

University Policy 4003: Faculty Appointments

Category: Academic Affairs

Subcategory: Faculty Code

Covered Individuals: University Faculty

Responsible Executive: President

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

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4003.1 PURPOSE AND SCOPE

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

4003.2 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 manual, the faculty member's role statement (Policies 4004.6.1, Role Statement and Role Assignment (for tenure-eligible faculty), and 4004.11.1, Role Statement and Role Assignment (for term faculty)), and salary notification and benefits forms. As an integral part of the appointment, faculty shall be 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 shall 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, shall 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 shall 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 shall be automatically renewed annually. Notice in writing of intent to dismiss a tenured faculty member shall be in accordance with Policies 4006.2.1.5, Dismissal and 4006.4.2, Notice of Intent to Impose a Sanction. Notice to terminate the employment of a tenured faculty member shall be in accordance with Policies 4005.2.3, Terminations; Reductions in Status (under Program Discontinuance for Academic Reasons), and 4005.4.4, Terminations; Reductions in Status (under Financial Exigency). Dismissal and termination are defined in policy 4006.2.1.5, 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 4006.6, Non-Renewal (in particular, 6.3, Notice of Non-Renewal). Notice in writing of intent to dismiss a tenure-eligible faculty member shall be in accordance with Policies 4006.2.1.5, Dismissal, and 4006.4.2, Notice of Intent to Impose a Sanction. Notice to terminate the employment of a tenure-eligible faculty member shall be in accordance with Policies 4005.2.3, Terminations; Reductions in Status (under Program Discontinuance for Academic Reasons), and 4005.4.4, Terminations; Reductions in Status (under Financial Exigency). Dismissal and termination are defined in policy 4006.2.15, 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 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 4006.6.3, Notice of Non-Renewal. Notice in writing to dismiss a faculty member with a term appointment shall be in accordance with Policies 4006.2.1.5, Dismissal, and 4006.4.2, Notice of Intent to Impose a Sanction. Notice to terminate the employment of a faculty member with a term appointment shall be in accordance with Policies 4005.2.3, Terminations; Reductions in Status (under Policy 4005.2, Program Discontinuation) and 4005.4.4, Terminations; Reductions in Status (under Policy 4005.4, Financial Exigency). Dismissal and termination are defined in Policy 4006.2.1.5, 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 shall 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 shall be submitted to the department head or supervisor; that administrator shall advise the appropriate dean, or vice president for extension, or statewide campus director, of the decision. The appropriate dean or vice president for extension shall advise the provost who, in turn, shall 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 shall be covered by appointment compensation. This shall 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, , or vice president for extension, and the specific approval of the

provost and the president. Supplemental appointments shall 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 shall be prepared in accordance with Policies 4004.6.1, Role Statement and Role Assignment (for tenure-eligible faculty), and 4004.11.1, Role Statement and Role Assignment (for term faculty).

2.1.2.9 Merit Salary Increase

The merit salary increase of individual faculty members shall 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 shall 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 4004.2, Appointment, Tenure, and Promotion: Criteria for Core Faculty Ranks; 4004.3, Appointment, Tenure, and Promotion: Criteria for Librarians; 4004.4, Appointment, Tenure, and Promotion: Criteria for Faculty with Extension Ranks; and 4004.5, 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 2100, 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, shall 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 shall 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 shall 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 4000.4.3.4, Limitations on Faculty Participation (for term faculty) and 4000.5.3.2, 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, or vice president for extension, the search and screening committee shall prepare the job description and advertising in accord with university regulations.

2.3.5 Application Screening

The search and screening committee shall 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 shall 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 shall provide feedback will be provided to students when the invitation to interview is extended to the candidate. This student feedback shall 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 shall solicit recommendations from faculty and pertinent administrators. Utilizing these recommendations and their own knowledge of the candidates, the search and screening committee members shall 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

Subsequent to meaningful consultation with the faculty search and screening committee, 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, the vice president for extension.

