



USU Board of Trustees Regular Meeting (VIRTUAL only)

Friday, August 7, 2026, at 8:00 AM – 11:30 AM MDT

Meeting Details:

<https://usu.zoom.us/j/85754705368?pwd=fodOgpkDI6TE3nlBLr3ATExK8DdaMB.1&from=addon>

Passcode: 132798

Agenda

1. Welcome and Call to Order

8:00 AM

Presenter: Chair Tessa White

2. Closed Session

8:05 AM

3. Committee Reports

9:35 AM

3.1. Executive Committee

Presenter: Chair Tessa White

3.2. Audit, Risk and Compliance Committee

Presenter: Chair Ryan Dent

3.3. Statewide Mission and Campus Oversight Committee

Presenter: Trustee David Petersen

3.4. Athletics Committee

Presenter: Trustee Clark Whitworth

3.5. Research and Academic Approval Committee

Presenter: Trustee Ryan Dent

3.6. Honorary Degrees, Awards and Recognition Committee

Presenter: Trustee Max Alder

4. Legislative Audit and MOU Updates

10:00 AM

Presenters: President Brad Mortensen, VP Jessica Oyler

5. Action Agenda

5.1. Approve: Utah State University Mission Statement

10:10 AM

Presenters: President Brad Mortensen, VP Jessica Oyler

5.2. Approve: Policy 4004: Post-Tenure Review

10:30 AM

Presenters: Executive Vice Provost Paul Barr, Provost & EVP Chris Corcoran, President Brad Mortensen

5.3. Approve: Disposal of Real Property, Elwood, UT **10:50 AM**

Presenters: President Brad Mortensen, VP Dave Cowley

5.4. Ratify: USU Board of Trustee Committee Adjustments **11:00 AM**

Presenter: Chair Tessa White

5.5. Ratify: Appointment of USU Foundation Board members **11:10 AM**

Presenters: President Brad Mortensen, VP Matt White

6. Consent Agenda **11:20 AM**

6.1. Approve: 6.5.26 USU Board of Trustees Regular Meeting Minutes

6.2. Approve: 6.6.26 USU Board of Trustees and USU Foundation Board Training Minutes

6.3. Academic Approvals

6.3.1. Approve: New Degrees

6.3.1.1. Full Program: Health Professions Associate of Science Department of Kinesiology & Health Science Emma Eccles Jones College of Education, Health & Human Sciences

6.3.1.2. Full Program: Nursing Associate of Science Department of Nursing Emma Eccles Jones College of Education, Health & Human Sciences

6.3.1.3. Full Program: Behavioral Neuroscience Bachelor of Arts, Bachelor of Science Department of Psychology Emma Eccles Jones College of Education, Health & Human Sciences

6.3.1.4. Full Program: Construction Associate of Science School of Professional & Technical Education S.J. & Jessie E. Quinney College of Agriculture & Natural Resource

6.4. Approve: Policy

6.4.1. Policy 1220: General Expenditure Policy

6.4.2. Policy 3207: Wage & Salary Administration

6.4.3. Policy 3301: Criminal Background Checks

6.4.4. Policy 3311: Employee Gifts & Awards

6.4.5. Policy 4000: Composition & Authority of the Faculty

6.4.6. Policy 4002: Academic Freedom & Professional Responsibility

6.4.7. Policy 4003: Faculty Appointments

6.4.8. Policy 5208: Digital Accessibility

6.4.9. Policy 5312: Vehicle Use

7. Information Agenda **11:25 AM**

7.1. Heravi Peace Institute Reporting Change

Presenter: VP Jessica Oyler

7.2. April 2026 Report of Investments

7.3. May 2026 Report of Investments

7.4. ASPIRE Board Member Updates

7.5. USU Board of Trustees Online Training (due by August 31, 2026)

Presenter: Chair Tessa White

7.6. Upcoming: September 17-18, 2026, USU Board of Trustees Retreat and Regular Meeting, Logan campus

8. Adjourn

11:30 AM



Executive Committee Report

USU Board of Trustees

August 7, 2026

Meeting: The Executive Committee met on July 31, 2026. Committee members Tessa White, Gina Gagon, and David Huntsman were in attendance. They were joined by USU committee support staff Janalyn Brown, Dave Cowley, Brad Mortensen, Jessica Oyler, and Shannon Pipes.

Discussion:

Real property: The committee engaged in a comprehensive discussion regarding the proposed sale of a university-owned property in Elwood, UT, which has been added to the Action Agenda.

Foundation board members: The committee reviewed the process for appointing foundation board members, noting that formal approval by the Board of Trustees is required by the foundation's articles and bylaws, though this step has not been consistently followed in recent years. The committee agreed that the candidates were well-vetted and strong choices and determined that the appointments should be advanced for approval by the full Board of Trustees as an action item rather than on the consent agenda, to ensure transparency and allow for discussion given the new governance practice.

Mission statement: The university's mission statement was reviewed, revealing the existence of three versions: the officially approved 2003 statement, a 2020 version approved by trustees but not by the Board of Higher Education, and a more recent statement announced by President Cantwell without formal approval. To resolve this, the group proposed developing a new, unified mission statement for formal approval by both the trustees and the Board of Higher Education. Next steps include presenting the statement to the full board of trustees, sharing it with faculty and staff at an upcoming town hall, and bringing it to the ULC meeting for further review.

Policies: The committee conducted a thorough review of several institutional policies, beginning with updates to the extra service compensation policy to clarify salary definitions and implement external recommendations, with the expectation of financial neutrality except for the background check policy. Additional policy updates addressed compliance with new laws on presidential authority and post-tenure review. VP Jessica Oyler committed to adding post-tenure review results as an information item for trustees. The digital accessibility policy was updated to clarify legal expectations and assign responsibility for website accessibility, while the vehicle use policy was revised for clarity and compliance without major changes. The group

acknowledged improvements in policy readability and executive summaries.

Investment reports: VP Dave Cowley presented the monthly investment report, highlighting that operating cash management has benefited from sustained high interest rates. The endowment's one- and three-year returns were reported as meeting expectations. Cowley expressed confidence in the investment committee's oversight.



Audit, Risk, and Compliance Committee Report

USU Board of Trustees
August 7, 2026

Meeting: The Audit, Risk, and Compliance Committee met on July 21, 2026. Committee members Ryan Dent, Jacey Skinner, and Luke Johnson were in attendance. They were joined by USU committee support staff Jarrod Larsen, Josh Brown, Saleshe Sharma, Dave Cowley, Brad Mortensen, Jessica Oyler, Haley Klaassen, and MaKenzie Stock.

Review: The committee reviewed and approved the meeting minutes from the May 21, 2026 meeting.

Discussion: President Mortensen and Jessica Oyler gave an update on the university's response to the Legislative Audit. The committee reviewed the draft six-month status report that will be submitted to legislative auditors. Trustees discussed next steps for final review and feedback before submission. The committee also reviewed progress on the Accountability System, which is being developed to improve tracking, reporting, and resolution of compliance-related violations across the institution.

The committee reviewed proposed revisions to Policy 1220: General Expenditure Policy. The updates were made to align university processes with system-level audit recommendations, particularly regarding transparency and reporting of presidential expenditures. The committee recommend approval of the revised policy, subject to minor, non-substantive edits.

Saleshe Sharma provided updates on Internal Audit Services, including the implementation of a quarterly follow-up process for management action plans and a new risk-based approach to determining when follow-up audits are necessary. These changes are intended to improve efficiency while maintaining appropriate oversight of corrective actions. The committee also supported the proposed closure of 78 aged audit items after reviewing the associated risks and future audit coverage plans.

Jarrod Larsen gave the committee an update on enterprise risk management highlighted the identification and prioritization of 17 institutional risk categories. Discussion focused on ongoing efforts to improve risk assessment processes, develop reporting dashboards, and consolidate data needed for effective monitoring. The committee also reviewed progress already achieved

through the risk review process and emphasized the importance of aligning the new risk categories with the university's broader enterprise risk framework.

Josh Brown gave an update on Ethics and Compliance Services, including privacy, and conflict-of-interest activities. Topics included annual conflict-of-interest training requirements, reporting hotline activity, privacy program initiatives, and efforts to improve awareness of available reporting resources. The committee also discussed opportunities to strengthen data governance and received an update on plans to provide additional privacy reporting and compliance support in the coming year.



Statewide Mission and Campus Oversight Committee Report

USU Board of Trustees

August 7, 2026

Meeting: The Statewide Mission and Campus Oversight Committee met on June 10, 2026. Committee members Gina Gagon, Kacie Malouf, Dave Petersen, and Max Alder were in attendance. They were joined by USU committee support staff Justen Smith, Haley Klaassen, and MaKenzie Stock.

Discussion: Interim Vice President of Extension Justen Smith presented on the mission, structure, and impact of USU Extension. Trustees learned about Extension's statewide presence in Utah's counties, its cooperative funding model involving federal, state, and county support, and its broad portfolio of programs serving youth, adults, families, agricultural communities, and local governments. The discussion highlighted Extension's extensive reach, including more than 650,000 annual participants, 4-H youth programs, community education initiatives, and specialized research-based services that support economic development, health, agriculture, and natural resource management throughout Utah.

Trustees also discussed the challenges facing Extension, particularly stagnant funding and the need for greater legislative support. Justen Smith and President Mortensen are pursuing opportunities to secure dedicated legislative funding that would allow Extension to expand county-based faculty positions and programming. Board members emphasized the importance of communicating Extension's value to policymakers, noting the strong economic returns on county investments and the significant impact of Extension programs in both rural and urban communities. Additional discussion focused on strengthening partnerships with other educational institutions and documenting the role of Extension programs—especially 4-H—in recruiting future USU students.

The committee explored ways to increase trustee awareness of and advocacy for Extension. Suggestions included presenting Extension information to the full Board of Trustees, incorporating Extension visits into future statewide tours, and expanding Extension's visibility at meetings of county commissioners and other stakeholder groups. Trustees expressed appreciation for the growing institutional recognition of Extension and statewide campuses within the university's strategic planning efforts, viewing this as an important step toward strengthening support and investment.

The committee also discussed proposed revisions to the current committee charter to incorporate language related to Extension. Given the upcoming changes to the committee structure, members agreed to postpone finalizing the charter revisions until the new committee framework is established. The committee further discussed whether Extension would be better aligned with the Strategic Outreach Committee rather than the Academic Programming Committee under the proposed restructuring. Members generally agreed with the recommendation to place Extension within the Strategic Outreach Committee.



Athletics Committee Report

USU Board of Trustees

August 7, 2026

Meeting: The Athletics Committee met on July 29, 2026. Committee members Max Alder, Brett Hugie, Clark Whitworth, and Jacey Skinner were in attendance. They were joined by USU committee support Cam Walker and Janalyn Brown.

Discussion: VP Walker presented a comprehensive update on USU Athletics, including year-end financials, NIL strategy, philanthropic giving, staffing, the PAC-12 transition, and future revenue opportunities. He reported that Athletics is expected to close the fiscal year with approximately \$58million in revenue and expenses, despite inheriting significant unbudgeted NIL obligations and other expenses.

VP Walker also shared updates on fundraising and donor engagement. Athletics recorded a strong year in both cash and pledged gifts, with approximately \$12 million in cash received and more than \$18 million in cash and pledges combined. New records were also reported for total gifts, donors, and Blue A Society membership. Discussion further focused on strategies to increase sponsorship revenue, enhance premium seating opportunities, and improve donor stewardship through tiered engagement programs and a new investor-focused donor group.

Additional discussion centered on the PAC-12 transition and related revenue projections. VP Walker indicated that media-rights distributions are expected to be comparable to past distributions, while noting significant long-term upside through increased national television exposure, sponsorship opportunities, and conference enterprise initiatives. The committee also discussed Athletic department staffing needsefforts to improve organizational agility, and lessons learned from the recent stadium concert and fireworks event. Committee members expressed support for continued fundraising efforts, sponsorship development, and initiatives that position USU Athletics for long-term growth and competitiveness.



Research and Academic Approval Committee Report

USU Board of Trustees

August 7, 2026

Meeting: The Research and Academic Approval Committee met on July 22, 2026. Committee members Gina Gagon, Jacey Skinner, Ryan Dent, and Brett Hugie were in attendance. They were joined by USU committee support staff: Lisa Berreau, Paul Barr, Zak Konakis, Haley Klaassen, and MaKenzie Stock.

Discussion:

Research Update: Vice President for research, Lisa Berreau, gave a comprehensive update on Research regarding the evolving federal research environment. Discussion focused on proposed changes to federal Uniform Guidance regulations, increased scrutiny of foreign funding and international partnerships, and ongoing efforts to strengthen research security and compliance infrastructure.

The committee reviewed current research funding trends, noting that federal funding has declined while faculty proposal activity remains strong. Despite a challenging national funding environment, faculty established new sponsor relationships and secured significant awards from emerging funding sources. Discussion included the impact of federal staffing shortages on grant processing timelines and the potential long-term effects on graduate and undergraduate research opportunities. The committee also received updates on upcoming state-funded research opportunities, including artificial intelligence initiatives and competitive funding programs expected to launch later this year.

The committee received an overview of new federal research security mandates and associated compliance obligations. Lisa Berreau outlined annual training requirements, disclosure expectations, international travel screening procedures, and the integration of compliance monitoring across university systems. The committee discussed institutional and individual risks associated with non-compliance, including potential funding restrictions and legal consequences. University leaders described procedures for investigating violations and emphasized continued investments in research compliance personnel, training, and monitoring systems. Trustees requested additional information regarding international collaborations and research security efforts in a future committee meeting.

Academic Program Review: The committee reviewed several academic program proposals and discussed governance processes related to peer review and agenda readiness. Two proposals

were deferred to a future meeting to allow additional time for review of newly submitted peer evaluations. Committee members emphasized the importance of thorough external review and written responses to previously identified concerns before proposals advance through governance channels.

The committee reviewed a proposal for a Bachelor of Arts and Bachelor of Science degree in Behavioral Neuroscience. The proposed program supports statewide workforce needs in health sciences, incorporates new coursework and faculty positions, and addresses transfer pathways with partner institutions.

The committee reviewed a proposed Associate of Science degree in Health Professions designed to provide flexible pathways for students pursuing healthcare careers. Discussion focused on transferability, stackable credentials, and the integration of technical education coursework. Committee members expressed support for the proposal, particularly its ability to provide additional options for students pursuing health-related careers.

