

# University Policy 4000: Composition and Authority of the Faculty

**Category:** Academic Affairs

**Sub Category:** Faculty Code

**Covered Individuals:** University Faculty

**Responsible Executive:** President

**Policy Custodian:** Office of the Provost and Executive Vice President, Provost and Executive President

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## 4000.1 PURPOSE AND SCOPE

This policy explains the composition and authority of the University's faculty, including a description of all ranks, governing principles, and calling of faculty meetings.

## 4000.2 POLICY

### 2.1 Faculty Membership

Utah State University is an institution of higher education comprising multiple, geographically dispersed campuses, each of which employs faculty. The faculty consists of the president, the provost, academic deans, and other members of the tenured and tenure-eligible faculty, faculty with term appointments, faculty with special appointments, and emeritus faculty as defined herein. All appointed faculty, without regard to which campus they are assigned, are members of the Utah State University faculty.

### 2.2 Definitions

2.2.1 The terms "faculty" and "faculty members" designate university employees as described under Policy 4000 appointed for the purpose of carrying out one or more of the following primary functions of the university: (1) academic instruction and technical training, (2) enlargement of knowledge through research and other creative activities, and (3) dissemination of knowledge through extension, service, and other methods.

Faculty members receive appointments in one of the following four separate categories: (1) tenured or tenure-eligible appointments; (2) term appointments without eligibility for tenure; (3) special appointments without eligibility for tenure and; (4) emeritus appointments.

#### 2.2.2 Academic Units and Academic Departments Defined

The term "school" has been used in two different ways at the university. In all cases but one, a

“school” is the equivalent of a “department.” In one case, the Jon M. Huntsman School of Business, the term is used as the equivalent of a “college.” Throughout the remainder of Section 400, whenever the term “department” appears, it is assumed to encompass all “schools” except the Jon M. Huntsman School of Business. The latter is governed by policies that apply to colleges, not departments. Whenever the term “college” is used in this policy, it will encompass all academic colleges and the Jon M. Huntsman School of Business.

An academic unit is a group of faculty with an identifiable teaching, research, or other academic mission. To be designated an academic unit, the group of faculty must fulfill all of the following criteria: (a) have an identifiable curriculum or formal description in current university catalogs or other publications; (b) have a separate, identifiable budget; (c) be designated an academic unit by decision of the Educational Policies Committee and ratification of the Faculty Senate, and approved by the president, the Board of Trustees and the Board of Regents.

An academic department is a group of faculty with an identifiable teaching, research, or other academic mission. To be designated an academic department, the group of faculty must fulfill all of the following criteria: (a) offer or administer a degree, certificate, or some other official credential of the university; (b) have an identifiable curriculum and formal description in current university catalogs or other publications; (c) have a separate identifiable budget; (d) be designated an academic department by decision of the Educational Policies Committee and ratification of the Faculty Senate, and approved by the president, the Board of Trustees and the Board of Regents.

All academic departments are academic units. Two academic units are not academic departments. These are the Library and Extension.

## **2.3 THE TENURED AND TENURE-ELIGIBLE FACULTY**

### **2.3.1 Description and Eligibility**

The tenured and tenure-eligible faculty consists of those individuals appointed to carry out the university's scholarly and educational functions and who have been or may be granted permanent status (Policy 4004.1.2, Permanence of Appointment Conferred by Tenure). They receive their appointments within academic units. All faculty in this category either hold tenure or enter the process that may lead to the granting of tenure. Tenured and tenure-eligible faculty appointments will not be made for less than 0.5 FTE.

### **2.3.2 Academic Ranks: Core Faculty**

Tenured and tenure-eligible faculty members appointed to an academic department are the "core" faculty and hold one of the following ranks: Instructor, Assistant Professor, Associate Professor, or Professor. See Policy 4004.2, Tenure and Promotion: Criteria for Core Faculty Ranks, and Policy 4003.3, Appointment Procedures, Tenured or Tenure-Eligible Faculty and Faculty with Term Appointments, for a detailed discussion of the criteria for appointment or promotion for these ranks.

