University Policy 404: Faculty Appointments

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: (this date is the approved policy date of the new policy/revision being submitted, to be determined by the final step in workflow)
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404.1 PURPOSE AND SCOPE

This section explains the requirements and procedures for appointment to various faculty positions.

404.2 POLICY

2.1 Appointment

An appointment is a contractual agreement between a faculty member and the university. The terms and conditions of the appointment are described in this Policy, the faculty member's role statement (Policies 405.6.1, Role Statement and Role Assignment (for tenure-eligible faculty), and 405.11.1, Role Statement and Role Assignment (for term faculty)), and salary notification and benefits forms. As an integral part of the appointment, faculty is entitled to the full range of benefits and privileges for which they are eligible.

2.1.1 Policies Respecting Appointments

The university will take sufficient time to seek, and then to investigate thoroughly, candidates for appointment to assure that only highly qualified personnel are employed and will not discriminate against any candidate on the basis of race, color, religion, sex, sexual orientation, national origin, age, veteran status, marital or parental status, or the presence of any sensory, physical or mental disability or handicap.

The university will hire as faculty members only candidates who are committed to carrying out the mission of the university.

Faculty positions and administrative positions to be filled by faculty members, when external searches are being conducted, will be advertised in media most likely to reach qualified persons who may have an interest, including those media that will encourage under-represented applicants. In addition to candidate-initiated applications, faculty will be invited to submit nominations, and the search and screening committee will be obligated to identify qualified candidates by encouraging nominations and aggressively pursuing promising nominees.

2.1.2 Professional Services
Employment, professional services, and compensation of faculty members will be in accordance with these policies. Professional services include but are not limited to teaching, research or creative endeavors, extension, library, professional career and technical education, along with related and supporting services, and are described in the role statement.

2.1.2.1 Full-time Services. The university has a right to the full-time professional services of each faculty member as described in the role statement to the extent prescribed by the faculty member’s appointment.

2.1.2.2 Automatic Renewal for Tenured Faculty. The appointments of tenured faculty members will be automatically renewed annually. Notice in writing of intent to dismiss a tenured faculty member will be in accordance with Policies 407.2.1.5, Dismissal and 407.4.2, Notice of Intent to Impose a Sanction. Notice to terminate the employment of a tenured faculty member will be in accordance with Policies 406.2.3, Terminations; Reductions in Status (under Program Discontinuance for Academic Reasons), and 406.4.4, Terminations; Reductions in Status (under Financial Exigency). Dismissal and termination are defined in policy 407.2.1.5, Dismissal.

2.1.2.3 Automatic Renewal for Tenure-eligible Faculty. The appointments of tenure-eligible faculty members in the probationary period are automatically renewed annually unless they receive notice of non-renewal in accordance with Policy 407.6, Non-Renewal (in particular, 6.3, Notice of Non-Renewal). Notice in writing of intent to dismiss a tenure-eligible faculty member will be in accordance with Policies 407.2.1.5, Dismissal, and 407.4.2, Notice of Intent to Impose a Sanction. Notice to terminate the employment of a tenure-eligible faculty member will be in accordance with Policies 406.2.3, Terminations; Reductions in Status (under Program Discontinuance for Academic Reasons), and 406.4.4, Terminations; Reductions in Status (under Financial Exigency). Dismissal and termination are defined in policy 407.2.1.5, Dismissal.

2.1.2.4 Automatic Renewal for Term Appointments. Term appointments for faculty members are automatically renewed annually, based on: 1. satisfactory performance (Policies 405.12.1, Annual Review of Faculty, and 407.6, non-Renewal) and 2. availability of funding (Policy 407.6, Non-Renewal). Notice of non-renewal must be provided in accordance with Policy 407.6.3, Notice of Non-Renewal. Notice in writing to dismiss a faculty member with a term appointment will be in accordance with Policies 407.2.1.5, Dismissal, and 407.4.2, Notice of Intent to Impose a Sanction. Notice to terminate the employment of a faculty member with a term appointment will be in accordance with Policies 406.2.3, Terminations; Reductions in Status (under Policy 406.2, Program Discontinuation) and 406.4.4, Terminations; Reductions in Status (under Policy 406.4, Financial Exigency). Dismissal and termination are defined in Policy 407.2.1.5, Dismissal.

2.1.2.5 Automatic Renewal for Special Appointments. Special appointments for faculty members are renewed at the discretion of the academic unit in which the appointment is held. Special appointments may expire without notice of nonrenewal.