The committee also reviewed a proposed Associate of Science degree in Nursing intended to expand nursing education access in rural Utah communities. Trustees discussed workforce demand, faculty hiring plans, and the program's role in addressing statewide nursing shortages.

The committee reviewed a proposed Associate of Science degree in Construction, which aligns technical education certificates with transferable academic pathways. Committee members discussed institutional feedback, system alignment, and communication efforts undertaken since earlier review of the proposal.

Following discussion, trustees expressed support for advancing these proposals to the full board agenda.



Honorary Degrees, Awards, and Recognition Committee Report

USU Board of Trustees

August 7, 2026

Meeting: The Honorary Degrees, Awards, and Recognition Committee met on May 8, 2026. Committee members Max Alder, Ryan Dent, Brett Hugie, Mikhail Maxfield and Nate Trauntvein were in attendance. They were joined by USU committee support staff Janet Anderson, Matt White, Haley Klaassen, and Janalyn Brown.

Discussion: Committee members reported overwhelmingly positive feedback regarding the 2026 commencement ceremonies. Students responded particularly well to commencement speaker Bobby Wagner, noting his strong connection to Utah State and the relevance of his message. Members also highlighted increased attendance, positive media coverage, and strong engagement from students, alumni, and the broader community.

The committee expressed appreciation for the honorary degree recipients and praised the recipient videos and pre-commencement luncheon as meaningful ways to recognize their accomplishments. Members also noted the success of several enhancements to the commencement experience, including revised seating arrangements, increased faculty participation, and additional celebratory elements that contributed to a positive atmosphere.

Members discussed the honorary degree and commencement speaker nomination process and generally agreed that outreach and nominations should begin earlier in the fall semester. The committee also supported exploring targeted nomination campaigns for faculty, staff, students, alumni, and community members to broaden participation.

The committee concluded by discussing ways to expand recognition efforts beyond honorary degrees. Members expressed interest in highlighting outstanding students, faculty, staff, and university programs during Board of Trustees meetings and agreed to explore additional strategies for identifying and sharing these accomplishments across the institution.

July 20, 2026

Kade R. Minchey, Auditor General, CIA, CFE
And the Utah State Legislature
W315 Utah State Capitol Complex
Salt Lake City, UT 84114

Dear Mr. Minchey and Members of the Utah Legislature,
Six months ago, Utah State University provided its formal response to the Performance Audit of Utah State University's Governance, Leadership, and Culture. At that time, we committed not only to implementing each recommendation, but to using the audit as an opportunity to strengthen the university for the long term. Throughout this work, the university has worked closely with the USU Board of Trustees, whose guidance and oversight have been integral to the implementation of many of these governance improvements. We appreciated the thoroughness of the review and viewed it as a roadmap for improving governance, accountability, transparency, and institutional culture.

Since that time, we have made meaningful progress across each of the major themes identified in the audit. The university has strengthened financial oversight through updated policies, expanded board reporting, enhanced procurement and purchasing controls, redesigned administrative processes, and added additional employee training. We have advanced implementation of a new budget model, expanded leadership engagement across statewide campuses, launched a comprehensive review of compensation and job architecture, strengthened enterprise risk management, and enhanced the role of Internal Audit in institutional oversight. Many of these efforts have progressed beyond planning into implementation and are becoming part of the university's ongoing operating practices and have been developed and implemented with the guidance and review of the Board of Trustees. A [detailed summary](#) of our progress has been developed and reviewed regularly in collaboration with and by the Audit, Risk, and Compliance Committee and the full Board of Trustees to monitor and discuss remediation efforts and progress.

We have also continued working to strengthen the culture that supports these systems. Throughout the past six months we have emphasized leadership accountability, clearer communication, regular engagement with employees across the state, and stronger alignment between institutional decision making and our land grant mission. We have hired new leaders including a new provost, general counsel, chief audit executive, Dean of the S.J. & Jessie E. Quinney College of Agriculture & Natural Resources, Vice President of Government and External Relations, and Dean of Students, and we have several other key leadership searches underway. While policies and processes are essential, lasting improvement depends upon consistent leadership, transparency, and follow through, and as such, we have also implemented an executive review process.

Several recommendations remain in progress because they involve significant institutional change rather than one-time actions. Initiatives such as the implementation of our budget model, enterprise risk framework, job architecture review, compensation strategy, faculty role statement review, and program review enhancements will continue throughout the coming year. We believe these deliberate, phased implementations will result in strong and sustainable outcomes.

Overall, we remain fully committed to every recommendation contained in the audit. The attached update summarizes progress made during the past six months, the work currently underway, and the next steps planned as we continue strengthening governance and accountability across our institution in partnership with the Board of Trustees..

We appreciate the continued partnership of the Office of the Legislative Auditor General and the Utah Legislature and remain committed to transparency, continuous improvement, and responsible stewardship of the public's trust.

Sincerely,



Brad L. Mortensen
President
Utah State University



Tessa White
Chair of the Board of Trustees
Utah State University

Chapter 1

Recommendation 1.1: The Utah State University president, in collaboration with the board of trustees, should establish a formal accountability system for university purchases. These bodies should then require and review reports on violations of policy to strengthen oversight, accountability, and compliance with university financial policy.

- **Department Response - January 23:** Utah State University concurs with this recommendation.
 - **What:** USU will establish a formal accountability system for university purchases.
 - **How:** In addition to reviewing systems mentioned at SUU and the U of U, similar systems at other universities will be reviewed to establish best practices. Reports will then be developed for regular review by the president and board of trustees to strengthen oversight, accountability, and compliance with university financial policy.
 - **When:** The accountability system and accompanying reports will be developed by June 30, 2026.
 - **Contact:** USU Vice President for Finance and Administrative Services
- **Update – July 20:** USU has established a cross-functional accountability framework for purchasing, completed peer benchmarking, and advanced redesign of travel, purchasing card, and procurement processes into implementation. [Accountability measures](#) are identified and reporting will begin in fall 2026.

Recommendation 1.2: The Utah State University Board of Trustees should periodically survey university financial officers to determine the president’s and employees’ compliance with university spending policy. The board should monitor these reports and include findings in the annual key performance indicator evaluation of the president. This will facilitate greater oversight and accountability throughout the university.

- **Department Response – January 23:** Utah State University concurs with the intent of this recommendation and will implement it with an adjusted approach in close coordination with the USU Board of Trustees Audit, Risk, and Compliance Committee.
 - **What:** Internal audits are conducted regarding financial processes such as travel, purchasing –cards (p-card), and other expenses. However, we recognize opportunities to strengthen our processes to more intentionally gather deeper levels of information from our employees. Rather than creating a new process, we will incorporate this recommendation into our existing audits.
 - **How:** Each year, Internal Audit Services will enhance their audits of financial compliance with probing questions to financial officers and business managers, which will be incorporated and communicated through the audit reporting process to the president and the board of trustees for review and follow up.
 - **When:** Effective immediately.
 - **Contact:** USU Internal Audit Services

- **Update – July 20:** Internal Audit Services (IAS) has incorporated a specific compliance question related to university spending policies in the audit planning step, developed standardized reporting templates (internal audit report and internal audit dashboard), and is establishing annual reporting to the president and Board of Trustees. Compliance reporting now occurs as issues arise while the annual reporting process is finalized. In addition, IAS will distribute an annual survey to all Financial Officers that includes targeted questions about compliance with university spending policies. Survey results will be shared with the Audit, Risk and Compliance (ARC) Committee. The first survey will be issued in October 2026, with results reported to the ARC Committee and the President at the December 2026 ARC meeting.

Recommendation 1.3: The Utah State University president, in collaboration with the board of trustees, should strengthen operational controls, systems, and tools to more proactively address institutional risks rather than merely responding to issues as they occur.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Implement a more coordinated, proactive institutional risk management framework that strengthens controls, clarifies roles, and improves visibility into key operational, financial, compliance, and reputational risks.
 - **How:** In 2025, USU initiated a comprehensive review and system redesign to strengthen internal controls, improve compliance, and mitigate risk within travel and p-card processes. As these efforts advanced from redesign into implementation, the university expanded the same deep review and control-focused approach to procurement processes within the requisition and purchase order system. Additional administrative processes will be evaluated and redesigned over time using this framework. This work enhances the ability of the president and the board of trustees to exercise proactive oversight of institutional risks. USU's Risk Management is evaluating the addition of a governance, risk, and compliance module within the existing Origami Risk platform utilized by the institution to further support enterprise risk oversight. Findings, risk assessments, and remediation progress will be reported to the audit, risk, and compliance committee of the board of trustees at least quarterly.
 - **When:** Initial framework will be implemented during spring 2026, with phased enhancements to systems, reporting, and training over the following year.
 - **Contact:** President
- **Update – July 20:** Implementation of redesigned travel, purchasing card, procurement, and enterprise risk processes is well underway. ServiceNow workflows are being developed. These modules and training will be developed and tested through October 2026 with full launch November 1. The Origami Risk GRC module and quarterly reporting to the Audit, Risk, and Compliance Committee are in place strengthening proactive institutional risk management.

Recommendation 1.4: The Utah State University Board of Trustees, in collaboration with the president, should review spending activities, policies, and controls. The board should then

formalize policy in areas where weaknesses exist and where more guidance is needed. This will ensure that the university is responsive with policy and controls in areas where further improvements are needed.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** The board of trustees, in collaboration with the president, will review existing spending policies, activities, and internal controls to assess effectiveness, consistency, and alignment with current operations.
 - **How:** USU spending policies were updated and strengthened, and a new policy was developed on general expenditures that included specific guidance and processes related to presidential expenditures. These policies were approved by the board of trustees in November 2025, and reports are flowing to the trustees as designed to increase monitoring and transparency. The board of trustees, in collaboration with the president, will continue to review spending activities, policies, and controls where weakness is identified and guidance is needed.
 - **When:** The review has been incorporated into the board's regular oversight and audit cycle beginning in 2026.
 - **Contact:** Chair of the board of trustees and president
- **Update – July 20:** The Board of Trustees has approved strengthened spending policies, including new guidance related to presidential expenditures, and has incorporated recurring oversight reporting into its governance processes. Our general expenditure policy is being updated as of July 2026 to incorporate recommendations from the Utah System of Higher Education's presidential expenditure audit. Policy review will continue as additional opportunities for improvement are identified.

Recommendation 1.5: The Utah State University president should ensure employees receive financial trainings for all personnel with purchasing authority for the purpose of strengthening awareness of and compliance with university financial policy.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Formal procurement training is currently being developed and will be added to the list of annual training courses that employees are required to receive based on their university roles and responsibilities.
 - **How:** The new training will be available in USU's Learn Blue training system and will be required for all benefitted employees. USU uses the first three months of each new fiscal year as the window for all required annual training courses to be completed and monitors compliance with this requirement.
 - **When:** July 1, 2026
 - **Contact:** USU Vice President for Finance and Administrative Services
- **Update – July 20:** Formal procurement training has been developed in the LearnBlue platform and is incorporated into the university's annual required compliance training as

of July 1. This establishes a recurring process to strengthen awareness of financial policies across the institution. Implementation is complete.

Recommendation 1.6: The Utah State University president should improve leadership involvement, oversight, and communication with Utah State University's statewide campuses. The president should regularly survey these campuses to determine where further improvements are needed. This will assist management in their effort to strengthen policy compliance and improve culture.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Improve communication, leadership engagement, and demonstrated institutional support for statewide campuses.
 - **How:** The university is conducting a review of the statewide budget model in coordination with the broader institutional budget model to ensure alignment, transparency, and consistency. A university-wide employee survey, inclusive of statewide campuses, was administered during the first week of the new presidency and identified similar communication gaps with statewide campuses. University leadership completed a structured tour of statewide campuses during the third week of January, including town halls at each location. Leadership visits to statewide campuses will occur at least annually, with additional campus and extension site visits being scheduled throughout 2026.

To support continuous improvement, the university will administer check-in surveys at least once per semester to monitor communication, engagement, and emerging concerns across all campus locations. Survey results will be reviewed by university leadership and used to inform improvements as needed. The university is also reviewing tuition structures, recruitment and enrollment strategies, and communication practices related to statewide campuses and has begun implementing differentiated communication strategies informed by feedback received during campus visits.

- **When:** In progress
 - **Contact:** President
- **Update – July 20:** Leadership has completed multiple statewide listening visits, administered semester check-in surveys, and continues to implement communication and engagement improvements informed by campus feedback. Work also continues in streamlining the statewide budget and tuition strategies. Statewide campuses and online education have been combined under a vice president to reduce friction in budgeting, and a search for that position is underway. We have revised our trustee subcommittee structure to better reflect and support our statewide mission.

Recommendation 1.7: The Utah State University president should continue to create a more uniform human resources system by addressing inequitable work structures and pay scales.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Establish a consistent, institution-wide process for reviewing job roles, classifications, and pay scales.
 - **How:** The university is conducting a comprehensive job architecture review to evaluate roles, levels, and compensation across the institution. The USU College of Arts & Sciences is serving as the initial implementation unit, and outcomes will be used to inform broader institutional rollout. The university is also evaluating options for a centralized job description tracking system to ensure consistency. Salaries will be reviewed annually for alignment and compression, and a multi-year plan to address identified disparities will be developed by July 1, 2026.
 - **When:** Ongoing. To be completed by December 2026.
 - **Contact:** President
- **Update – July 20:** The university has advanced its job architecture review, beginning with the College of Arts & Sciences, while expanding work on compensation, job leveling, and centralized job descriptions. A comprehensive compensation study is underway to be completed by the beginning of November. This will include a review of our job architecture project. We are also in an active RFP process to secure a talent management system to manage applications, job descriptions, and employee review processes.

Chapter 2

Recommendation 2.1: Utah State University should commit to a timeline for implementing an improved budget model that meaningfully ties resources to enrollments and teaching loads.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** USU will implement an improved budget model.
 - **How:** USU recently concluded an engagement with experts to develop best-practice elements of a higher education budget model designed to drive resources to strategic, mission-based institutional priorities. Additional customization and refinement by USU leaders are now needed and will be concluded in time to implement a parallel budget model beginning with FY27, with the expectation that the new model will be fully utilized beginning with FY28.
 - **When:** July 1, 2026.
 - **Contact:** USU Vice President for Finance and Administrative Services
- **Update – July 20:** The university began our year one budget model implementation on July 1 in academic colleges. During FY27 we will continue refining allocation methodologies and strategic funding drivers. We will also be refining processes for administrative units in early fall 2026. Full implementation remains planned for FY28.