### **2.3.3 Academic Ranks: Librarians**

Faculty members appointed to the academic unit of the library hold one of the following ranks: affiliate librarian, assistant librarian, associate librarian, or librarian. See Policy 4004.3, Tenure and Promotion: Criteria for Librarians and Policy 4003.3, Appointment Procedures, Tenured or Tenure-Eligible Faculty and Faculty with Term Appointments, for detailed discussion of the criteria for

appointment or promotion for these ranks.

### **2.3.4 Academic Ranks: Extension**

Faculty members appointed to the academic unit of Extension and who fulfill general Extension responsibilities hold one of the following ranks: Extension Instructor, Extension Assistant Professor, Extension Associate Professor, or Extension Professor. See Policy 4004.4, Tenure and Promotion: Criteria for Faculty with Extension Ranks, and Policy 4003.3, Appointment Procedures, Tenured or Tenure-Eligible Faculty and Faculty with Term Appointments, for a detailed discussion of the criteria for appointment or promotion for these ranks.

### **2.3.5 Academic Ranks: Professional Career and Technical Education**

Faculty members appointed to the School of Applied Sciences, Technology, and Education with responsibilities for professional career and technical education will hold one of the following ranks: Professional Career and Technical Education Instructor, Professional Career and Technical Education Assistant Professor, Professional Career and Technical Education Associate Professor, or Professional Career and Technical Education Professor. See Policy 4004.5, Tenure and Promotion: Criteria for Professional Career and Technical Education Faculty Ranks, and Policy 4003.3, Appointment Procedures, Tenured or Tenure-Eligible Faculty and Faculty with Term Appointments, for a detailed discussion of the criteria for appointment or promotion to these ranks.

### **2.3.6 Exceptions**

Under extraordinary circumstances, exceptions to Policy 4000.3, The Tenured and Tenure-Eligible Faculty, may be made to the qualifications for appointment in the various ranks in order to fulfill the mission of the university. Exceptions require petition to and approval by the president and must specify a time period for meeting the qualifications.

## **2.4 THE FACULTY WITH TERM APPOINTMENTS**

### **2.4.1 Description and Appointment Requirements**

The faculty with term appointments consists of individuals appointed to perform specialized academic duties that make substantial and regular contributions to a university academic unit, but do not have the permanence of appointment of tenured faculty.

Term appointments are for one academic or fiscal year in duration and are automatically renewed based on: 1. satisfactory performance (Policies 4004.12.1, Annual Review of Faculty, and 4006.6, Non-Renewal), and 2. availability of funding (Policy 4006.6, Non-Renewal). Notice of non-renewal must be provided in accordance with Policy 4003.1.2.4, Professional Services. The faculty member who holds a term appointment has no claim to a de facto permanent appointment based on length of service. For those faculty whose salaries depend on extramural funds, the appointment is dependent upon the availability of those funds. Term appointments are established only in an academic unit.

Appointments for less than one academic or calendar year's duration are made to the temporary, not

term appointment, ranks (Policy 4000.5.2.3, Temporary Ranks).

## **2.4.2 Academic Ranks**

The academic ranks for the faculty with term appointments follow.

### **2.4.2.1 Lecturer Ranks.**

Faculty members whose function it is to teach remedial (0010-0990), lower division (1000-2990), or, on occasion, upper division (3000-4990) university courses, are appointed to one of the following titles: lecturer, senior lecturer, or principal lecturer. Lecturers who are uniquely qualified through education and/or experience may, under special circumstances, teach a course 5000 and above after full consultation between the department head and the faculty of the department that grants credit for the course.

### **2.4.2.2 Clinical Ranks.**

Faculty members whose primary function is the supervision of students in clinical practicum, residency, and intern programs may be appointed to one of the following ranks: clinical instructor, clinical assistant professor, clinical associate professor, or clinical professor, after full consultation between the department head and the faculty of the department that grants credit in this area.