2.1.2.6 Resignation. Decisions to resign will be submitted in writing by the faculty member as soon as possible, but not later than three months prior to the effective date of resignation. The notice will be submitted to the department head or supervisor; that administrator will advise the appropriate dean, or vice president for extension, or statewide campus director, of the decision. The appropriate dean or vice president for extension will advise the provost who, in turn, will advise the president. A faculty member’s resignation terminates all rights and privileges, such as rank and tenure, which were enjoyed as a faculty member.

2.1.2.7 Supplemental Appointment Compensation. A faculty member's professional service to the university will be covered by appointment compensation. This will not, however, prevent the university from employing faculty members for temporary assignments on supplemental appointments with additional salary covering professional services beyond a standard load. Commitment for such extra service must have the specific approval of the appropriate department head or supervisor, dean, vice president for extension, or vice president for statewide campuses, and the specific approval of the provost and the president. Supplemental appointments will not adversely affect the responsibilities described in the role statement under the regular appointment.
2.1.2.8 Initial Role Statement. An initial role statement and any subsequent revisions to the role statement will be prepared in accordance with Policies 405.6.1, Role Statement and Role Assignment (for tenure-eligible faculty), and 405.11.1, Role Statement and Role Assignment (for term faculty).

2.1.2.9 Merit Salary Increase. The merit salary increase of individual faculty members will be arrived at following an annual appraisal of performance by the appropriate administrators, including the department head or supervisor, dean, vice president for extension, or vice president for statewide campuses. Consideration will be given to the quality of the entire range of professional services as defined in the faculty member’s role statement.

2.1.3 Minimum Educational Requirements for Tenured and Tenure-Eligible Appointments

The minimum educational requirements for tenured and tenure-eligible faculty can be found in Policy 405.2, Appointment, Tenure, and Promotion: Criteria for Core Faculty Ranks; 405.3, Appointment, Tenure, and Promotion: Criteria for Librarians; 405.4, Appointment, Tenure, and Promotion: Criteria for Faculty with Extension Ranks; and 405.5, Appointment, Tenure, and Promotion: Criteria for Professional Career and Technical Education Faculty Ranks.

2.1.4 Graduate Degrees from the University

Except under unusual circumstances, it is the policy of the university not to grant graduate degrees to its own faculty members where the degree satisfies a prerequisite for appointment or advancement in rank. Requests for exceptions must be individually considered and approved by the provost based on appropriate recommendations.

2.2 Term of Appointment for Academic or Fiscal Year

In the appointment of faculty members, two types of terms will be used: (1) an appointment on an academic year basis and (2) an appointment on a fiscal year basis.

Academic year appointees receive holidays and sick leave; however, they do not earn annual leave. Faculty on academic year appointments may be absent from campus between terms after they have fulfilled the professional responsibilities of their assignments; they may earn up to three additional months of salary for teaching, research or administrative assignments during the summer that precedes the academic year.

An academic year does not exceed 274 consecutive calendar days commencing in August. Within this framework in any given year the specific dates for the academic year are approved by the Executive Committee. Fiscal year appointments are made for teaching, research, extension, library, or administrative assignments, or for a combination of such assignments. Fiscal year appointees receive holidays and earn annual and sick leave.

2.3 Appointment Procedures: Tenured or Tenure-Eligible Faculty and Faculty with Term Appointments

The department head or supervisor and the search and screening committee are responsible to ensure that all applicable policies, including but not limited to Policy 303, Affirmative Action/Equal Opportunity, are adhered to throughout the appointment process.

2.3.1 Determination of Need for Faculty Appointments

The faculty of departments and other academic units, in conjunction with the department head or supervisor, will determine the need for and general parameters of faculty appointments congruent with its mission and role.

2.3.2 Authorization for Faculty Appointment
The department head or supervisor will obtain authorization from the provost, through the appropriate dean, vice president for extension, or vice president for statewide campuses to establish or fill any appointment on the academic unit’s faculty.

2.3.3 Search and Screening Committee

The department head or supervisor will appoint a search and screening committee of not less than five members. A majority, and, where possible five members, must be appointed from among the faculty of the department or the library if the search occurs there. In searches for faculty who will reside at campuses other than Logan, the search and screening committee must include faculty representation from the campus where the new faculty member will reside. See Policies 401.4.3.4, Limitations on Faculty Participation (for term faculty) and 401.5.3.2, Limitations on Faculty Participation (for faculty with special appointments) for limitations on appointments of faculty to serve on search and screening committees.