Recommendation 2.2: Utah State University should include student outcomes metrics in its improved budget model to maintain instructional rigor.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Student outcomes will be included in the new budget model.
 - **How:** As noted in Recommendation 1.6, USU is entering the final stages of customization and refinement of the new budget model. With measures of student credit hours and research activity already incorporated, the current phase will focus on identifying appropriate drivers and metrics for specific student outcome measures that support student success while maintaining institutional rigor.
 - **When:** July 1, 2026
 - **Contact:** Provost & USU Vice President for Finance and Administrative Services
- **Update – July 20:** The student outcome measure of degree completion, weighted by degree type, has been incorporated into budget model development alongside instructional and research metrics. Implementation is complete.

Recommendation 2.3: As Utah State University leadership develops its new budget model, they should incorporate incentives for faculty to accomplish both the research and teaching missions of the institution.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** The budget model will account for both research and teaching missions of the institution.
 - **How:** USU takes very seriously its multi-faceted mission in the Utah System of Higher Education. The new budget model considers and heavily prioritizes the teaching and research missions of the university and incentivizes faculty and colleges to accomplish both missions. USU leadership will continue to monitor inputs and outcomes, and make timely adjustments as needed, to maintain responsiveness to student, state, and institutional needs.
 - **When:** July 1, 2026
 - **Contact:** Vice President for Finance and Administrative Services
- **Update – July 20:** The budget model incorporates incentives that recognize both teaching and research contributions while maintaining flexibility to refine measures based on institutional outcomes and strategic priorities. Our overall budget philosophy will include individual metrics, outcomes identified in the program review processes, and initiatives focused on innovative efforts.

Recommendation 2.4: Utah State University should specify in role statements that department chairs are responsible for overseeing the student employment outcomes and workforce alignment efforts of their departments. This includes implementing feedback from alumni and employers to improve department performance.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Clarify department head responsibilities related to workforce and graduate-school alignment, including oversight of outcomes assessment and employer feedback within existing academic governance structures.
 - **How:** Department heads will be expected to incorporate workforce and graduate-school outcomes into program review and improvement efforts, and to ensure departments demonstrate employer partnerships and feedback loops, such as industry advisory boards, alumni input, and other discipline-appropriate mechanisms. Many colleges and departments have these as of now; however, this will be a consistent expectation for all departments and colleges moving forward. The responsibility for acquiring and disseminating appropriate data to facilitate the evaluation of student employment outcomes and workforce alignment efforts by the various departments will be provided centrally, through the USU Office of Data Analytics. These data may include existing institutional data resources, refinements to our graduate surveys, and annual sharing of graduate school placement through the National Student Clearinghouse.
 - **When:** Clarifications to department head role expectations will be implemented during the 2026 academic year.
 - **Contact:** USU Provost and the Office of Data & Analytics
- **Update- July 20:** Program review expectations are being drafted to incorporate workforce outcomes, employer engagement, and graduate-school placement. Supporting data infrastructure is being developed through the Office of Data & Analytics in collaboration with the provost's office. With the transition of a new provost on July 1, these processes and department head expectations will be revised during the fall of 2026.

Recommendation 2.5: Utah State University should develop effective support for department chairs to oversee the workforce development activities of their departments. This includes tracking alumni outcomes, soliciting feedback from alumni and employers, providing training, and creating incentives for departments to improve post-graduation employment and education outcomes for students.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Integrate workforce and graduate-school placement expectations and employer feedback into departmental program review processes, focusing on program-level outcomes.
 - **How:** Workforce and graduate-school placement data and analysis will be incorporated into regular program reviews. Graduate survey instruments will be streamlined and strengthened to gather improved response rates. A template will be created to assist in gathering feedback from employers.
 - **When:** Updates to program review expectations will be implemented during the 2026-2027 academic year, with phased enhancements to data integration and reporting as dashboards are developed.

- **Contact:** USU Provost and the Office of Data & Analytics
- **Update- July 20:** Work is underway to integrate workforce outcomes, graduate surveys, employer feedback, and program review expectations into a coordinated institutional process and this has been identified as one of the provost's highest priorities. Multiple design meetings have occurred. Data collection and reporting tools continue to be refined with new data gathering processes to be launched in fall 2026.

Recommendation 2.6: Utah State University should develop and implement a plan to increase the number of faculty in each department whose role statements indicate they are responsible for improving student employment outcomes and workforce alignment.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Recognize applied research, experiential learning, employer engagement, and workforce or graduate-school alignment as valued forms of contribution in faculty and academic leadership role statements when appropriate.
 - **How:** Faculty and academic leadership role statements will be clarified to allow recognition of workforce-aligned contributions where it aligns with a faculty member's discipline, appointment, and workload, without establishing uniform requirements across all departments. This approach maintains flexibility across disciplines while supporting workforce relevance.
 - **When:** Clarifications to role statement guidance will be implemented during the remainder of the 2025-2026 academic year.
 - **Contact:** Provost
- **Update – July 20:** With the transition of our provost, these changes were delayed. The Provost's Office will develop guidance in fall 2026 to recognize workforce engagement, experiential learning, and employer partnerships within faculty and academic leadership role statements where appropriate and has begun doing so with individual role statements.

Chapter 3

Recommendation 3.1: The Office of the Commissioner of Higher Education should provide stronger guidance to boards of trustees assisting with annual presidential key performance indicator reviews. This will assist in more consistent and effective evaluations. The office should then require the board provide documentation of this process.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.
- What
- How
- When
- Contact

Recommendation 3.2: The Legislature should consider providing guidance surrounding presidential evaluations, including how frequent they should occur and who conducts them. If the Legislature does not codify additional guidance, the Utah Board of Higher Education, in collaboration with the Office of the Commissioner of Higher Education, should increase the frequency of comprehensive presidential evaluations to better align with average presidential tenure in Utah and best practices. Doing so will provide greater insight on and support to institutional presidents.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.
- What
- How
- When
- Contact

Recommendation 3.3: The Legislature should consider requiring presidents undergo a comprehensive evaluation after completing their first year in the position. If this is not codified, the Office of the Commissioner of Higher Education should revise policy and practice to ensure that each president receives a comprehensive evaluation after completing their first year at an institution. This evaluative process will ensure presidents are adequately instructed and supported early in their tenure.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.
- What
- How
- When
- Contact

Recommendation 3.4: The Utah Board of Higher Education and The Office of the Commissioner of Higher Education should fully integrate its budget model for performance-based pay, setting presidential performance metrics and incorporating them into each president's terms of employment.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.
- What
- How
- When
- Contact

Recommendation 3.5: The Office of the Commissioner of Higher Education should draft and follow a written systemwide succession plan, as required in Utah Code, to ensure successful presidents can be identified and hired. The office should document individual persons in each institution with potential to become presidents and provide them opportunities to further refine and build skills within the system.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.

- What
- How
- When
- Contact

Recommendation 3.6 The Office of the Commissioner of Higher Education should continue to identify areas for ongoing presidential coaching and regularly provide training. This effort should be measured as successful when it helps presidents improve according to system goals.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.
- What
- How
- When
- Contact

Chapter 4

Recommendation 4.1: The Utah State University internal audit director should establish and implement policies and formal processes for tracking and reporting audit recommendations. The director should update the status of these recommendations at least annually and submit a report to the Audit, Risk, and Compliance Committee. This should provide USU leadership and the board of trustees with the information necessary to exercise oversight and ensure audit recommendations are implemented in a timely manner.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** USU Internal Audit Services (IAS) tracks and reports recommendations from their audits on an ongoing basis and will continue to update USU leadership and the board of trustees on a regular basis regarding open recommendations and follow-up audits.
 - **How:** To help ensure more timely tracking of open recommendations and corrective action, IAS will develop a continuous monitoring process and report results to the president and the USU Board of Trustees Audit, Risk and Compliance Committee on a periodic basis. IAS has developed a dashboard that includes status of open recommendations, which will be shared with the board's compliance committee in advance of regular meetings. The IAS annual report of audit activities includes implementation of recommendations for any follow-up audits that were conducted during the previous year. IAS will prioritize informing the president and the board's compliance committee of any unimplemented recommendations that pose a significant risk to the university. Appropriate staffing levels will further improve the timeliness of follow up and closure of recommendations.
 - **When:** Effective immediately for everything except the continuous monitoring process. We are exploring software options for this now to be implemented by June 2026.

- **Contact:** USU Internal Audit Services
- **Update- July 20:** Internal Audit has implemented enhanced tracking and dashboard reporting for audit recommendations while expanding follow-up activities. Continuous monitoring processes and reporting to the Audit, Risk, and Compliance Committee continue to mature. Implementation is complete.

Recommendation 4.2: The Utah State University President and Board of Trustees should leverage the internal audit function to assess operational, financial, and reputational risks. The president should adequately staff the internal audit function to meet risk coverage demands. This should ensure major risks to the university are appropriately understood and mitigated according to the risk tolerance levels of the president and board.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Reestablish internal audit as a key partner in institutional risk assessment and oversight and ensure adequate staffing of the internal audit function.
 - **How:** The university is currently conducting a search to fill the vacant chief audit executive position. Upon appointment, the chief audit executive will be reintegrated into appropriate executive-level committees and will have regularly scheduled meetings with the president to support a shared understanding of risks. Staffing levels and audit coverage will be evaluated to ensure alignment with institutional risk exposure and audit priorities.
 - **When:** Reestablishment of the chief audit executive role and reintegration into executive committees will occur following completion of the current search.
 - **Contact:** USU Internal Audit Services and president
- **Update – July 20:** The Chief Audit Executive has been reintegrated into executive leadership discussions, regular meetings with the president have been established, and evaluation of staffing and audit coverage is underway to strengthen enterprise risk oversight. A search for a new internal auditor will commence soon.

Recommendation 4.3: The Legislature should consider codifying institutional internal auditor reporting relationships within the Utah System of Higher Education to ensure strong, ongoing independence. If this is not codified, the Utah Board of Higher Education should formalize policies and practices to strengthen internal audit independence. Doing so will ensure institutions and the system are free to address the greatest risks and continue to improve its governance and controls.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.
- What:
- How
- When
- Contact

Recommendation 4.4: The Utah State University President and Board of Trustees should implement recommendations made by the internal audit function in a timely manner or document why the recommendation will not be implemented. Ultimately, this should lead to controls operating as intended and risks being managed through appropriate mitigation and documentation strategies.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** Enhance institutional oversight and transparency related to the implementation status of internal audit recommendations.
 - **How:** Internal audit recommendations are directed to process owners with authority to implement needed improvements. While audit reports are provided to the president and the board of trustees, implementation responsibility resides with the accountable units. To strengthen oversight, internal audit services has included follow-up audits in the 2026 audit plan to assess implementation status and outcomes of prior recommendations. Follow-up audit reports will be shared with the president and the board of trustees to provide visibility into progress, unresolved items, and risk exposure. Where an unimplemented recommendation represents a significant institutional risk, the USU Board of Trustees Audit, Risk, and Compliance Committee and/or the president will engage directly with supervisors of responsible units to ensure accountability. We are also working with and discussing enterprise risk and key areas to monitor and a draft dashboard monitoring risks for the university to be reported to the compliance committee. In addition, the university is evaluating governance, risk, and compliance tools, such as the Origami Risk platform, to improve ongoing tracking, documentation, and reporting of action plans beyond periodic follow-up audits.
 - **When:** Enhanced follow-up reporting will occur as part of the 2026 audit plan, with evaluation of continuous monitoring tools occurring at the same time.
 - **Contact:** President
- **Update – July 20:** Follow-up reporting on audit recommendations has been incorporated into routine governance processes, with increased visibility for the president and Board of Trustees. Significant unimplemented recommendations are now elevated for executive review and accountability. We are continuing to develop additional risk monitoring dashboard and are refining our enterprise risk management approach.

Recommendation 4.5: The Legislature should consider codifying the role that institutional legal counsels perform. If this is not codified the Office of the Commissioner of Higher Education, in collaboration with the Utah Board of Higher Education, should formalize guidance on the role institution’s legal counsel should play within the governance structure.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.
- What
- How
- When

- Contact

Recommendation 4.6: The president of Utah State University and the board of trustees must structure internal governance to place Legal in its most effective and appropriate role.

- **Department Response – January 23:** Utah State University concurs with this recommendation.
 - **What:** To better align titles with organizational structure, the General Counsel role will no longer carry a vice president designation.
 - **How:** Legal counsel will continue to serve in an advisory capacity, providing legal expertise and risk analysis to inform institutional decisions. Shared input is essential, and university leadership carries final responsibility and accountability.
 - **When:** Effective February 27, 2026.
 - **Contact:** President
- **Update – July 20:** The General Counsel position was established without a vice president title to reflect its advisory function. The new General Counsel began in June. Legal counsel attends trustee proceedings as needed to provide legal advice but is not a standing participant in board deliberations.

Recommendation 4.7: The Commissioner of Higher Education should review the level of support that is needed to adequately support boards of trustees and work with the Legislature to determine policy and resources.

- **Department Response:** Deferred to the Office of the Commissioner of Higher Education.
- What
- How
- When
- Contact

Summarized Audit Recommendation Tracking Document



*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Brad Mortensen, President
Jessica Oyler, Vice President and Chief of Staff
DATE: August 7, 2026
RE: Utah State University Mission Statement

Executive Summary

The proposed revisions to Utah State University's mission statement are intended to update and clarify the university's mission while preserving its longstanding purpose as Utah's student-centered land-grant university. The current mission statement has guided the institution effectively since 2003, but the proposed language more clearly reflects the university's present identity, statewide impact, and commitment to students, learning, discovery, extension, and engagement.

The recommendation is to treat these revisions as a refresh of existing mission language rather than undertake a comprehensive mission development process. The proposed statement maintains continuity with the university's historic mission while providing a more contemporary and concise articulation of Utah State University's role in serving the state and its communities.

Mission Statements in Prior Administrations

- **Current Mission Statement (approved 2003):**
The mission of Utah State University is to be one of the nation's premier student-centered land-grant and space-grant universities by fostering the principle that academics come first, by cultivating diversity of thought and culture, and by serving the public through learning, discovery, and engagement.
- **Aggie Action 2028 Mission Statement (developed under President Noelle Cockett but not formally adopted):**
Utah State University is a premier land- and space-grant institution committed to excellence, access, and inclusion.
- **Strategic Planning Draft Mission Statement (developed under President Elizabeth Cantwell but not formally adopted):**
Utah State University is a public service, top-tier R1 research space and land-grant university that empowers individuals to thrive in a rapidly changing world through transformative learning, discovery, and engagement.



