faculty member based on the committee's discussion. All members of the promotion advisory committee and the ombudsperson must read and sign the final draft of the report. If necessary, a minority opinion may be included. The report will then be sent to the candidate and his or her department head or supervisor, academic dean, the vice president for extension, or, where appropriate, the chancellor or regional campus dean.

A faculty member considering promotion to professor is strongly encouraged to also consult with his or her department head or supervisor and academic dean to obtain additional guidance from them about their readiness for promotion.

The department head or supervisor, academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, provost, or president may propose promotion. Such a proposal shall be referred to the promotion advisory committee for consideration, and all procedures of 405.8.3 will be followed.

Report of the department head or supervisor

If the faculty member has asked to be considered for promotion to professor in the subsequent year, the department head will provide in a separate report, an evaluation of the candidate's progress towards promotion to professor and identify any needed areas of improvement in the candidate's performance, as necessary. Copies of the department head's report will be provided to the faculty member, the promotion advisory committee, the academic dean or vice president of extension, and, where appropriate, the chancellor or regional campus dean, no later than 30 days following the meeting with the promotion advisory committee.

8.1 Procedures for Promotion

~~(1) External peer reviews.~~

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

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

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

~~(2) Evaluation and recommendation by the promotion advisory committee.~~

~~The promotion advisory committee shall review and evaluate the candidate for promotion, based on the information in his or her file including external peer reviews. An ombudsperson must be present in person or by electronic conferencing at all meetings of the promotion advisory committee in accordance with policy 405.6.5. The committee members shall make a decision with respect to its promotion recommendation by a majority vote and the names of those for and against shall be recorded. The committee will support this decision with a letter to the department head or supervisor, and shall include in that letter a report of the committee vote by name along with appropriate summaries and interpretations of the documents, and may include both majority and minority views, if any, on which their decision was made., and is to be signed by the committee, and sent to the department head or supervisor prior to December 1. advisory committee's letter(s) shall be sent to the candidate at the same time that it is sent to the next level of review and placed in his or her file.~~

~~(3) Evaluation and recommendation by the department head or supervisor.~~

~~After reviewing the candidate's dossier and the recommendation of the promotion advisory committee, the department head or supervisor shall prepare a separate recommendation. For~~

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~~meetings held between either the department head or supervisor and the candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5. The recommendations of the department head or supervisor and the promotion advisory committee shall be transmitted to the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean by December 15. A copy of the department head or supervisor's letter shall be provided to the promotion advisory committee, sent to the candidate, and placed in his or her file at the time that his or her recommendation is transmitted to the next level of review.~~

~~(4) Evaluation and recommendation by the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean.~~

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~~The academic dean or vice president for extension will send his or her own recommendation, the department head's or supervisor's recommendation, and the promotion advisory committee's recommendation to the provost on or before January 11. The regional campus dean will also submit a recommendation for each regional campus candidate, and likewise, the chancellor of USU Eastern will submit a recommendation for each USU Eastern candidate. These recommendations may be submitted jointly with the academic dean's recommendation. Copies of letters from the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean shall be sent to the promotion advisory committee and the candidate, department head or supervisor, and placed in his or her file at the time that these recommendations are transmitted to the next level of review.~~

~~Should the academic dean, vice president for extension, chancellor, or regional campus dean choose to convene an ad hoc advisory committee to review promotion recommendations under his or her purview, the members of this committee shall have tenure and rank equal to or greater than that sought by the candidate. The department head or supervisor, of the candidate shall not serve on this committee. The academic dean, director, vice president for extension, chancellor, or regional campus dean, shall chair the committee. Any such advisory committee formed shall also utilize an ombudsperson, and the names of the members of the committee shall be made known to the faculty of the academic unit.~~

~~(5) Further evaluation and recommendation.~~

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~~The provost shall convene a committee including the vice president for research and dean of the school of graduate studies, the vice president for extension, and others of his or her choosing. The president may attend and participate in meetings of the committee. All members must hold the rank of professor with tenure. The provost shall make available to all members of the committee the candidate's file. After a thorough review and discussion of the dossier, the provost will report the collective recommendation of this committee to the president.~~