2.3.4 Job Description and Advertising

In consultation with the department head or supervisor, the faculty of the academic unit and, where appropriate, the dean, vice president for extension, or the vice president for statewide campuses, the search and screening committee will prepare the job description and advertising in accord with university regulations.

2.3.5 Application Screening

The search and screening committee will screen applicants according to the job description and identify a suitable pool of candidates to be further considered by the faculty and pertinent administrators. Where feasible, at least three candidates will be identified.

2.3.6 Student Input

In an effort to provide additional voices in the hiring process, improve transparency, and provide unique perspectives on prospective faculty, the department head will establish a mechanism to involve students in the evaluation of faculty candidates. This applies to candidates interviewed for a position that includes teaching as part of the role statement at the Logan or statewide campuses. For practical reasons, County Extension faculty searches are excluded from this requirement. Instructions for how students will provide feedback will be provided to students when the invitation to interview is extended to the candidate. This student feedback will be reviewed by the search committee.

2.3.7 Faculty and Administrator Input

When the investigation of candidates has been completed, the search and screening committee will solicit recommendations from faculty and pertinent administrators. Utilizing these recommendations and their own knowledge of the candidates, the search and screening committee members will present its list of acceptable candidates and all supporting information, ranked in order of preference, to the department head or supervisor.

2.3.8 Recommendation of Department Head

The department head or supervisor will forward a recommendation from the list of acceptable candidates recommended by the search and screening committee, including all supporting information, to the dean and, where appropriate, vice president for statewide campuses or vice president for extension.

2.3.9 Recommendation of the Dean

The dean and, where appropriate, the vice president for statewide campuses or vice president for extension, will forward to the provost the academic unit’s recommendation together with all pertinent and supportive data from the faculty and the department head or supervisor.

2.3.10 Approval of Appointment by Provost
If the provost is in agreement, the provost, as the president's designee, will approve the appointment of the candidate.

2.3.11 Tentative Offers

Tentative offers can be made to a prospective appointee only with the approval of the provost.

2.4 Appointment Procedures: Faculty with Special Appointments

The department head or supervisor is responsible to ensure that all applicable policies, including but not limited to Policy 303, Affirmative Action/Equal Opportunity, are adhered to throughout the appointment process.

2.4.1 Adjunct and Visiting Ranks and Titles

Before appointing faculty in the adjunct and visiting ranks, the department head or supervisor will consult with the faculty and then make a recommendation to the dean and, where appropriate, vice president for extension or the vice president for statewide campuses. In turn, the dean and, where appropriate, the vice president for extension or the vice president for statewide campuses will make a recommendation to the provost. If the provost is in agreement, the provost, as the president's designee, will approve the appointment of the candidate.

2.4.2 Temporary Ranks and Titles

2.4.2.1 Determination of Need for Temporary Faculty Appointment. The faculty of departments and other academic units, in conjunction with the department head or supervisor, will determine the need for and general parameters of temporary faculty appointments congruent with its mission and role.

2.4.2.2 Authorization for Temporary Appointment. The department head or supervisor will obtain authorization from the provost through the appropriate dean, vice president for extension, or vice president for statewide campuses to establish or fill a temporary appointment in an academic unit's faculty.

2.4.2.3 Job Description and Advertising. The department head or supervisor, together with the appropriate dean, vice president for extension, or vice president for statewide campuses, will prepare the job description and advertising in accord with university regulations.

2.4.2.4 Recommendation. The department head or supervisor will consult with the faculty and then make a recommendation to the appropriate dean, vice president for extension, or vice president for statewide campuses. In turn, the dean, vice president for extension, or vice president for statewide campuses will make a recommendation to the provost.

2.4.2.5 Approval of Appointment by Provost. If the provost is in agreement, the provost, as the president's designee, will approve the appointment of the candidate.

2.4.3 Emergency Appointments

Emergency appointments to the temporary ranks (Policy 401.5.2.3, Temporary Ranks) may be approved by the provost after consultation with the appropriate dean, vice president for extension, or vice president for statewide campuses and the appropriate department head or supervisor without following the procedures in Policy 404.2.4.2, Temporary Ranks and Titles.