Proposed Mission Statement

The mission of Utah State University is to serve Utah as the student-centered land-grant university that expands opportunity, advances learning and discovery, and strengthens communities through extension and engagement.

Relevant Policy

This proposed action is brought forward pursuant, which establishes the framework for review and approval of institutional mission statements. The proposed revisions ensure the university's mission statement continues to accurately reflect Utah State University's purpose, priorities, and public service mission while remaining aligned with applicable USHE policy requirements.





*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
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David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Laurens H. Smith, Provost & Executive Vice President
Paul J. Barr, Executive Vice Provost
DATE: August 7, 2026
RE: Revisions to Policy 4004: Tenured & Term Appointments: Evaluation, Promotion, & Retention

BACKGROUND: USU Policy 4004: Tenured & Term Appointments: Evaluation, Promotion, & Retention defines tenure, promotion, term appointments, eligibility, criteria, and procedures. The proposed revisions only impact sections 4004.12.2 and 4004.12.3, which establish a new framework for post-tenure review and professional development. A more comprehensive review of the entire policy will be conducted in the near future.

These revisions were drafted and reviewed by a Policy Development Team which included Paul Barr, Maureen Hearn, Nikki Kendrick, Gretchen Peacock, Claudia Radel, Larry Smith, and Rebekah Watts.

KEY PROVISIONS: Under the revised policy, tenured faculty will undergo a comprehensive Post-Tenure Review every five years.

- Clarifies timing of review and basic standard to demonstrate effectiveness in all areas of the role statement
- Establishes membership requirements for a college-level Peer Review Committee (PRC)
- Institutes review criteria for a discipline- and role-specific assessment including findings of non-compliance with institutional policies
- Requires a majority vote by the Peer Review Committee
- Outlines the process for a mandatory Professional Development Plan if PRC determines the faculty member is not meeting the basic standard
- Indicates the required elements for every Professional Development Plan (PDP)
- Delegates final approval of the PDP to the dean or vice president for extension. The department head monitors progress and conducts final evaluation
- Establishes outcomes of the Professional Development Plan

Faculty were invited to provide comments and feedback during two different public comment periods. The comments and insights were carefully considered by the Policy Development Team.

ACTION: USU Policy 4004: Tenured & Term Appointments: Evaluation, Promotion, & Retention has been developed by the processes outlined in USU Policy 1001: University Policy System. The University Leadership Council



approved this policy during the June 10, 2026, meeting. The President and Provost recommend that the Board of Trustees approve the revisions to USU Policy 4004.

ATTACHMENTS:

Policy 4004 proposed revisions
Policy 4004 red-lined version
Policy 4004 current version



University Policy 4004: Tenured and Term Appointments: Evaluation, Promotion and Retention

Category: Academic Affairs

Subcategory: Faculty Code

Covered Individuals: Faculty

Responsible Executive: President

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

Last Revised: 2026/MM/DD

Previous USU Policy Number: 405

TENURE: INTRODUCTION, RIGHTS CONFERRED, ELIGIBILITY, PRE-TENURE PROBATIONARY PERIOD

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 an asset to the institution because of his or her abilities as a scholar, a teacher, a researcher, a librarian, an extension faculty member, 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 tenure and/or promotion.

Tenure is a means 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 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.

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 dismissal or reduction in rank, except as defined in policy 4006, and is not subject to termination or reduction in status except as defined in policy 4005 or policy 4006.5. Tenure is established only in an academic unit as defined in policy 4000.2.2. 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 policy 4000.3 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 their advancement to the 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. Appointments to all administrative positions are without significance for the achievement of tenure. Administrators with faculty status positions hold their tenure 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 (policy 4000.3.1). All provisions of this policy apply to such part-time faculty. 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 or more academic units, the unit in which tenure is to be awarded must be specified in writing by the department head or supervisor at the time of appointment.

1.4 Pre-tenure probationary period

Normal Period.

The normal pre-tenure probationary period shall be six years. In general, the tenure-track faculty member is eligible for promotion and tenure review in the sixth year from the calendar year in which he or she is appointed. The seventh year is not a probationary year; it is either a year that commences tenure status or a year of employment under a terminal contract.

When the effective date of a tenure-eligible faculty appointment falls between July 1 and December 31, the academic year (policy 4003.2) 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 sign a statement that records the final date for tenure consideration for the faculty member. This document shall be signed and approved by the department head or supervisor, academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, and the provost.

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. The agreement must be specified in writing and approved by the department head or supervisor, academic dean and the provost, and, where appropriate, the vice president for extension, chancellor, or regional campus dean.

(3) 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 or regional campus 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.

(4) 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 or regional campus 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.

(5) 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 vice president for extension, and, where applicable, the chancellor or regional campus dean, the president may recommend the granting of tenure to a faculty member at any time.

(6) Transfers.

A tenure-eligible faculty member who transfers permanently from one academic unit to another 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 service completed 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 vice president for extension, and, where applicable, the chancellor or regional campus dean, and the provost.

(7) Effective Date.

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

TENURE AND PROMOTION: CRITERIA FOR CORE FACULTY RANKS

2.1 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. Promotion to assistant professor requires completion of the terminal degree or its equivalent; demonstrated ability in teaching, research or creative endeavors, extension, professional career and technical education, or other qualifying work; evidence of scholastic promise; and evidence of progressive professional development (policy 4000.3.2(2)).

2.2 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 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 emphasis 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 performs, and must present evidence of excellence in the major emphasis of his or her role statement.

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 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 role statement (policies 4000.3.2(3) and 4004.2.1). Excellence is measured by standards for associate professors within the national professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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, 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; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; and invited lectures or panel participation.

(2) 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 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; effective community engagement as part of the effort, 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.

(3) 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; effective community engagement; 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.

(4) 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.

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

Faculty members who are qualified for initial appointments at the ranks of associate professor or professor may be appointed without tenure. The criteria for the award of tenure are the same as those in 4004.2.2 above. 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, or the regional campus 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 4004.2.2), 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.

TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS

3.1 Criteria for Promotion from Affiliate Librarian to Assistant Librarian

Faculty members will be initially appointed to the rank of affiliate librarian when they have not completed a master's degree in library and information science from an institution accredited by the American Library Association or a relevant master's degree but have demonstrated ability in accordance with the role statement. Promotion to assistant librarian requires a master's degree in library and information science from an institution accredited by the American Library Association or a relevant postgraduate degree and demonstrated ability in accordance with the role statement.

3.2 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 her role as defined by the role statement. Although librarians are expected to carry out the major university functions of librarianship, research and creative endeavors, and service, individual emphasis 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 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, scholarship, 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 role statement (policy 4003.3(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:

(1) 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.

(2) 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, inventions and other intellectual property; community engaged scholarship; 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.

(3) 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; effective community engagement; 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.

(4) 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.

3.3 Initial Appointment at the Associate Librarian or Librarian Ranks without Tenure

Librarians who are qualified for initial appointments at the ranks of associate librarian or librarian may be appointed 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 or regional campus dean, and the provost.

3.4 Criteria for Promotion from Associate Librarian to Librarian

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 4004.3.2), 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.

TENURE AND PROMOTION: CRITERIA FOR FACULTY WITH EXTENSION RANKS**4.1 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 degree appropriate for extension faculty, but have met all other criteria for appointment to the rank of extension assistant professor. Promotion to extension assistant professor requires completion of the terminal degree appropriate for extension faculty or its equivalent; demonstrated ability in teaching and development of programs relevant to the identified population; evidence of scholastic promise; and evidence of professional development.

4.2 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 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 performs and must present evidence of excellence in the major emphasis of his or her role statement.

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, 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 role statement (4000.3.4; 4004.1). Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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.

(2) 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.

(3) 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.

4.3 Initial Appointment at the Extension Associate Professor or Extension Professor Ranks without Tenure

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 without tenure.

The criteria for the award of tenure are the same as those in 4004.4.2 above. 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, vice president of extension, and the provost.

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.

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

5.1 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 years of applicable work experience at the journeyman level. Up to three years of academic training from an accredited college may be substituted for up to three 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 years full-time teaching experience at an accredited college and evidence of progressive professional development.

5.2 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 her 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 emphasis 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 she performs and must present evidence of excellence in the major emphasis of his or her role statement.

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 role statement. Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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, 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; 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.

(2) 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 Initial Appointment at the Professional Career and Technical Education Associate Professor or Professional Career and Technical Education Professor Ranks without Tenure

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 without tenure. The criteria for the award of tenure are the same as those in 5.2 above. 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 chancellor or regional campus dean, and the provost.

5.4 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.

4004. 6 TENURE, PROMOTION AND REVIEW: GENERAL PROCEDURES

6.1 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 he or she accepts an appointment, as indicated by their signatures. The role statement should also be, approved by the academic dean and the provost and where applicable, the chancellor, vice president for extension or regional campus dean, prior to the faculty member's signature, and then signed by the academic dean, and the chancellor, vice president for extension or regional campus dean where applicable. The role statement shall include percentages for each area of professional domains (4003.1.2). 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, or regional campus 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 or regional campus 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 or regional campus 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.

6.2 Advisory Committees

(1) Tenure advisory committee (TAC).

For each new tenure-eligible faculty member who is appointed, the faculty member's department head or supervisor shall, in consultation with the faculty member and with the approval of the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus 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 consist of at least five members, one 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, vice presidents, or chancellors (where applicable) appointed without tenure.

The tenure advisory committee members shall 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 faculty members in the academic unit with higher rank than the candidate, then the department head or supervisor shall, in consultation with the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. The department head or supervisor of the candidate shall 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 fill vacancies on the committee. In consultation with the faculty member, academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus 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 vice president for extension, and, where appropriate, the chancellor or regional campus 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 recommend (a) to renew the appointment or (b) not to renew the appointment (4006.2.1(5)). In the final year of the pre-tenure probationary period, the committee shall recommend (a) awarding promotion and tenure or (b) denying promotion and tenure (4006.2.1(5)). 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 Section 4004.7.3(1) of the USU Policy Manual. Under those circumstances, the TAC shall recommend (a) to award promotion and tenure or (b) to continue the pre-tenure probationary period.

(2) 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 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 or regional campus 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 or regional campus 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 is being considered for promotion, the provost shall appoint the promotion advisory committee.

6.3 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.

6.4 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.

6.5 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 4000.2.1) 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.

4004.7 PROCEDURES SPECIFIC TO THE TENURE PROCESS

7.1 Annual Event

(1) Meetings of the tenure advisory committee.

An initial meeting of the committee shall 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 policy 4004.6.5. All tenure advisory committee members shall participate interactively in all committee meetings, either physically or by electronic conferencing, at the appointed date and time.

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

After the initial meeting, the tenure advisory committee shall meet with the candidate at least 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 4004.6.5. The committee will submit, each year, a written report to the department head or supervisor. This report shall be submitted by December 1 for first-year and second-year appointees, by October 26 for third-year appointees, and by December 1 during subsequent years. Except in the year in which the tenure decision must be made, the report shall 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 also contain a recommendation regarding the renewal or nonrenewal of the appointment (4004.6.2(1); 4006.7).

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

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

The department head or supervisor shall, 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 4004.6.5. Subsequently, the department head or supervisor shall submit in writing to the academic dean, or vice president for extension, chancellor or regional campus 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 nonrenewal of the appointment of the faculty member. This report shall be submitted by December 18 for first- year and second-year appointees, by November 10 for third-year

appointees, and by December 18 during subsequent years. Copies will be provided to the candidate and the tenure advisory committee. A copy shall be placed in the candidate's file.

7.2 Additional Events During the Year in which a Tenure Decision is to be Made

(1) External peer reviews.

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 September 15, the department head or supervisor will make a solicitation of 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 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 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 reviewer. 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 files, as determined by the Tenure Advisory Committee and Department Head. If a candidate believes that their disciplines 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 may be asked to submit additional names if it is decided that the nature of the candidate's acquaintance with the potential reviewers might prevent the reviewer from making an objective evaluation. 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 tenure advisory committee shall 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 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 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 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 4004.6.3).

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 tenure advisory committee.

The tenure advisory committee shall review and evaluate the candidate for tenure, based on the information in his or her file including external peer reviews. The committee shall make a decision with respect to its tenure recommendation by a majority vote and the names of those for and against shall be recorded. The committee members 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. 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 December 1, except that for third-year appointees the date is October 26. Minority positions, if any, may be documented in separate letters. A copy of the tenure 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 tenure advisory committee, the department head or supervisor shall 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 policy 4004.6.5. The recommendations of the department head or supervisor and the tenure 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, except that for third-year appointees the date is November 10. A copy of the department head or supervisor's letter shall be provided to the tenure 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.

The academic dean or vice president for extension will send his or her 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 November 20. 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 tenure 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 tenure and 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.

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 award tenure to the Board of Trustees prior to the April Board of Trustees meeting. The president shall inform the candidate in writing upon approval of tenure by the Board of Trustees. The academic dean or vice president for extension, department head or supervisor, tenure advisory committee, and, where appropriate, the chancellor or regional campus dean, will also be notified of the action.

The president shall notify the provost, director (where applicable), academic dean or vice president for extension, department head or supervisor, tenure 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. For candidates in their third year, the deadline is 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, academic dean, vice president for extension, and, where appropriate, the chancellor or regional campus dean, to discuss the candidacy and the decision.

7.3 Exceptional Procedure

(1) Administrative nominations for tenure.

The department head or supervisor, academic dean, 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 shall be referred to the tenure advisory committee for consideration and all procedures of policy 4004.6 and 4004.7.2 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.

4004.8 PROCEDURES SPECIFIC TO THE PROMOTION PROCESS

8.1 Faculty without Tenure

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

Instructors, affiliate librarians, extension instructors, and professional career and technical instructors, shall be promoted to the ranks of assistant professor, assistant librarian, extension assistant professor, professional career and technical education assistant professor, respectively, once the criteria in 4004.2.1, 4004.3.1, 4004.4, or 4004.5.1 have been met.

(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 shall be promoted to the ranks of associate professor, associate librarian, extension associate professor, and professional career and technical education associate professor, respectively when tenure is granted.

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 the 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.

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 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.

Within 30 days after any meeting with the faculty member to discuss promotion (but not the evaluation meeting in 4004.8.3), 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 associate vice president at a statewide campus.