### **2.4.2.3 Research Ranks.**

Faculty members whose primary function is research and whose source of funding is extramural may be appointed to one of the following ranks: research assistant professor, research associate professor, or research professor, after full consultation between the department head and the faculty of the department that grants credit in this area. Appointment to the research ranks requires a terminal degree or its equivalent.

### **2.4.2.4 Federal Cooperator (FC) Ranks.**

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

### **2.4.2.5 Federal Research (FR) Ranks.**

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

#### 2.4.2.6 Professional Practice Ranks

Faculty members with substantial professional experience and expertise in a specific professional arena outside of academe, who contribute to an academic program by administration, teaching, mentoring, advising, service, or other responsibilities based on their professional experience may be appointed to one of the following ranks: professional practice instructor, professional practice assistant professor, professional practice associate professor, or professional practice professor, after full consultation between the department head and the faculty of the department that grants credit in this area.

#### 2.4.2.7 State Cooperator (SC) Ranks

Faculty members who are state-level employees, who are paid by government agencies of the state other than Utah State University, whose primary function at the university is equivalent to core faculty, and who serve as faculty under cooperative agreements between the university and state government (e.g., Utah Department of Natural Resources) may be appointed to one of the following ranks: instructor (SC), assistant professor (SC), associate professor (SC), or professor (SC), after full consultation between the department head and the faculty of the department that grants credit in this area. Appointments to state cooperator ranks are made only in academic units where such cooperative agreements exist.

#### 2.4.2.8 Professional Practice Extension Ranks

Faculty members with substantial professional experience and expertise in a specific professional arena outside of academe, who contribute to USU's extension mission by administration, teaching, mentoring, advising, service or other responsibilities based on their professional experience may be appointed to one of the following ranks: professional practice extension instructor, professional practice extension assistant professor, professional practice extension associate professor, or professional practice extension professor, after full consultation between the appropriate administrators and faculty.

### **2.4.3 Limitations on Positions: Faculty with Term Appointments**

#### **2.4.3.1 No Tenure.**

Faculty with term appointments are not eligible to enter the process that leads to the granting of tenure, unless the faculty member's status is changed.

#### **2.4.3.2 Changes in Status.**

All changes in status from term appointment faculty to faculty with tenure or tenure-eligibility require an external search.

#### **2.4.3.3 Leave.**

Faculty with term appointments are not eligible for sabbatical leave, but may be granted professional leave under appropriate conditions, as determined by the appropriate administrator.

#### **2.4.3.4 Limitations on Faculty Participation.**

Faculty with term appointments are eligible to be elected to and to vote for members of the Faculty Senate. The participation in faculty affairs of faculty members holding lecturer, clinical, research, federal research, or professional practice ranks is subject to the following limitations: (a) they may participate in the processes of setting policy within their academic units only to the extent determined by their appointing departments, colleges, or other academic units; (b) they may serve as members of appointed faculty committees and may vote on all matters except those relating to appointment, retention, tenure, or promotion of tenured and/or tenure-eligible faculty. Federal and State cooperator ranks are exempt from the foregoing limitations on faculty participation with the following exceptions: they may not serve on committees or vote on matters relating to the appointment, retention, tenure, or promotion of tenure-eligible faculty.

## **2.5 FACULTY WITH SPECIAL APPOINTMENTS**

### **2.5.1 Description and Appointment Requirements**

The faculty with special appointments consists of those individuals whose appointments confer a limited association with the university as described below. Such appointments are made to establish an association with professional peers for temporary or part-time service.

Faculty members with special appointments must possess qualifications and experience commensurate with those required for tenured and/or tenure-eligible or term appointment faculty. Proposed special appointments must be considered by appropriate departmental procedures. Periodic reviews of the performance of faculty members with special appointments may be conducted. Faculty members with special appointments are not eligible for tenure.

## **2.5.2 Academic Rank**

The academic ranks for the faculty with special appointments follow.