~~The president shall review the committee's recommendations prior to making his or her recommendations. The president shall submit any recommendation to promote to the Board of Trustees prior to the April Board of Trustees meeting. The president shall inform the candidate in writing upon approval of promotion by the Board of Trustees. The academic dean or vice president for extension, department head or supervisor, promotion advisory committee, and, where appropriate, the chancellor or regional campus dean, will also be notified of the action. The president shall notify the provost, academic dean or vice president for extension, department~~

head or supervisor, promotion advisory committee, and, where appropriate, the chancellor or regional campus dean, and the candidate in writing of the president's decision to deny tenure no later than April 15.

Once a decision has been reached, the provost will meet with the promotion advisory committee whose recommendations were not accepted in order to review the reasons for the decision. The provost will also, at the request of the candidate, meet collectively with the candidate, the department head or supervisor, academic dean vice president for extension, and, where appropriate, the chancellor or regional campus dean, to discuss the reasons for the decision.

405.9 TERM APPOINTMENTS: ELIGIBILITY

Only individuals holding ranks as defined in policy 401.4 are eligible for term appointments.

405.10 TERM APPOINTMENTS AND PROMOTION: CRITERIA

10.1 Criteria for Promotion to the Penultimate Ranks:

Clinical or Research Assistant Professor, Assistant Professor (Federal Cooperator), Assistant Professor (Federal Research), Lecturer, Professional Practice Instructor to Clinical or Research Associate Professor, Associate Professor (Federal Cooperator), Associate Professor (Federal Research), Senior Lecturer, and Professional Practice Associate Professor

Promotion to the penultimate ranks is awarded on the basis by which a faculty member performs his or her role statement. Each candidate must present evidence of effectiveness in all of the professional domains in which he or she performs and must present evidence of excellence in the major emphasis of his or her role statement.

For promotion to the penultimate ranks, faculty members must demonstrate their ability to fulfill the following criteria, appropriate to their appointment:

(1) Teaching

indicate as part of the annual review letter whether or not the faculty member is meeting the formal standard for post tenure review outlined above. If a department is concerned that a faculty member is not meeting the post tenure review standards, the department head or supervisor must indicate this concern with regards to post tenure performance initially by providing a formal written warning to the faculty member. To serve as the formal written warning, this letter must state: "The department is concerned that, if performance does not improve, the department is likely to request the formation of a Peer Review Committee (PRC) to conduct a review of post-tenure performance" as outlined below. If in the next annual review after issuing a formal written warning the department again determines that the faculty member is not meeting the post tenure review standard, the department head or supervisor must formally request in writing that a Peer Review Committee (PRC) be formed to provide an independent evaluation of whether the faculty member has met the post tenure review standard.

A tenured faculty member may optionally request the formation of a PRC to provide feedback on post tenure performance, but such a request may not be made more than once every five years nor earlier than five years after being promoted in rank or granted tenure. The PRC will meet and

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~~review materials related to the 5-year performance of the faculty member. The PRC role in this case is only to provide post-tenure performance feedback in writing to the faculty member requesting the review.~~

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

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

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

~~Upon completion of its review, the PRC shall submit its written findings outlining the PRC's decision and rationale for determining whether the faculty member in question is, or is not, discharging conscientiously and with professional competence the duties appropriately associated with his or her position, as specified in the role statement. This written report shall be provided to the faculty member in question, and to the department head or supervisor who shall forward a copy to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean. If the PRC determines that the faculty member is meeting the standard for post-tenure performance, a written summary of the reasons for their decision shall be provided to the faculty member, department head, and appropriate academic dean, vice-~~

~~president for extension, regional campus dean, or chancellor, and no further action shall be required. If the PRC agrees with the recommendation of the department that the faculty member in question is not meeting the standard for post-tenure performance, a professional development plan shall be initiated as outlined in policy 405.12.3.~~