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 associate vice president at a statewide campus, provost, or president may propose promotion. Such a proposal shall be referred to the promotion advisory committee for consideration and all procedures of 4004.8.3 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, academic dean or vice president of extension, and where appropriate, the associate vice president of the statewide campus, no later than 30 days following the meeting with the promotion advisory committee.

8.3 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 4004.6.5. 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. The letter is to be prepared by the chair of the committee, presenting the committee's decision, and is to be signed by the committee, and sent to the department head or supervisor prior to December 1. Minority positions, if any, may be documented in separate letters. A copy of the tenure 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 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 4004.6.5. 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.

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.

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.

4004.9 TERM APPOINTMENTS: ELIGIBILITY

Only individuals holding ranks as defined in policy 4000.4 are eligible for term appointments.

4004.10 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.

Teaching includes all forms of instructional activities: classroom performance, mentoring students inside and outside the classroom, student advising, clinical supervision, thesis and dissertation direction, and curriculum development. Evidence supporting teaching performance must include student and peer evaluations where appropriate, and may include, but is not restricted to: proficiency in curriculum development as demonstrated through imaginative or creative use of up-to-date 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 or outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, 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; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; invited lectures or panel participation.

(2) Research or Creative Endeavors.

Research encompasses a wide variety of scholarly activities that lead to the advancement of knowledge. Evidence supporting such activities must include peer recognition of their value and may include, but is not restricted to: publication of books, monographs, or articles in peer-reviewed media; invitations to participate in symposia and to write chapters in state-of-the-art review volumes; engaged scholarship; and success in competition for extramural funding.

(3) Service (applicable to all ranks).

Although service activities are vital to the mission of the university, they are not expected to constitute a major percentage of his or her role statement for term appointment faculty. Service activities include: membership in, and leadership of, departmental, college, and university committees and organizations; committee participation in regional and national professional organizations; consulting activities in local, regional, national, and international, organizations and agencies; public speaking and/or education involving professional expertise; engagement in local communities.

10.2 Criteria for Promotion Beyond the Penultimate Rank

In addition to the criteria for promotion to the penultimate ranks, further promotion shall require an established reputation for excellence in teaching, and/or research and service, according to the role statement. Excellence is to be judged by national standards within the professional peer group.

10.3 Promotion of Faculty with Term Appointment

Faculty with term appointments may request promotion to the next highest rank at any time.

4004.11 TERM APPOINTMENT: GENERAL PROCEDURES FOR PROMOTION**11.1 Role Statement and Role Assignments**

A role statement will be prepared by the department head or supervisor, agreed upon between the department head or supervisor and the faculty member at the time he or she accepts an appointment, and approved by the academic dean and the provost and, where applicable, the chancellor, vice president for extension or regional campus dean. In determining the role statement, consideration shall be given to all forms of professional service (policy 4003.1.2). Role statements provide the medium by which the assigned duties of the faculty member are described and by which administrators and promotion evaluation committees can judge a faculty member with regard to his or her performance. 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 annually and shall be revised as needed. The process of revision may be initiated by either the faculty member or the department head or supervisor. Any revision of the role statement 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 or regional campus 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 committees. 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 or regional campus dean, and the members of the tenure and/or promotion advisory committee.

Some academic units 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 services 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.

11.2 Promotion Advisory Committee

(1) When a faculty member with term appointment is hired, the department head or supervisor shall, in mutual agreement with the faculty member, the academic dean or vice president for extension, appoint a promotion advisory committee. The committee shall consist of at least five faculty members who have higher rank than does the candidate for promotion, a majority of whom are tenured, at least one of whom is a faculty member with a term appointment of higher rank than the candidate, and at least one member shall be chosen from outside of the academic unit. Neither the Department Head nor supervisor may serve as the chair of the committee or as a member of the committee. The department head or supervisor shall appoint a chair of the committee other than themselves. The promotion advisory committee shall be appointed no later than the fall semester of the first year following the faculty member's hire date and the committee will meet at this time. The committee will meet annually during fall semester, at the faculty member's request, until promotion occurs. Should there be fewer than five qualified faculty members in the academic unit, the department head or supervisor shall, in mutual agreement with the faculty member, the academic dean, or vice president for extension, fill the vacancies with qualified faculty members from closely related academic units. The department head or supervisor may, with the approval of the academic dean or vice president for extension, and, replace members of the promotion advisory committee provided that this is done 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.

(2) In no more than three years following initial promotion to the next academic rank, the department head or supervisor will ensure a promotion advisory committee is in place or form a new one adhering to the process described in 4004.11.2, to advise the faculty member in regard to aspects of promotion to the next academic rank. After the first meeting, subsequent meetings will be held at the request of the faculty member to provide counsel and guidance on promotion to the next academic rank. The promotion advisory committee shall meet at any time upon request of the faculty member, and in no case, later than the third year following the most recent promotion.

All promotion advisory committee members, including the faculty member, shall participate in all committee meetings, either physically or by electronic conferencing. An ombudsperson must be present in person or by electronic conferencing. At each meeting the promotion advisory committee will ensure that the faculty member has an up-to-date and duly signed role statement. The committee will discuss with the faculty member their performance relative to their role statement in the context of meeting criteria required for achieving promotion to the next academic rank, the promotion advisory committee shall 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 will be reviewed for promotion.

Within 30 days after any meeting with the faculty member and their promotion advisory committee, the committee chair shall 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 ombudsperson shall read and sign the final draft of the report. The report will then be sent to the faculty member and their department head or supervisor, the academic dean or vice president for extension.

11.3 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 promotion advisory committee. The file should include thorough documentation of all domains of professional service, in accord with the role statement.

Any other written statements, from whatever source, which are 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 before the promotion advisory committee's meeting. The candidate is entitled to review this supplementary material upon request, with the exception of peer review letters designated confidential by the author(s). 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 promotion advisory committee.

11.4 Events During the Year in which a Promotion Decision is to be Made

(1) External peer reviews

Prior to September 15, the department head or supervisor will make a single solicitation of letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If less than four letters arrive, additional letters will be solicited to attain the minimum of four letters. The reviewers must be external to the university and must be respected in their fields. 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 candidate's list. 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 drafted by the department head or supervisor, with final drafts 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 reviewer should be asked to state at the very least the nature of his or her acquaintance with the candidate, and to evaluate the candidate's work, recognition, and standing among his or her peers. Copies of these letters will become supplementary material to the candidate's file. The external review process is not required for those seeking promotion in the lecturer ranks.

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 by the promotion advisory committee.

The promotion advisory committee shall review and evaluate the candidate for a promotion, based on the information in his or her file including external peer reviews where applicable. An ombudsperson must be present in person or by electronic conferencing at all meetings of the promotion advisory committee in accordance with policy 4004.6.5. The committee shall make a decision with respect to its recommendation for promotion by a recorded vote. 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. The letter is to be prepared by the chair of the committee, presenting the committee's decision, and is to be signed by the committee and sent to the department head or supervisor prior to December. Minority views, if any, may be documented in separate letters. A copy of the promotion 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 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 policy 4004.6.5. 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 by the academic dean, or vice president for extension, and, where applicable, the chancellor or regional campus dean.

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. The academic dean, vice president for extension, chancellor, or regional campus dean may convene an ad hoc advisory committee to review promotion recommendations for faculty with term appointments. The members of this committee shall not have appointments that are primarily administrative, including that of department head or supervisor. The majority of the committee members shall be tenured. The academic dean or vice president for extension, chancellor, or regional campus dean shall chair the committee.

(5) Further evaluation and recommendation.

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 a promotion no later than April 15. For candidates in their third year, the deadline is December 10th.

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

11.5 Exceptional Procedures

The department head or supervisor, academic dean or vice president for extension, and, where appropriate, chancellor, or regional campus dean, provost or president may propose the granting of a promotion for a term appointment faculty member. Such a proposal shall be referred to the promotion advisory committee for consideration.

4004.12 REVIEW OF FACULTY

There is one additional review of faculty performance other than those for tenure-eligible faculty and for promotion. This annual review shall be used for evaluation of faculty for salary adjustments and for term appointment renewal, and for post-tenure review of tenured faculty.

Tenure (see Section 4004.1) is a means to certain ends, specifically; freedom of teaching, research and other academic endeavors, and a sufficient degree of economic security to make the profession attractive to men and women of ability. Academic freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligation to its students and to society. With tenure comes professional responsibility, the obligation conscientiously and competently to devote one's energies and skills to the teaching, research, extension and service missions of the university. A central dimension of academic freedom is the exercise of professional judgment in such matters. The intent of post-tenure review is to support the principles of academic freedom and tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that

every faculty member continues to experience professional development and accomplishment during the various phases of his or her career. Useful feedback should include tangible recognition to those faculty who have demonstrated high or improved performance. It is also the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers.

12.1 Annual Review of Faculty

In the spirit of shared governance, the faculty (as defined in 4000.3 and 4000.4) and department head of each department shall work together in consultation with the dean to establish procedures by which all faculty shall be reviewed annually. During fall, semester in preparation for spring annual reviews, 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 shall encompass a multi-year window of performance that covers a five-year span (to meet the requirements of post-tenure review for tenured faculty). Such reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position.

The department head or supervisor shall 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 shall be sent to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean. 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 (4004.7.1 (3)) may not serve as a substitute for this annual review letter for salary adjustment. For faculty with term appointments, the annual review shall also include a recommendation regarding renewal of the term appointment.

12.2 Five Year Post-Tenure Review of Tenured Faculty

Following the granting of tenure, faculty will undergo an in-depth post-tenure review every five years, henceforth referred to as a Post-Tenure Review. Post-Tenure Review will be conducted by a college Peer Review Committee (PRC). The PRC will conduct its first Post-Tenure Review in the fall of the faculty member's sixth year after the granting of tenure and subsequently every five years in the fall semester. Faculty members up for Post-Tenure Review will be notified on or before the first day of classes for the fall semester of the year in which they will be reviewed. The basic standard for the post-tenure review will be whether the faculty member under review has demonstrated effectiveness in all areas of the role statement in the previous five years. A PRC will conduct a Post-Tenure Review regardless of whether the department head or supervisor determines the faculty member has demonstrated effectiveness in all areas of the role statement.

The Post-Tenure Review is a comprehensive review of the tenured faculty member's performance over the previous five years. The criteria for such review will include multiple indices, and be discipline-and role-specific, as appropriate, to evaluate:

- a. The quality of student teaching and mentoring;
- b. The quality of scholarly and creative performance, research productivity, Extension, and librarianship;
- c. Service to the institution, profession, or community; and
- d. Intellectual property owned wholly or partly by, or commercialization efforts attributed to, the faculty member if applicable.;

Materials submitted must include:

- a. Role statement
- b. Current CV;
- c. Teaching assessments, including student evaluations for all courses taught and any collegial and administrative assessments;
- d. Annual performance reviews over the previous five years;

- e. Any improvement plans for underperformance, if applicable; and
- f. Findings of non-compliance with the institution's policies regarding the responsibilities and ethical obligations of faculty members, if applicable.

Optional materials may include:

- a. Professional materials the faculty member deems necessary and indicative of performance in their specific role; and
- b. Additional materials that the department head or supervisor deems necessary and pertinent to the PRC's review

Faculty members are responsible for providing the above materials, with the exception of materials to be provided by the department head or supervisor as outlined above.

12.2.1 Formation of Peer Review Committee

12.2.1.1 College Peer Review Committee Pool

Each department with tenured faculty will nominate two tenured faculty members to serve a two-year term as part of a Post Tenure Review Pool. The appropriate dean or Vice President for Extension will approve membership of the Post Tenure Review Pool.

12.2.1.2 Composition of Peer Review Committee

A PRC will consist of at least five members. The appropriate dean or Vice President for Extension will select at least four PRC members from the College Post Tenure Review Pool. At least two members will be appointed from a different department than the tenured faculty member going through post-tenure review and at least one from the faculty member's department. One PRC member will be the Provost or the Provost's designee. The PRC members will appoint a chair. The faculty member's direct supervisor cannot be part of the PRC. PRC members who have a conflict of interest must recuse themselves from the committee.

Colleges may choose to form multiple PRCs from the Post Tenure Review Pool.

12.2.1.3 Meeting of the Peer Review Committee

The faculty member under review will receive advanced notice of the date of their Post-Tenure Review PRC meeting from their department head or supervisor. The PRC must receive all materials to be considered fourteen days prior to the PRC meeting. All submitted materials will be shared with the faculty member and department head. The PRC will meet to discuss their evaluation of the faculty member's performance. At this meeting, the department head or supervisor and the faculty member will be allowed to make oral presentations to the committee, if they choose. The appropriate dean or Vice President for Extension will appoint an ombudsperson to attend PRC meetings.

12.2.1.4 Report and Recommendation of Peer Review Committee

Within 14 days after completion of its review, the PRC will provide a written report summarizing the committee's determination of whether the faculty member under review has, or has not, demonstrated effectiveness in all areas of their role statement. PRC determinations will be by majority vote. In the case of a negative determination, the written report will include findings and rationale for the committee's determination. The PRC will provide the written report to the faculty member and the faculty member's department head or supervisor and dean or the Vice President for Extension.

If the PRC determines that the faculty member under review is meeting the basic standard of performance, no further action is required.

If the PRC determines that the faculty member under review is not meeting the basic standard of performance, a professional development plan (PDP) will be initiated as outlined in Section 4004.12.3 below.

12.3 Professional Development Plan (PDP)

A determination by a PRC that a faculty member is not demonstrating effectiveness in all areas of their role statement will result in a mandatory PDP to help the faculty member more fully meet role expectations. Within 14 days after receiving the PRC's report, the department head or supervisor will draft a PDP addressing the deficiencies identified by the PRC and including a timeline by which the tenured faculty member is expected to address them.

The PRC will have 14 days to review the PDP to assess its appropriateness relative to achieving the outcome of improved performance by the faculty member. The faculty member can provide feedback regarding the PDP to the PRC prior to their review. The PRC may recommend revisions of the PDP to the department head or supervisor for their consideration. The PRC's review and recommendations for revision of the PDP will be shared with the faculty member. The dean or Vice President for Extension is responsible for final review and approval of the PDP. Once a PDP has been finalized, a copy will be provided to the faculty member, dean, or Vice President for Extension. The final PDP will be signed by the faculty member for acknowledgment of receipt and the department head or supervisor and the dean or the Vice President for Extension.