2.5 Appointment Procedures: Faculty with Administrative Duties in an Academic Unit

The dean, vice president for extension, or vice president for statewide campuses and the search and screening committee are responsible to ensure that all applicable policies, including but not limited to Policy 303, Affirmative Action/Equal Opportunity, are adhered to throughout the appointment process.
2.5.1 External Search Procedures for Heads of Academic Units

The academic unit will make good faith efforts to acquire the resources to conduct an external search for faculty with administrative duties in the academic unit. Applications from qualified faculty of the university will be considered.

2.5.1.1 Determination of Need for Faculty Appointments with Administrative Duties. The faculty of academic units, in conjunction with the dean, will determine the need for and general parameters of faculty appointments with administrative duties in an academic unit congruent with its mission.

2.5.1.2 Authorization of Appointment for Faculty Position with Administrative Duties. The dean will obtain authorization from the provost to establish or fill a faculty appointment with departmental administrative duties.

2.5.1.3 Search and Screening Committee. The dean will appoint a search and screening committee of not less than five members. A majority, and, where possible five members, must be appointed from among the faculty of the department or the library if the search occurs there. See Policies 401.4.3.4, Limitations on Faculty Participation (for term faculty) and 401.5.3.2, Limitations on Faculty Participation (for faculty with special appointments) for limitations on appointments of faculty to serve on search and screening committees.

2.5.1.4 Job Description and Advertising. In consultation with the dean and the faculty of the academic unit, the search and screening committee will prepare the job description and advertising in accordance with university policies.

2.5.1.5 Application Screening. The search and screening committee will screen applicants according to the job description and identify a suitable pool of candidates to be further considered by the faculty and appropriate administrators. Where feasible, at least three candidates will be identified.

2.5.1.6 On-campus Evaluation. Candidates will be invited to come to the Logan and, when appropriate, to the campus location where they will reside, at university expense to be interviewed by the academic unit's faculty and pertinent administrators, to give lectures, and/or to participate in departmental seminars and other appropriate campus activities in order that the candidates will become better known and evaluated, and to assure that they become acquainted with the institution and the locality of their prospective work and domicile.

2.5.1.7 Faculty and Administrator Input. When the investigation of candidates has been completed, the search and screening committee will solicit recommendations from faculty and pertinent administrators. Utilizing these recommendations and their own knowledge of the candidates, the search and screening committee members will present a list of acceptable candidates and all supporting information to the dean. This list will be presented in alphabetical order without any indication of ranking or preference, unless otherwise mutually agreed between the dean and the search and screening committee.

2.5.1.8 Recommendation of Dean. The dean will forward a recommendation from the list of acceptable candidates recommended by the search and screening committee, including all supporting information, to the provost.

2.5.1.9 Approval of Appointment by Provost. If the provost is in agreement, the provost, as the president's designee, will approve the appointment of the candidate.

2.5.1.10 Tentative Offers. Tentative offers can be made to a prospective appointee only with the approval of the provost.

2.5.1.11 Tenure of Appointed Faculty. The tenure of faculty with administrative duties is held in the appointing academic unit.

2.5.2 Internal Search Procedures for Heads of Academic Units
The procedures for an internal search are identical to the procedures for an external search, with the following differences:

2.5.2.1 Authorization of Appointment for Faculty Position with Administrative Duties based on Internal Search. The authorization in Policy 404.2.5.1.2 above will be to establish or fill a faculty appointment with administrative duties in a department or other academic unit from among the department's or other academic unit's faculty.

2.5.2.2 Internal Circulation of Job Description. The job description will not be advertised, but will be circulated internally to the academic unit's faculty. The job description will include the requirement that the appointee be tenured in the department or other academic unit. Interested faculty will submit applications to the search and screening committee.

2.5.3 Appointment of Faculty with Assistant or Associate Departmental Administrative Duties in a Department or Other Academic Unit

Assistants or associates to these positions (for example, department heads) are appointments of the administrator in charge, subsequent to meaningful consultation with the faculty in the department.

2.6 Appointment Procedures for Faculty with Administrative Duties Outside an Academic Unit

The president, or designee, and the search and screening committee are responsible to ensure that all applicable policies, including but not limited to Policy 303, Affirmative Action/Equal Opportunity, are adhered to throughout the appointment process.

2.6.1 External Search Procedures

A good faith effort will be made to acquire the resources to conduct an external search for administrators who require faculty status. Applications from qualified faculty of the university will be considered.