### **2.5.2.1 Adjunct Ranks.**

Faculty members whose association with an academic department is secondary to an appointment within a different department, institution, organization, or other personal and professional interests can be appointed as adjunct faculty. The term “adjunct” may precede any faculty title in the tenure and term appointment ranks. Adjunct appointments are made for less than 50 percent time only.

### **2.5.2.2 Visiting Ranks.**

Faculty members from other academic institutions who are participants in a university exchange program or who are employed to teach one or more semesters for an academic department while on leave from another academic institution are appointed to one of the following ranks: visiting instructor, visiting assistant professor, visiting associate professor, or visiting professor.

### **2.5.2.3 Temporary Ranks.**

The term “temporary” may precede all tenure-eligible academic ranks. In extraordinary circumstances, academic units may fill faculty appointments on a temporary basis. The temporary nature and the length of the term of such a position must be clearly specified in advance. The term cannot exceed one academic year and is renewable up to an additional two years. An exception may be made for long-term international assignment. Temporary appointments shall not be used as long-term strategies for accomplishing the duties of academic departments or academic units.

### **2.5.2.4 Career and Technical Education Contract Faculty.**

Faculty members who teach only in career and technical education programs leading to a certificate level credential need to meet requirements specific to the CTE instructional area. These faculty will be hired to instruct in CTE certificate programs on an at-will, contractual basis in alignment with programs that address regional workforce demands. Those appointed as career and technical education contract faculty must have a minimum of six years of documented applicable work experience at an industry-defined level of competency, hold current industry credentials, and meet accreditation standards. Up to three years of academic training from an accredited college may be substituted for three years of work experience at the discretion of the hiring committee and dependent upon individual program accreditation standards.

## **2.5.3 Limitations on Positions: Faculty with Special Appointments**

### **2.5.3.1 No tenure eligibility.**

Faculty members with special appointments are ineligible for tenure.

#### 2.5.3.2 Limitations on faculty participation.

The participation of faculty members holding adjunct, temporary, or visiting positions is subject to the following limitations: (a) they may participate in the processes of setting policy within their departments only to the extent determined by their appointing departments; (b) they may serve as voting members of appointed faculty committees except those relating to appointment, retention, tenure, or promotion of tenured and/or tenure-eligible faculty and faculty with term appointments; (c) they may not be counted among the number of faculty members for the purposes of apportioning the Faculty Senate members; and (d) they are ineligible to be elected to and to vote for members of the Faculty Senate.

## 2.6 EMERITUS FACULTY

At the time of retirement and upon recommendation of the president and the approval of the Board of Trustees, faculty members may be awarded the honorary rank of Emeritus preceding their final academic rank.

## 2.7 LIST OF FACULTY

Each year the university shall publish a list of all faculty in an electronic format that is readily accessible, which states the faculty category and the academic unit to which they are appointed or, in the case of emeritus faculty, to which they were appointed.

## 2.8 AUTHORITY OF THE FACULTY

### 2.8.1 Policy Statement

#### 8.1.1 American Association of University Professors Joint Statement.

Although this policy statement may contain some provisions that are the same or similar to certain principles promulgated by the American Association of University Professors (AAUP), this policy statement is not intended to incorporate AAUP principles and interpretations, and any such incorporation by reference is expressly disclaimed.

#### 8.1.2 Faculty Responsibility for Educational Process.

The faculty has primary responsibility for such fundamental areas as curriculum, subject matter, methods of instruction, and those aspects of student life which relate to the educational process. In those exceptional circumstances when the power of review or final decision of the president is exercised adversely on these matters, it shall be communicated to the faculty. Following such communication, the faculty shall have the opportunity for further consideration and further transmittal of its view to the president.

The faculty sets the requirements for the degrees offered, determines when the requirements have been met, and recommends to the president that the degrees be granted.