12.3.1 Elements of the Professional Development Plan

The PDP must:

- a. state the faculty member's performance deficiencies identified by the PRC;
- b. define specific goals or outcomes needed to remedy the identified deficiencies;
- c. outline activities necessary to achieve desired outcomes and goals;
- d. establish a timeline for implementing and monitoring the activities and achieving PDP goals or outcomes;
- e. establish criteria for progress reviews and the evaluation of outcomes;
- f. identify any institutional commitments in the PDP; and
- g. articulate expectations of continued performance at conclusion of the PDP.

12.3.2 Professional Development Plan Progress Reviews

The faculty member will meet with the department head or supervisor, at times stipulated in the PDP, to monitor progress toward accomplishment of the goals or outcomes included in the PDP. The department head or supervisor will, at the conclusion of the PDP, evaluate whether the faculty member successfully addressed the goals or outcomes described in the PDP, consistent with the criteria established by the PDP. The department head or supervisor will meet with the faculty member to review their evaluation. Within fourteen days after meeting with the faculty member, the department head or supervisor will provide a written report of their evaluation and recommendation to the faculty member and the dean or the Vice President for Extension. In the event the faculty member disagrees with the department head's evaluation, the faculty member may submit a separate report to the dean or Vice President for Extension. The dean or Vice President for Extension will make a final determination on whether the faculty member has successfully addressed the goals or outcomes described in the PDP. For meetings held between the department head or supervisor and faculty member to discuss the evaluation, the faculty member or department head or supervisor may request the presence of an ombudsperson in accordance with Section 4004.6.5, Ombudspersons.

12.3.3 Failure to Successfully Address a Performance Development Plan

If the deficiencies identified in the PDP have not been successfully addressed within the timeline prescribed in the PDP, the faculty member may be subject to further action, up to and including sanctions under USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures.

12.4 Academic Process

Evaluations, conducted pursuant to Policy 4006, 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 (4004.12.3.(3)) by the review committee (4004.12.2), then other nonpunitive measures should be considered in lieu of a sanction as per policy 4006.1.1. The standard for sanction (policy 4006.2) remains that of adequate cause, namely conduct contrary to the standards set forth in policy 4002. Successive negative reviews do not in any way diminish the obligations of the university to show such adequate cause pursuant to policy 4006.4.

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.

POLICY HISTORY

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University Policy 4004: Tenured and Term Appointments: Evaluation, Promotion and Retention

Category: Academic Affairs

Subcategory: Faculty Code

Covered Individuals: ~~All University~~ Faculty

Responsible Executive: President

Policy Custodian: Office of the Provost [and Executive Vice President](#), Executive Vice President and Provost

Last Revised: ~~2021/07/01~~ [2026/MM/DD](#)

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TENURE: INTRODUCTION, RIGHTS CONFERRED, ELIGIBILITY, PRE-TENURE PROBATIONARY PERIOD

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 an asset to the institution because of his or her abilities as a scholar, a teacher, a researcher, a librarian, an extension faculty member, 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 tenure and/or promotion.

Tenure is a means 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 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.

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 dismissal or reduction in rank, except as defined in policy 4006, and is not subject to termination or reduction in status except as defined in policy 4005 or policy 4006.5. Tenure is established only in an academic unit as defined in policy 4000.2.2. 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 policy 4000.3 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 their advancement to the 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. Appointments to all administrative positions are without significance for the achievement of tenure. Administrators with faculty status positions hold their tenure 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 (policy 4000.3.1). All provisions of this policy apply to such part-time faculty. 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 or more academic units, the unit in which tenure is to be awarded must be specified in writing by the department head or supervisor at the time of appointment.

1.4 Pre-tenure probationary period

Normal Period.

The normal pre-tenure probationary period shall be six years. In general, the tenure-track faculty member is eligible for promotion and tenure review in the sixth year from the calendar year in which he or she is appointed. The seventh year is not a probationary year; it is either a year that commences tenure status or a year of employment under a terminal contract.

When the effective date of a tenure-eligible faculty appointment falls between July 1 and December 31, the academic year (policy 4003.2) 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 sign a statement that records the final date for tenure consideration for the faculty member. This document shall be signed and approved by the department head or supervisor, academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, and the provost.

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. The agreement must be specified in writing and approved by the department head or supervisor, academic dean and the provost, and, where appropriate, the vice president for extension, chancellor, or regional campus dean.

(3) 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 or regional campus 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.

(4) 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 or regional campus 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.

(5) 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 vice president for extension, and, where applicable, the chancellor or regional campus dean, the president may recommend the granting of tenure to a faculty member at any time.

(6) Transfers.

A tenure-eligible faculty member who transfers permanently from one academic unit to another 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 service completed 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 vice president for extension, and, where applicable, the chancellor or regional campus dean, and the provost.

(7) Effective Date.

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

TENURE AND PROMOTION: CRITERIA FOR CORE FACULTY RANKS

2.1 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. Promotion to assistant professor requires completion of the terminal degree or its equivalent; demonstrated ability in teaching, research or creative endeavors, extension, professional career and technical education, or other qualifying work; evidence of scholastic promise; and evidence of progressive professional development (policy 4000.3.2(2)).

2.2 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 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 emphasis 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 performs, and must present evidence of excellence in the major emphasis of his or her role statement.

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 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 role statement (policies 4000.3.2(3) and 4004.2.1). Excellence is measured by standards for associate professors within the national professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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, 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; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; and invited lectures or panel participation.

(2) 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 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; effective community engagement as part of the effort, 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.

(3) 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; effective community engagement; 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.

(4) 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.

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

Faculty members who are qualified for initial appointments at the ranks of associate professor or professor may be appointed without tenure. The criteria for the award of tenure are the same as those in 4004.2.2 above. 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, or the regional campus 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 4004.2.2), 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.

TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS

3.1 Criteria for Promotion from Affiliate Librarian to Assistant Librarian

Faculty members will be initially appointed to the rank of affiliate librarian when they have not completed a master's degree in library and information science from an institution accredited by the American Library Association or a relevant master's degree but have demonstrated ability in accordance with the role statement. Promotion to assistant librarian requires a master's degree in library and information science from an institution accredited by the American Library Association or a relevant postgraduate degree and demonstrated ability in accordance with the role statement.

3.2 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 her role as defined by the role statement. Although librarians are expected to carry out the major university functions of librarianship, research and creative endeavors, and service, individual emphasis 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 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, scholarship, 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 role statement (policy 4003.3(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:

(1) 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.

(2) 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, inventions and other intellectual property; community engaged scholarship; 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.

(3) 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; effective community engagement; 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.

(4) 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.

3.3 Initial Appointment at the Associate Librarian or Librarian Ranks without Tenure

Librarians who are qualified for initial appointments at the ranks of associate librarian or librarian may be appointed 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 or regional campus dean, and the provost.

3.4 Criteria for Promotion from Associate Librarian to Librarian

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 4004.3.2), 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.

TENURE AND PROMOTION: CRITERIA FOR FACULTY WITH EXTENSION RANKS**4.1 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 degree appropriate for extension faculty, but have met all other criteria for appointment to the rank of extension assistant professor. Promotion to extension assistant professor requires completion of the terminal degree appropriate for extension faculty or its equivalent; demonstrated ability in teaching and development of programs relevant to the identified population; evidence of scholastic promise; and evidence of professional development.

4.2 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 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 performs and must present evidence of excellence in the major emphasis of his or her role statement.

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, 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 role statement (4000.3.4; 4004.1). Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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.

(2) 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.

(3) 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.

4.3 Initial Appointment at the Extension Associate Professor or Extension Professor Ranks without Tenure

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 without tenure.

The criteria for the award of tenure are the same as those in 4004.4.2 above. 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, vice president of extension, and the provost.

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.

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

5.1 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 years of applicable work experience at the journeyman level. Up to three years of academic training from an accredited college may be substituted for up to three 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 years full-time teaching experience at an accredited college and evidence of progressive professional development.

5.2 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 her 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 emphasis 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 she performs and must present evidence of excellence in the major emphasis of his or her role statement.

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 role statement. Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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, 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; 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.

(2) 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 Initial Appointment at the Professional Career and Technical Education Associate Professor or Professional Career and Technical Education Professor Ranks without Tenure

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 without tenure. The criteria for the award of tenure are the same as those in 5.2 above. 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 chancellor or regional campus dean, and the provost.

5.4 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.

4004. 6 TENURE, PROMOTION AND REVIEW: GENERAL PROCEDURES

6.1 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 he or she accepts an appointment, as indicated by their signatures. The role statement should also be, approved by the academic dean and the provost and where applicable, the chancellor, vice president for extension or regional campus dean, prior to the faculty member's signature, and then signed by the academic dean, and the chancellor, vice president for extension or regional campus dean where applicable. The role statement shall include percentages for each area of professional domains (4003.1.2). 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, or regional campus 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 or regional campus 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 or regional campus 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.

6.2 Advisory Committees

(1) Tenure advisory committee (TAC).

For each new tenure-eligible faculty member who is appointed, the faculty member's department head or supervisor shall, in consultation with the faculty member and with the approval of the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus 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 consist of at least five members, one 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, vice presidents, or chancellors (where applicable) appointed without tenure.

The tenure advisory committee members shall 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 faculty members in the academic unit with higher rank than the candidate, then the department head or supervisor shall, in consultation with the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. The department head or supervisor of the candidate shall 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 fill vacancies on the committee. In consultation with the faculty member, academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus 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 vice president for extension, and, where appropriate, the chancellor or regional campus 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 recommend (a) to renew the appointment or (b) not to renew the appointment (4006.2.1(5)). In the final year of the pre-tenure probationary period, the committee shall recommend (a) awarding promotion and tenure or (b) denying promotion and tenure (4006.2.1(5)). 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 Section 4004.7.3(1) of the USU Policy Manual. Under those circumstances, the TAC shall recommend (a) to award promotion and tenure or (b) to continue the pre-tenure probationary period.

(2) 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 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 or regional campus 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 or regional campus 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 is being considered for promotion, the provost shall appoint the promotion advisory committee.

6.3 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.

6.4 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.

6.5 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 4000.2.1) 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.

4004.7 PROCEDURES SPECIFIC TO THE TENURE PROCESS

7.1 Annual Event

(1) Meetings of the tenure advisory committee.

An initial meeting of the committee shall 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 policy 4004.6.5. All tenure advisory committee members shall participate interactively in all committee meetings, either physically or by electronic conferencing, at the appointed date and time.

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

After the initial meeting, the tenure advisory committee shall meet with the candidate at least 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 4004.6.5. The committee will submit, each year, a written report to the department head or supervisor. This report shall be submitted by December 1 for first-year and second-year appointees, by October 26 for third-year appointees, and by December 1 during subsequent years. Except in the year in which the tenure decision must be made, the report shall 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 also contain a recommendation regarding the renewal or nonrenewal of the appointment (4004.6.2(1); 4006.7).

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

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

The department head or supervisor shall, 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 4004.6.5. Subsequently, the department head or supervisor shall submit in writing to the academic dean, or vice president for extension, chancellor or regional campus 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 nonrenewal of the appointment of the faculty member. This report shall be submitted by December 18 for first- year and second-year appointees, by November 10 for third-year

appointees, and by December 18 during subsequent years. Copies will be provided to the candidate and the tenure advisory committee. A copy shall be placed in the candidate's file.

7.2 Additional Events During the Year in which a Tenure Decision is to be Made

(1) External peer reviews.

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 September 15, the department head or supervisor will make a solicitation of 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 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 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 reviewer. 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 files, as determined by the Tenure Advisory Committee and Department Head. If a candidate believes that their disciplines 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 may be asked to submit additional names if it is decided that the nature of the candidate's acquaintance with the potential reviewers might prevent the reviewer from making an objective evaluation. 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 tenure advisory committee shall 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 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 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 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 4004.6.3).

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 tenure advisory committee.

The tenure advisory committee shall review and evaluate the candidate for tenure, based on the information in his or her file including external peer reviews. The committee shall make a decision with respect to its tenure recommendation by a majority vote and the names of those for and against shall be recorded. The committee members 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. 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 December 1, except that for third-year appointees the date is October 26. Minority positions, if any, may be documented in separate letters. A copy of the tenure 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 tenure advisory committee, the department head or supervisor shall 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 policy 4004.6.5. The recommendations of the department head or supervisor and the tenure 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, except that for third-year appointees the date is November 10. A copy of the department head or supervisor's letter shall be provided to the tenure 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.

The academic dean or vice president for extension will send his or her 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 November 20. 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 tenure 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 tenure and 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.

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 award tenure to the Board of Trustees prior to the April Board of Trustees meeting. The president shall inform the candidate in writing upon approval of tenure by the Board of Trustees. The academic dean or vice president for extension, department head or supervisor, tenure advisory committee, and, where appropriate, the chancellor or regional campus dean, will also be notified of the action.

The president shall notify the provost, director (where applicable), academic dean or vice president for extension, department head or supervisor, tenure 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. For candidates in their third year, the deadline is 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, academic dean, vice president for extension, and, where appropriate, the chancellor or regional campus dean, to discuss the candidacy and the decision.

7.3 Exceptional Procedure

(1) Administrative nominations for tenure.

The department head or supervisor, academic dean, 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 shall be referred to the tenure advisory committee for consideration and all procedures of policy 4004.6 and 4004.7.2 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.

4004.8 PROCEDURES SPECIFIC TO THE PROMOTION PROCESS

8.1 Faculty without Tenure

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

Instructors, affiliate librarians, extension instructors, and professional career and technical instructors, shall be promoted to the ranks of assistant professor, assistant librarian, extension assistant professor, professional career and technical education assistant professor, respectively, once the criteria in 4004.2.1, 4004.3.1, 4004.4, or 4004.5.1 have been met.

(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 shall be promoted to the ranks of associate professor, associate librarian, extension associate professor, and professional career and technical education associate professor, respectively when tenure is granted.

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 the 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.

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 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.

Within 30 days after any meeting with the faculty member to discuss promotion (but not the evaluation meeting in 4004.8.3), 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 associate vice president at a statewide campus.

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 associate vice president at a statewide campus, provost, or president may propose promotion. Such a proposal shall be referred to the promotion advisory committee for consideration and all procedures of 4004.8.3 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, academic dean or vice president of extension, and where appropriate, the associate vice president of the statewide campus, no later than 30 days following the meeting with the promotion advisory committee.