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

~~12.1 — College Faculty Appeals Committee (CFAC)~~

~~The College Faculty Appeals Committee (CFAC) committee shall consist of five tenured faculty members, each representing different departments within the college or unit, where possible. Three members of the CFAC will constitute each appeals panel. Members of the CFAC serve three-year staggered terms. Members may run for subsequent terms. The five members of the CFAC select a chair (and a co-chair, if desired). To fill vacancies in the CFAC, the chair solicits nominations from across the college or unit and runs the election while striving to keep broad representation across departments.~~

~~When mutual agreement on the initial committee membership of the Peer Review Committee cannot be reached (405.12.2), a College Faculty Appeals Committee (CFAC) shall decide membership. Either the faculty member and/or the department head (or equivalent) can initiate an appeal by written request to the CFAC chair. Each side submits a one-page document outlining their concerns and suggestions regarding committee membership. Within three weeks of receiving the request for an appeal, a meeting shall be held, a decision made and delivered to both the faculty member and department head. At the meeting each side may present their rationale for their request. Neither the department head nor the faculty member is required to attend, but both shall have the opportunity to voice their request. A simple majority of the three CFAC appeals panel members decides the membership of the committee in question and the decision is binding.~~

~~Professional Development Plan~~

~~(3) — A determination by a Peer Review Committee (PRC) that a faculty member is not discharging conscientiously and with professional competence the duties appropriately associated with his or her position, as specified in their role statement, shall lead to the negotiation of a professional development plan to help the tenured faculty member more fully meet role expectations. The plan shall respect academic freedom and professional self-direction, and shall permit subsequent alteration. The professional development plan shall be mutually agreed to and signed by the faculty member and the department head or supervisor, and approved by the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean. At the request of the faculty member, department head or supervisor, the professional development plan may be reviewed by the PRC, who shall conduct an in-depth evaluation, as described in policy 405.12.2, including an analysis of the of the goals or outcomes, or any other features of the professional development plan. Upon completion of its review, the PRC shall submit its written findings outlining the PRC's decision and rationale for determining whether the professional development plan is appropriate. This written report shall be provided to the faculty member in question, and to the department head or supervisor who shall forward a copy to the academic dean or vice president for extension, and, where appropriate, chancellor or~~

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regional campus dean.

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

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

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12.2 Academic Process

Evaluations, conducted pursuant to Policy 407, may reveal continuing and persistent problems with a faculty member's performance that call into question the faculty member's ability to function in his or her position. If such problems have not been rectified by efforts at improvement as prescribed in a professional development plan, the outcomes of which have been judged (405.12.3.(3)) by the review committee (405.12.2), then other nonpunitive measures, should be considered in lieu of a sanction as per policy 407.1.1. The standard for sanction (policy 407.2) remains that of adequate cause, namely conduct contrary to the standards set forth in policy 403. Successive negative reviews do not in any way diminish the obligations of the university to show such adequate cause pursuant to policy 407.4.

406.3 RESPONSIBILITIES

3.1 Responsible Office/Party

Identify who is responsible for what with regard to this policy. Roles and responsibilities are best defined by department and/or job title.

406.4 REFERENCES

- Bullet list references to Federal, State, municipal regulations, USHE/Board of Higher Education policies. [Arial 10]
- Continue list of references. [Arial 10]

406.5 RELATED USU POLICIES

- 405
- 407
- 408

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.

RESOURCES]

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

Contacts

- Faculty Senate website: <https://www.usu.edu/fsenate/index>
- Executive Secretary: [Michele Hillard](#)

POLICY HISTORY

Original issue date: [1997/07/01](#)

Last review date: [2022/09/01](#)

Next scheduled review date: [YYYY/MM/DD](#)

Previous revision dates: [2007/02/15](#), [2009/03/06](#), [2010/08/13](#), [2011/07/08](#), [2012/01/06](#), [2012/08/02](#), [2013/05/03](#), [2014/02/28](#), [2015/05/01](#), [2015/07/17](#), [2015/10/30](#), [2016/06/24](#), [2019/01/11](#)

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University Policy 104 Update Request