2.3.9 Recommendation of the Dean

Subsequent to meaningful consultation with the faculty search and screening committee and the department head, the dean and, where applicable, the vice president for extension, will forward to the

provost the dean'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, shall 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 2100, 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 shall consult with the faculty and then make a recommendation to the dean and, where appropriate, the vice president for extension. In turn, the dean and, where appropriate, the vice president for extension shall make a recommendation to the provost. If the provost is in agreement, the provost, as the president's designee, shall approve the appointment of the candidate. The Vice President of Statewide Campuses will be notified of the final decisions.

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, shall determine the need for and general parameters of temporary faculty appointments congruent with its mission and role.

2.4.2.2 Authorization of Temporary Appointment

The department head or supervisor shall obtain authorization from the provost through the appropriate dean, or vice president for extension, to establish or fill a temporary appointment in an academic unit's faculty. The Vice President of Statewide Campuses will be notified of the final decisions.

2.4.2.3 Job Description and Advertising

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

2.4.2.4 Recommendation

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

2.4.2.5 Approval of Appointment by Provost

Approval of Appointment by Provost. If the provost is in agreement, the provost, as the president's designee, shall approve the appointment of the candidate. The Vice President of Statewide Campuses will be notified of the final decisions.

2.4.3 Emergency Appointments

Emergency appointments to the temporary ranks (Policy 4000.5.2.3, Temporary Ranks) may be approved by the provost after consultation with the appropriate dean, or vice president for extension, and the appropriate department head or supervisor without following the procedures in policy 4003.4.2, Temporary Ranks and Titles. The Vice President of Statewide Campuses will be notified of any final decisions.

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

The dean, or vice president for extension, and the search and screening committee are responsible to ensure that all applicable policies, including but not limited to Policy 2100, 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

Determination of Need for Faculty Appointments with Administrative Duties. The faculty of academic units, in conjunction with the dean, shall 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

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

2.5.1.3 Search and Screening Committee

Search and Screening Committee. The dean shall 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 4000.4.3.4, Limitations on Faculty Participation (for term faculty) and 4000.5.3.2, 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 unit, the search and screening committee shall prepare the job description and advertising in accordance with university policies.

2.5.1.5 Application Screening

The search and screening committee shall 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 shall be identified.

2.5.1.6 On-campus Evaluation

Candidates shall 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 shall 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 shall solicit recommendations from faculty and pertinent administrators. Utilizing these recommendations and their own knowledge of the candidates, the search and screening committee members shall present a list of acceptable candidates and all supporting information to the dean. This list shall 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

Subsequent to meaningful consultation with the faculty search and screening committee, the dean shall 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 Appointment by Provost

If the provost agrees with the recommendation, the provost, as the president's designee, shall appoint the candidate as head.

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

Authorization of Appointment for Faculty Position with Administrative Duties based on Internal Search. The authorization in Policy 4003.5.1.2 above shall 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 shall not be advertised but shall 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 2100, 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 shall 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 shall 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 shall refine the current description of the position and, if necessary, prepare an appropriate description. The announcement shall be reviewed with the provost and president before its publication. The position announcement shall be published by the university.

2.6.1.3 Application Review and Recommendation

Through the steps listed below, the committee shall reduce the list of applicants to three or more acceptable finalists, where feasible, who can be recommended to the president.

- (a) The committee shall evaluate all applications using the position announcement as the initial criterion for eliminating unqualified applicants.
- (b) The committee shall reduce the number of qualified applicants to manageable proportions.
- (c) Each committee member shall 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 shall 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 shall be informed of the president's selection.

2.6.1.6 President Recommendation to the Board of Trustees

The president shall recommend to the Board of Trustees the appointment of the selected candidate.

2.6.1.7 Faculty Status Assignments

In cases where faculty status is to be sought for an individual who functions primarily as an administrator, the faculty in the academic department or academic unit in which the faculty status is sought shall decide whether and at what level to grant such status within the provisions of this Policy 4004, 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 academic 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

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

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 Duties Outside an 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.

404.5 RELATED USU POLICIES

- [405: Tenured and Term Appointments: Evaluation, Promotion and Retention](#)
- [406: Program Discontinuance, Financial Exigency and Financial Crisis](#)
- [407: 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.

RESOURCES

Contacts

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

POLICY HISTORY

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