8.3 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 4004.6.5. 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. The letter is to be prepared by the chair of the committee, presenting the committee's decision, and is to be signed by the committee, and sent to the department head or supervisor prior to December 1. Minority positions, if any, may be documented in separate letters. A copy of the tenure 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 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 4004.6.5. 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.

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.

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.

4004.9 TERM APPOINTMENTS: ELIGIBILITY

Only individuals holding ranks as defined in policy 4000.4 are eligible for term appointments.

4004.10 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.

Teaching includes all forms of instructional activities: classroom performance, mentoring students inside and outside the classroom, student advising, clinical supervision, thesis and dissertation direction, and curriculum development. Evidence supporting teaching performance must include student and peer evaluations where appropriate, and may include, but is not restricted to: proficiency in curriculum development as demonstrated through imaginative or creative use of up-to-date 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 or outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, 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; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; invited lectures or panel participation.

(2) Research or Creative Endeavors.

Research encompasses a wide variety of scholarly activities that lead to the advancement of knowledge. Evidence supporting such activities must include peer recognition of their value and may include, but is not restricted to: publication of books, monographs, or articles in peer-reviewed media; invitations to participate in symposia and to write chapters in state-of-the-art review volumes; engaged scholarship; and success in competition for extramural funding.

(3) Service (applicable to all ranks).

Although service activities are vital to the mission of the university, they are not expected to constitute a major percentage of his or her role statement for term appointment faculty. Service activities include: membership in, and leadership of, departmental, college, and university committees and organizations; committee participation in regional and national professional organizations; consulting activities in local, regional, national, and international, organizations and agencies; public speaking and/or education involving professional expertise; engagement in local communities.

10.2 Criteria for Promotion Beyond the Penultimate Rank

In addition to the criteria for promotion to the penultimate ranks, further promotion shall require an established reputation for excellence in teaching, and/or research and service, according to the role statement. Excellence is to be judged by national standards within the professional peer group.

10.3 Promotion of Faculty with Term Appointment

Faculty with term appointments may request promotion to the next highest rank at any time.

4004.11 TERM APPOINTMENT: GENERAL PROCEDURES FOR PROMOTION**11.1 Role Statement and Role Assignments**

A role statement will be prepared by the department head or supervisor, agreed upon between the department head or supervisor and the faculty member at the time he or she accepts an appointment, and approved by the academic dean and the provost and, where applicable, the chancellor, vice president for extension or regional campus dean. In determining the role statement, consideration shall be given to all forms of professional service (policy 4003.1.2). Role statements provide the medium by which the assigned duties of the faculty member are described and by which administrators and promotion evaluation committees can judge a faculty member with regard to his or her performance. 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 annually and shall be revised as needed. The process of revision may be initiated by either the faculty member or the department head or supervisor. Any revision of the role statement 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 or regional campus 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 committees. 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 or regional campus dean, and the members of the tenure and/or promotion advisory committee.

Some academic units 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 services 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.

11.2 Promotion Advisory Committee

(1) When a faculty member with term appointment is hired, the department head or supervisor shall, in mutual agreement with the faculty member, the academic dean or vice president for extension, appoint a promotion advisory committee. The committee shall consist of at least five faculty members who have higher rank than does the candidate for promotion, a majority of whom are tenured, at least one of whom is a faculty member with a term appointment of higher rank than the candidate, and at least one member shall be chosen from outside of the academic unit. Neither the Department Head nor supervisor may serve as the chair of the committee or as a member of the committee. The department head or supervisor shall appoint a chair of the committee other than themselves. The promotion advisory committee shall be appointed no later than the fall semester of the first year following the faculty member's hire date and the committee will meet at this time. The committee will meet annually during fall semester, at the faculty member's request, until promotion occurs. Should there be fewer than five qualified faculty members in the academic unit, the department head or supervisor shall, in mutual agreement with the faculty member, the academic dean, or vice president for extension, fill the vacancies with qualified faculty members from closely related academic units. The department head or supervisor may, with the approval of the academic dean or vice president for extension, and, replace members of the promotion advisory committee provided that this is done 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.

(2) In no more than three years following initial promotion to the next academic rank, the department head or supervisor will ensure a promotion advisory committee is in place or form a new one adhering to the process described in 4004.11.2, to advise the faculty member in regard to aspects of promotion to the next academic rank. After the first meeting, subsequent meetings will be held at the request of the faculty member to provide counsel and guidance on promotion to the next academic rank. The promotion advisory committee shall meet at any time upon request of the faculty member, and in no case, later than the third year following the most recent promotion.

All promotion advisory committee members, including the faculty member, shall participate in all committee meetings, either physically or by electronic conferencing. An ombudsperson must be present in person or by electronic conferencing. At each meeting the promotion advisory committee will ensure that the faculty member has an up-to-date and duly signed role statement. The committee will discuss with the faculty member their performance relative to their role statement in the context of meeting criteria required for achieving promotion to the next academic rank, the promotion advisory committee shall 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 will be reviewed for promotion.

Within 30 days after any meeting with the faculty member and their promotion advisory committee, the committee chair shall 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 ombudsperson shall read and sign the final draft of the report. The report will then be sent to the faculty member and their department head or supervisor, the academic dean or vice president for extension.

11.3 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 promotion advisory committee. The file should include thorough documentation of all domains of professional service, in accord with the role statement.

Any other written statements, from whatever source, which are 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 before the promotion advisory committee's meeting. The candidate is entitled to review this supplementary material upon request, with the exception of peer review letters designated confidential by the author(s). 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 promotion advisory committee.

11.4 Events During the Year in which a Promotion Decision is to be Made

(1) External peer reviews

Prior to September 15, the department head or supervisor will make a single solicitation of letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If less than four letters arrive, additional letters will be solicited to attain the minimum of four letters. The reviewers must be external to the university and must be respected in their fields. 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 candidate's list. 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 drafted by the department head or supervisor, with final drafts 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 reviewer should be asked to state at the very least the nature of his or her acquaintance with the candidate, and to evaluate the candidate's work, recognition, and standing among his or her peers. Copies of these letters will become supplementary material to the candidate's file. The external review process is not required for those seeking promotion in the lecturer ranks.

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 by the promotion advisory committee.

The promotion advisory committee shall review and evaluate the candidate for a promotion, based on the information in his or her file including external peer reviews where applicable. An ombudsperson must be present in person or by electronic conferencing at all meetings of the promotion advisory committee in accordance with policy 4004.6.5. The committee shall make a decision with respect to its recommendation for promotion by a recorded vote. 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. The letter is to be prepared by the chair of the committee, presenting the committee's decision, and is to be signed by the committee and sent to the department head or supervisor prior to December. Minority views, if any, may be documented in separate letters. A copy of the promotion 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 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 policy 4004.6.5. 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 by the academic dean, or vice president for extension, and, where applicable, the chancellor or regional campus dean.

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. The academic dean, vice president for extension, chancellor, or regional campus dean may convene an ad hoc advisory committee to review promotion recommendations for faculty with term appointments. The members of this committee shall not have appointments that are primarily administrative, including that of department head or supervisor. The majority of the committee members shall be tenured. The academic dean or vice president for extension, chancellor, or regional campus dean shall chair the committee.

(5) Further evaluation and recommendation.

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 a promotion no later than April 15. For candidates in their third year, the deadline is December 10th.

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

11.5 Exceptional Procedures

The department head or supervisor, academic dean or vice president for extension, and, where appropriate, chancellor, or regional campus dean, provost or president may propose the granting of a promotion for a term appointment faculty member. Such a proposal shall be referred to the promotion advisory committee for consideration.

4004.12 REVIEW OF FACULTY

There is one additional review of faculty performance other than those for tenure-eligible faculty and for promotion. This annual review shall be used for evaluation of faculty for salary adjustments and for term appointment renewal, and for post-tenure review of tenured faculty.

Tenure (see Section 4004.1) is a means to certain ends, specifically; freedom of teaching, research and other academic endeavors, and a sufficient degree of economic security to make the profession attractive to men and women of ability. Academic freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligation to its students and to society. With tenure comes professional responsibility, the obligation conscientiously and competently to devote one's energies and skills to the teaching, research, extension and service missions of the university. A central dimension of academic freedom is the exercise of professional judgment in such matters. The intent of post-tenure review is to support the principles of academic freedom and tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that

every faculty member continues to experience professional development and accomplishment during the various phases of his or her career. Useful feedback should include tangible recognition to those faculty who have demonstrated high or improved performance. It is also the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers.

12.1 Annual Review of Faculty

In the spirit of shared governance, the faculty (as defined in 4000.3 and 4000.4) and department head of each department shall work together in consultation with the dean to establish procedures by which all faculty shall be reviewed annually. During fall, semester in preparation for spring annual reviews, 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 shall encompass a multi-year window of performance that covers a five-year span (to meet the requirements of post-tenure review for tenured faculty). Such reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position.

The department head or supervisor shall 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 shall be sent to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean. 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 (4004.7.1 (3)) may not serve as a substitute for this annual review letter for salary adjustment. For faculty with term appointments, the annual review shall also include a recommendation regarding renewal of the term appointment.

12.2 Five Year Post-Tenure Review of Tenured Faculty

~~Beginning the year after a faculty member's tenure or post-tenure decision, the annual review process (4004.12.1) shall also provide formal assessment on the post-tenure performance of tenured faculty. The review will be discipline and role specific, as appropriate to evaluate post-tenure performance. The basic standard for post-tenure review shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position as specified in the role statement. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. The criteria for the award of tenure or promotion to the most senior ranks shall not be employed for the review of the tenured faculty.~~

~~To fulfill this requirement, and beginning no earlier than 5 years after a faculty member is promoted or awarded tenure, the department head or supervisor will be required in writing to 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 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 (4004.12.1) 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 4004.6.5.~~

~~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 section 12.4.~~

~~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.~~

Following the granting of the tenure, faculty will undergo an in-depth post-tenure review every five years, henceforth referred to as a Post-Tenure Review. Post-Tenure Review will be conducted by Every five years, a college Peer Review Committee (PRC). -will conduct an in-depth review of each tenured faculty member in their department, henceforth referred to as a Post-Tenure Review. The PRC will conduct its first Post-Tenure Review in the fall of the faculty member's sixth year after the granting of tenure and subsequently every five years in the fall semester. Faculty members up for Post-Tenure Review will be notified on or before the first day of classes for the fall semester of the year in which they will be

reviewed. ~~in the prior spring semester.~~ The basic standard for the post-tenure review will be whether the faculty member under review has demonstrated effectiveness in all areas of the role statement in the previous five years. A PRC will conduct a Post-Tenure Review regardless of whether the department head or supervisor determines the faculty member has demonstrated effectiveness in all areas of the role statement.

The Post-Tenure Review is a comprehensive, ~~discipline- and role-specific~~ review of the tenured faculty member's performance over the previous five years. ~~and must consider:~~ The criteria for such review will include multiple indices, and be discipline- and role-specific, as appropriate, to evaluate:

- ~~— Role statement;~~
- ~~— Teaching assessments, including student evaluations for all courses taught and any collegial and administrative assessments;~~
- a. The quality of student teaching and mentoring;
- b. The quality of scholarly and creative performance, ~~and/or~~ research productivity, Extension, and librarianship;
- c. Service to the institution, profession, or community; and
- ~~— Annual performance reviews;~~
- d. Intellectual property owned wholly or partly by, or commercialization efforts attributed to, the faculty member if applicable.;
- ~~— Findings of non-compliance with the institution's policies regarding the responsibilities and ethical obligations of faculty members; and~~
- ~~— Any improvement plans for underperformance, if applicable;~~
- ~~— Professional materials the faculty member deems necessary and indicative of performance in their specific role; and~~
- ~~— Additional materials that the department head or supervisor deems necessary and pertinent to the PRC's review.~~

Materials submitted must include:

- a. Role statement
- b. Current CV;
- c. Teaching assessments, including student evaluations for all courses taught and any collegial and administrative assessments;
- d. Annual performance reviews over the previous five years;
- e. Any improvement plans for underperformance, if applicable; and
- f. Findings of non-compliance with the institution's policies regarding the responsibilities and ethical obligations of faculty members, if applicable.

Optional materials may include:

- a. Professional materials the faculty member deems necessary and indicative of performance in their specific role; and
- b. Additional materials that the department head or supervisor deems necessary and pertinent to the PRC's review

Faculty members are responsible for providing the above materials, with the exception of materials to be provided by the department head or supervisor as outlined above.

12.2.1 Formation of Peer Review Committee

12.2.1.1 College Peer Review Committee Pool

Each department with tenured faculty will nominate two tenured faculty members to serve a two-year term as part of a Post Tenure Review Pool. The appropriate dean or Vice President for Extension will approve membership of the Post Tenure Review Pool.

12.2.1.2 Composition of Peer Review Committee

A PRC will consist of at least five members. The appropriate dean or Vice President for Extension will select at least ~~four~~ **four** PRC ~~CR~~ members ~~will be selected~~ from the College Post Tenure Review Pool. ~~from which they will appoint a chair.~~ At least two members will be appointed from a different department than the tenured faculty member going through post-tenure review and at least one from the faculty member's department. One ~~the fifth~~ **the fifth** PRC member will be the Provost or the Provost's designee. The PRC members will appoint a chair. The faculty member's direct supervisor cannot be part of the PRC. PRC members who have a conflict of interest must recuse themselves from the committee.

Colleges may choose to form multiple PRCs from the Post Tenure Review Pool.

12.2.1.3 ~~Submitting Documentation~~ Meeting of ~~to~~ the Peer Review Committee

The faculty member under review will receive advanced notice of the date of their Post-Tenure Review PRC meeting from their department head or supervisor. The PRC must receive all materials to be considered ~~fourteen~~ **14** days prior to the PRC meeting. All submitted materials will be shared with the faculty member and department head. The PRC will meet to discuss their evaluation of the faculty member's performance. At this meeting, the department head or supervisor and the faculty member will be allowed to make oral presentations ~~separately~~ to the committee, if they choose. The appropriate dean or Vice President for Extension will appoint an ombudsperson to attend PRC meetings.

12.2.1.4 Report and Recommendation of Peer Review Committee

Within 14 days after completion of its review, the PRC will provide a written report summarizing the committee's determination of whether the faculty member under review has, or has not, demonstrated effectiveness in all areas of their role statement. PRC determinations will be by majority vote. In the case of a negative determination, the written report will include findings and rationale for the committee's determination. The PRC will provide the written report to the faculty member and the faculty member's department head or supervisor and dean or the Vice President for Extension.