UtahStateUniversity

*Andrew D. Sorensen
Faculty Senate Representative
College of Engineering*

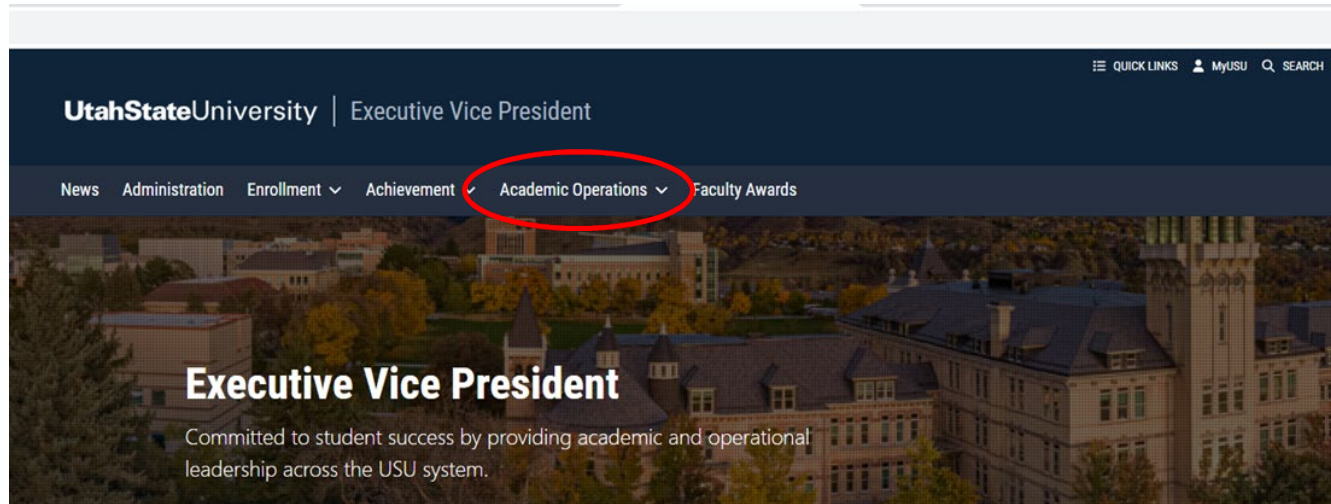
Policy 104 Update

- **Policy 104 was last revised in May, 2014**
- **In July 2022, President Cockett reconfigured the Executive Vice President and the Provost roles by splitting them into two separate positions**
 - **EVP – Operations**
 - **Provost - Academics**
- **Policy 104 has not been updated with the splitting/delineation of these responsibilities.**



Policy 104 Update

- Concern amongst the faculty that some of the current responsibilities of the EVP are part of the academic enterprise and should fall under purview of the Provost.



Policy 104: The University President and Other Officers

104.4.1 The University Executive Vice President and Provost

The Executive Vice President and Provost is the second ranking executive officer and the chief academic officer of the University. In the absence of and with the consent of the President, the Executive Vice President and Provost serves as the University's chief executive officer in the President's stead. When such authority is delegated to the Executive Vice President and Provost by the President, the Provost is responsible to represent the University in such a manner as to ensure the orderly and efficient conduct of University affairs.



Policy 104: The University President and Other Officers

104.4.1 The University Executive Vice President and Provost – Cont.

Specific responsibilities and functions of the Executive Vice President and Provost are:

- (1) develop, administer, and promote the academic programs of the University;
- (2) appoint, review, and promote the University's academic staff including the recruitment of faculty; the development, tenure, and promotion of faculty; and the development of faculty morale;
- (3) coordinate and promote academic proposals, changes, reviews, and other academic matters with the Trustees, Regents, Utah System of Higher Education, and other institutions and groups;
- (4) coordinate the University colleges, Graduate Studies, Learning Resources, Regional Campuses and Distance Education, and other academic activities; and
- (5) coordinate educational policies and participate with physical facilities planning and utilization.