2.6.1.1 Search and Screening Committee. When a vacancy occurs, the president will appoint a representative search and screening committee and chair following consultations with the President of the Faculty Senate, administrators, appropriate faculty, and affected staff. The committee will be structured to represent the interest of the faculty at large in conducting searches for vice presidents and for the provost, and to represent an academic unit's faculty when conducting searches for deans.

2.6.1.2 Job Description. As its first order of business, the search and screening committee will refine the current description of the position and, if necessary, prepare an appropriate description. The announcement will be reviewed with the provost and president before its publication. The position announcement will be published by the university.

2.6.1.3 Application Review and Recommendation. Through the steps listed below, the committee will reduce the list of applicants to three or more acceptable finalists, where feasible, who can be recommended to the president.

   (a) The committee will evaluate all applications using the position announcement as the initial criterion for eliminating unqualified applicants.

   (b) The committee will reduce the number of qualified applicants to manageable proportions.

   (c) Each committee member will evaluate the remaining applications and should participate in deliberation of their relative merits. Any conclusions the committee may arrive at concerning the relative merits of the finalists should not be withheld from the president.
2.6.1.4 Finalist Interviews. When the final list of candidates has been reviewed with the president, the names of the finalists will be announced to the university community along with a series of interview dates when the candidates will be able to visit the campus for interaction with concerned faculty and staff.

2.6.1.5 Selection of the President. The president will evaluate input from the committee, administrators, faculty, and staff in making a selection from the list of final candidates recommended by the committee. The committee will be informed of the president's selection.

2.6.1.6 President Recommendation to the Board of Trustees. The president will recommend to the Board of Trustees the appointment of the selected candidate.

2.6.1.7 Faculty Status Assignment. In cases where faculty status is to be sought for an individual who functions primarily as an administrator, the faculty in the department or academic unit in which the faculty status is sought will decide whether and at what level to grant such status within the provisions of this Policy 405, Tenured and Term Appointments: Evaluation, Promotion, and Retention.

2.6.1.8 Board of Trustees Approval Required. Administrative appointments that require faculty status are subject to the approval of the Board of Trustees.

2.6.1.9 Tenure of Appointee. When applicants for administrative appointments that require faculty status seek tenure, any such tenure must be held within an academic department or other unit.

2.6.2 Internal Search Procedures

While every effort will be made to conduct external searches for appointments at this level of administration, this policy is included for those occasions when the president considers an internal search to be appropriate.

The procedures for an internal search are identical to the procedures for an external search, with the following differences:

2.6.2.1 Communication of Reasons for Internal Search. At the time the president appoints a representative search and screening committee, the president will communicate in writing to the impacted faculty and other employees the reasons that an internal search is being conducted.

2.6.2.2 Internal Circulation of Job Description. The job description shall not be advertised, but shall be circulated internally across the university to reach qualified persons who may have interest in such a position. Interested faculty will submit applications to the search and screening committee.

2.6.2.3 Appointment of Faculty with Assistant or Associate Administrative Outside a Unit.

Assistants or associates to these positions (for example, deans or vice presidents) are appointments of the administrator in charge, subsequent to meaningful consultation with the faculty impacted by the appointment.

404.3 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.

404.4 REFERENCES

- Bullet list references to Federal, State, municipal regulations, USHE/Board of Higher Education policies.
404.5 RELATED USU POLICIES

- 405
- 406
- 407
- 408

404.6 DEFINITIONS

- **Academic Year.** Definition. [Arial 10, word to be defined bold, definition not bold]
- List in alphabetical order.

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 [Arial Narrow 13, bold, blue RGB 0-38-58, all caps]
(List resources to aid in compliance or indicate “None.”) [Arial Narrow 10]

**Procedures** [Arial Narrow 12, color RGB 196-78-40]

- Hyperlinks to procedures. [Arial 10]
- Hyperlinks to procedures.

**Guidance** [Arial Narrow 12, color RGB 196-78-40]

- Hyperlinks to guidance. [Arial 10]
- Hyperlinks to guidance.

**Related Forms and Tools** [Arial Narrow 12, color RGB 196-78-40]

- Hyperlinks to forms and tools. [Arial 10]
- Hyperlinks to forms and tools.

**Contacts** [Arial Narrow 12, color RGB 196-78-40]

- Hyperlinks to contacts. [Arial 10]
- Hyperlinks to contacts.

POLICY HISTORY [Arial Narrow 13, bold, blue RGB 0-38-58, all caps]

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