#### 2.8.1.3 Faculty Status and Related Matters.

Faculty status and related matters, such as appointments, reappointments, non-renewals of appointments, terminations, dismissals, reductions in status, promotions, and the granting of tenure are primarily a faculty responsibility. The primary responsibility of the faculty for such matters is based upon the fact that its judgment is central to general educational policy. Furthermore, scholars in a particular field or activity have the chief competence for judging the work of their colleagues; in such competence it is implicit that responsibility exists for both adverse and favorable judgments. Determination in these matters should be first by faculty action through established university procedures, reviewed and approved by the president, followed where necessary, by the approval of the Board of Trustees and/or the Board of Regents.

#### 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.

Organizations and methods for faculty participation in the collegial governance of the university should be established wherever faculty responsibility is present. The organizations and methods may consist of meetings of the faculty members of a department, college, library, extension, other academic unit, or the university as a whole; or they may take the form of faculty-elected committees in academic units and a faculty designed, approved, and established committee through the joint effort of the faculty and the administration.

#### 2.8.1.5 Faculty and Administration Communications.

Suggested means of communication among the faculty university administrators, and the Board of Trustees are:

- (a) circulation of memoranda and reports,
- (b) joint ad hoc committees of the groups,
- (c) standing liaison committees of the groups, and
- (d) membership of faculty members on administrative councils, committees, and other bodies.

### **2.8.2 Legislative Authority of the Faculty**

Subject to the authority of the Board of Regents, the Board of Trustees, and the president, the faculty shall legislate on all matters of educational policy, enact such rules and regulations as it deems desirable to promote or enforce such policies, and decide upon curricula and new courses of study. The legislative power will normally be exercised by the Faculty Senate. In all matters

except those within the authority of the Faculty Senate, the faculty retains original jurisdiction.

### **2.8.3 Appellate Authority of the Faculty: Right to Review and to Modify Faculty Senate Actions**

Faculty members who are eligible to vote in Faculty Senate elections shall have the appellate power to review Faculty Senate actions by means of a special meeting. Upon the written petition of 10% of these faculty members, or upon the written request of 25 senators, the faculty must meet to reconsider Faculty Senate actions and to ratify, modify, or repeal them. The petition or request must be submitted to the university president as chair of the faculty.

## **2.9 MEETINGS OF THE FACULTY**

### **2.9.1 Calling Meetings**

Meetings of the faculty may be convened upon the call of the university president. Upon receipt by the president of a written request or a written petition as provided in Policy 4000.8.3, Appellate Authority of the Faculty: Right to Review and Modify Faculty Senate Actions, the president must call a meeting of the faculty within ten working days to discuss and/or act on issues raised in the request or petition.

### **2.9.2 Notice**

Faculty must receive individual notice of the meeting and its agenda a minimum of five days before the meeting, unless a majority of them waives that notice prior to or at the meeting or unless the university president waives the notice on the grounds of emergency.

### **2.9.3 Quorum**

Any number over ten percent of the faculty eligible to vote in Faculty Senate elections shall constitute a forum for discussion at faculty meetings, but no vote shall be binding unless a quorum is present. Fifty percent plus one member of the voting faculty shall constitute a quorum. A quorum being present, all actions shall be by majority vote of those in attendance with voting power. Meeting procedures shall be governed by the most recent edition of Robert's Rules of Order.

## **2.10 CHAIR OF THE FACULTY; SECRETARY OF THE FACULTY**

The president of the university (and in the president's absence, the executive vice president and provost) is the chair of the faculty and presides over all meetings of the faculty. The president of the university shall appoint a secretary for the faculty who will also be ex officio Executive Secretary of the Faculty Senate. The secretary shall record all actions of the faculty when it meets and shall preserve the records in a form convenient for reference.

## **2.11 COMMITTEES OF THE FACULTY**

The faculty may appoint, at any time, such committees as the work of the university may require. These committees must report to the faculty and to the Faculty Senate the progress of their work and the action they have taken.

### **4000.3 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.

### **4000.4 REFERENCES**

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

### **4000.5 RELATED USU POLICIES**

- Policy 4003: Faculty Appointments.
- Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention.
- Policy 4006: Academic Due Process, Sanctions, and Hearing Procedures.

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

## **RESOURCES**

### **Contacts**

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

## **POLICY HISTORY**

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