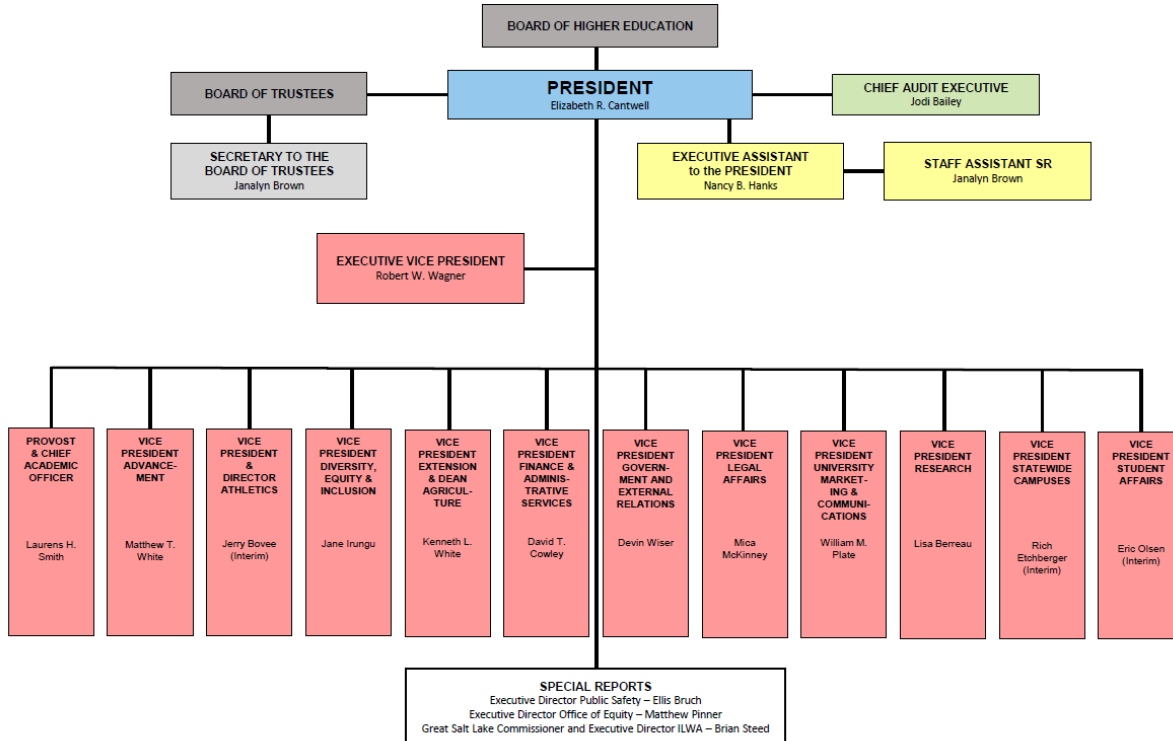
Policy 104 Update

- **Policy 104 only defines the roles for 7 Vice Presidents**
 - **Currently 13 Vice Presidents on the organization chart**
 - **Many of these VP roles have been split into two positions**
 - **e.g. - Vice President for Research and Dean of the School of Graduate Studies**
 - **There are no delineated roles for Associate/Assistant Vice Presidents/Provosts**
 - **EVP – 4.5**
 - **Provost – 6.5 (including Vice Provost for Statewide Campuses)**



USU Organization Chart

OFFICE OF THE PRESIDENT



Policy 104 Alignment with 401

104.1 Preface

The remainder of this chapter contains information regarding the functions and **responsibilities of the University's other administrators, who are appointed by the President** with the approval of the Board of Trustees (hereafter Trustees).

401.2.8.1.4 Collegial Governance of the University

There is shared responsibility in the governance of the university with a meaningful role for the faculty. **This role includes participation in decisions relating to the general academic operations of the university, such as budget matters and the appointment of administrators.** The faculty should actively advise in the determination of policies and procedures governing salary increases.



What's the Ask?

1. **Update Policy 104 to divide the position of EVP and Provost and delineate the responsibilities of the two roles.**
 - Insure that the Provost has oversight of all academic programs.
 - Include faculty input on what the roles should be.
2. **Update Policy 104 to include a description of the roles of Vice Presidents/Provosts and justification/process for establishing new VP/AVP positions.**
3. **Safeguards, including language in University policy, against the appointment of administrative positions (especially academic) without faculty input.**
4. **A renewed commitment from administration to shared governance and following of university policy.**



**Thank
You**



UtahStateUniversity