If the PRC determines that the faculty member under review is meeting the basic standard of performance, no further action is required.

If the PRC determines that the faculty member under review is not meeting the basic standard of performance, a professional development plan (PDP) will be initiated as outlined in Section 4004.12.3 below. **12.3 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 (4004.12.2), 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.

12.34 Professional Development Plan (PDP)

~~(1)~~ A determination by a ~~Peer Review Committee (PRC)~~ that a faculty member is not demonstrating effectiveness in all areas of their role statement, 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 will result in a mandatory PDP to help the ~~tenured~~ faculty member more fully meet role expectations. Within 14 days after receiving the PRC's report, the department head or supervisor will preparedraft a PDP addressing the deficiencies identified by the PRC and including a timeline by which the tenured faculty member is expected to address them. 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 4004.12.2, 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 regional campus dean.

The PRC will have 14 days to review the PDP to assess its appropriateness relative to achieving the outcome of improved performance by the faculty member. The faculty member can provide feedback regarding the PDP to the PRC prior to their review. The PRC may recommend revisions of the PDP to the department head or supervisor for their consideration. The PRC's review and recommendations for revision of the PDP will be shared with the faculty member. The dean or ~~Vice President for Extension~~ is responsible for final review and approval of the PDP. Once a PDP has been finalized, a copy will be provided to the faculty member, dean, or ~~Vice President for Extension~~. The final PDP will be signed by the faculty member for acknowledgment of receipt and the department head or supervisor and the dean or the ~~Vice President for Extension~~.

12.3.1 Elements of the Professional Development Plan

The PDP must: ~~(2)~~ 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;

- a. state the faculty member's performance deficiencies identified by the PRC;
- b. define specific goals or outcomes needed to remedy the identified deficiencies;
- c. ~~(iii)~~ outline the activities that are necessary to achieve the neededdesired outcomes and goals;
- d. ~~(iv)~~ establish a set appropriate time-lines for implementing and monitoring the activities and achieving PDP goals orthe outcomes;
- e. ~~(v)~~ indicate appropriateestablish criteria for progress reviews and the evaluation of outcomes;
- f. ~~and (vi)~~ identify any institutional commitments in the PDPplan; and
- a.g. articulate expectations of continued performance at conclusion of the PDP.

12.3.2 Professional Development Plan Progress Reviews

~~(3)~~ The faculty member ~~shall~~ will meet with the department head or supervisor, at times ~~indicated stipulated as appropriate in the professional development plan in the PDP~~, to monitor progress toward accomplishment of the goals or outcomes included in the ~~planPDP~~. The department head or supervisor ~~shall~~ will, at the conclusion of the ~~professional development planPDP~~, evaluate whether the faculty member successfully addressed the fulfillment of the goals or outcomes described in the planPDP, consistent with the criteria established by the PDP, in terms of the criteria established by the plan. The department head or supervisor ~~shall~~ will meet with the faculty member to review ~~this analysis and subsequently their evaluation.~~ Within fourteen14 days after meeting with the faculty member, the department head or supervisor ~~shall~~ will provide a written report of their evaluation and recommendation of this review to the faculty member and the dean or the Vice President for Extension. In the event the

faculty member disagrees with the department head's evaluation, the faculty member may submit a separate report to the dean or Vice President for Extension. The dean or Vice President for Extension will make a final determination on whether the faculty member has successfully addressed the goals or outcomes described in the PDP. ~~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 the department head or supervisor and faculty member ~~either the department head or supervisor and faculty member~~ to discuss the ~~report~~ evaluation, the faculty member or department head or supervisor may request the presence of an ombudsperson in accordance with Section policy 4004.6.5, Ombudspersons. ~~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 4004.12.2, 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.~~

12.3.3 Failure to Successfully Address a Performance Development Plan

If the deficiencies identified in the PDP have not been successfully addressed within the timeline prescribed in the PDP, the faculty member may be subject to further action, up to and including sanctions under USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures.

12.45 Academic Process

Evaluations, conducted pursuant to Policy 4006, 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 (4004.12.3.(3)) by the review committee (4004.12.2), then other nonpunitive measures, should be considered in lieu of a sanction as per policy 4006.1.1. The standard for sanction (policy 4006.2) remains that of adequate cause, namely conduct contrary to the standards set forth in policy 4002. Successive negative reviews do not in any way diminish the obligations of the university to show such adequate cause pursuant to policy 4006.4.

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.

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University Policy 4004: Tenured and Term Appointments: Evaluation, Promotion and Retention

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TENURE: INTRODUCTION, RIGHTS CONFERRED, ELIGIBILITY, PRE-TENURE PROBATIONARY PERIOD

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 an asset to the institution because of his or her abilities as a scholar, a teacher, a researcher, a librarian, an extension faculty member, 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 tenure and/or promotion.

Tenure is a means 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 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.

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 dismissal or reduction in rank, except as defined in policy 4006, and is not subject to termination or reduction in status except as defined in policy 4005 or policy 4006.5. Tenure is established only in an academic unit as defined in policy 4000.2.2. 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 policy 4000.3 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 their advancement to the 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. Appointments to all administrative positions are without significance for the achievement of tenure. Administrators with faculty status positions hold their tenure 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 (policy 4000.3.1). All provisions of this policy apply to such part-time faculty. 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 or more academic units, the unit in which tenure is to be awarded must be specified in writing by the department head or supervisor at the time of appointment.

1.4 Pre-tenure probationary period

Normal Period.

The normal pre-tenure probationary period shall be six years. In general, the tenure-track faculty member is eligible for promotion and tenure review in the sixth year from the calendar year in which he or she is appointed. The seventh year is not a probationary year; it is either a year that commences tenure status or a year of employment under a terminal contract.

When the effective date of a tenure-eligible faculty appointment falls between July 1 and December 31, the academic year (policy 4003.2) 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 sign a statement that records the final date for tenure consideration for the faculty member. This document shall be signed and approved by the department head or supervisor, academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, and the provost.

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. The agreement must be specified in writing and approved by the department head or supervisor, academic dean and the provost, and, where appropriate, the vice president for extension, chancellor, or regional campus dean.

(3) 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 or regional campus 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.

(4) 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 or regional campus 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.

(5) 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 vice president for extension, and, where applicable, the chancellor or regional campus dean, the president may recommend the granting of tenure to a faculty member at any time.

(6) Transfers.

A tenure-eligible faculty member who transfers permanently from one academic unit to another 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 service completed 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 vice president for extension, and, where applicable, the chancellor or regional campus dean, and the provost.

(7) Effective Date.

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

TENURE AND PROMOTION: CRITERIA FOR CORE FACULTY RANKS

2.1 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. Promotion to assistant professor requires completion of the terminal degree or its equivalent; demonstrated ability in teaching, research or creative endeavors, extension, professional career and technical education, or other qualifying work; evidence of scholastic promise; and evidence of progressive professional development (policy 4000.3.2(2)).

2.2 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 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 emphasis 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 performs, and must present evidence of excellence in the major emphasis of his or her role statement.

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 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 role statement (policies 4000.3.2(3) and 4004.2.1). Excellence is measured by standards for associate professors within the national professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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, 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; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; and invited lectures or panel participation.

(2) 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 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; effective community engagement as part of the effort, 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.

(3) 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; effective community engagement; 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.

(4) 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.

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

Faculty members who are qualified for initial appointments at the ranks of associate professor or professor may be appointed without tenure. The criteria for the award of tenure are the same as those in 4004.2.2 above. 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, or the regional campus 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 4004.2.2), 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.

TENURE AND PROMOTION: CRITERIA FOR LIBRARIANS

3.1 Criteria for Promotion from Affiliate Librarian to Assistant Librarian

Faculty members will be initially appointed to the rank of affiliate librarian when they have not completed a master's degree in library and information science from an institution accredited by the American Library Association or a relevant master's degree but have demonstrated ability in accordance with the role statement. Promotion to assistant librarian requires a master's degree in library and information science from an institution accredited by the American Library Association or a relevant postgraduate degree and demonstrated ability in accordance with the role statement.

3.2 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 her role as defined by the role statement. Although librarians are expected to carry out the major university functions of librarianship, research and creative endeavors, and service, individual emphasis 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 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, scholarship, 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 role statement (policy 4003.3(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:

(1) 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.

(2) 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, inventions and other intellectual property; community engaged scholarship; 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.

(3) 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; effective community engagement; 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.

(4) 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.

3.3 Initial Appointment at the Associate Librarian or Librarian Ranks without Tenure

Librarians who are qualified for initial appointments at the ranks of associate librarian or librarian may be appointed 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 or regional campus dean, and the provost.

3.4 Criteria for Promotion from Associate Librarian to Librarian

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 4004.3.2), 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.

TENURE AND PROMOTION: CRITERIA FOR FACULTY WITH EXTENSION RANKS

4.1 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 degree appropriate for extension faculty, but have met all other criteria for appointment to the rank of extension assistant professor. Promotion to extension assistant professor requires completion of the terminal degree appropriate for extension faculty or its equivalent; demonstrated ability in teaching and development of programs relevant to the identified population; evidence of scholastic promise; and evidence of professional development.

4.2 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 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 performs and must present evidence of excellence in the major emphasis of his or her role statement.

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, 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 role statement (4000.3.4; 4004.1). Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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.

(2) 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.

(3) 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.

4.3 Initial Appointment at the Extension Associate Professor or Extension Professor Ranks without Tenure

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 without tenure.

The criteria for the award of tenure are the same as those in 4004.4.2 above. 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, vice president of extension, and the provost.

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.

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

5.1 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 years of applicable work experience at the journeyman level. Up to three years of academic training from an accredited college may be substituted for up to three 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 years full-time teaching experience at an accredited college and evidence of progressive professional development.

5.2 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 her 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 emphasis 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 she performs and must present evidence of excellence in the major emphasis of his or her role statement.

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 role statement. Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the following areas:

(1) 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, 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; 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.

(2) 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 Initial Appointment at the Professional Career and Technical Education Associate Professor or Professional Career and Technical Education Professor Ranks without Tenure

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 without tenure. The criteria for the award of tenure are the same as those in 5.2 above. 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 chancellor or regional campus dean, and the provost.

5.4 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.

4004. 6 TENURE, PROMOTION AND REVIEW: GENERAL PROCEDURES

6.1 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 he or she accepts an appointment, as indicated by their signatures. The role statement should also be, approved by the academic dean and the provost and where applicable, the chancellor, vice president for extension or regional campus dean, prior to the faculty member's signature, and then signed by the academic dean, and the chancellor, vice president for extension or regional campus dean where applicable. The role statement shall include percentages for each area of professional domains (4003.1.2). 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, or regional campus 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 or regional campus 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 or regional campus 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.

6.2 Advisory Committees

(1) Tenure advisory committee (TAC).

For each new tenure-eligible faculty member who is appointed, the faculty member's department head or supervisor shall, in consultation with the faculty member and with the approval of the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus 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 consist of at least five members, one 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, vice presidents, or chancellors (where applicable) appointed without tenure.

The tenure advisory committee members shall 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 faculty members in the academic unit with higher rank than the candidate, then

the department head or supervisor shall, in consultation with the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. The department head or supervisor of the candidate shall 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 fill vacancies on the committee. In consultation with the faculty member, academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus 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 vice president for extension, and, where appropriate, the chancellor or regional campus 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 recommend (a) to renew the appointment or (b) not to renew the appointment (4006.2.1(5)). In the final year of the pre-tenure probationary period, the committee shall recommend (a) awarding promotion and tenure or (b) denying promotion and tenure (4006.2.1(5)). 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 Section 4004.7.3(1) of the USU Policy Manual. Under those circumstances, the TAC shall recommend (a) to award promotion and tenure or (b) to continue the pre-tenure probationary period.

(2) 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 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 or regional campus 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 or regional campus 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 is being considered for promotion, the provost shall appoint the promotion advisory committee.

6.3 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.

6.4 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.

6.5 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 4000.2.1) 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.

4004.7 PROCEDURES SPECIFIC TO THE TENURE PROCESS

7.1 Annual Event

(1) Meetings of the tenure advisory committee.

An initial meeting of the committee shall 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 policy 4004.6.5. All tenure advisory committee members shall participate interactively in all committee meetings, either physically or by electronic conferencing, at the appointed date and time.

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

After the initial meeting, the tenure advisory committee shall meet with the candidate at least 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 4004.6.5. The committee will submit, each year, a written report to the department head or supervisor. This report shall be submitted by December 1 for first-year and second-year appointees, by October 26 for third-year appointees, and by December 1 during subsequent years. Except in the year in which the tenure decision must be made, the report shall 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 also contain a recommendation regarding the renewal or nonrenewal of the appointment (4004.6.2(1); 4006.7).

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

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

The department head or supervisor shall, 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 4004.6.5. Subsequently, the department head or supervisor shall submit in writing to the academic dean, or vice president for extension, chancellor or regional campus 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 nonrenewal of the appointment of the faculty member. This report shall be submitted by December 18 for first- year and second-year appointees, by November 10 for third-year appointees, and by December 18 during subsequent years. Copies will be provided to the candidate and the tenure advisory committee. A copy shall be placed in the candidate's file.

7.2 Additional Events During the Year in which a Tenure Decision is to be Made**(1) External peer reviews.**

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 September 15, the department head or supervisor will make a solicitation of 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 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 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 reviewer. 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 files, as determined by the Tenure Advisory Committee and Department Head. If a candidate believes that their disciplines 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 may be asked to submit additional names if it is decided that the nature of the candidate's acquaintance with the potential reviewers might prevent the reviewer from making an objective evaluation. 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 tenure advisory committee shall 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 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 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 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 4004.6.3).

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 tenure advisory committee.

The tenure advisory committee shall review and evaluate the candidate for tenure, based on the information in his or her file including external peer reviews. The committee shall make a decision with respect to its tenure recommendation by a majority vote and the names of those for and against shall be recorded. The committee members 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. 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 December 1, except that for third-year appointees the date is October 26. Minority positions, if any, may be documented in separate letters. A copy of the tenure 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 tenure advisory committee, the department head or supervisor shall 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 policy 4004.6.5. The recommendations of the department head or supervisor and the tenure 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, except that for third-year appointees the date is November 10. A copy of the department head or supervisor's letter shall be provided to the tenure 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.

The academic dean or vice president for extension will send his or her 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 November 20. 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 tenure 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 tenure and 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.

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 award tenure to the Board of Trustees prior to the April Board of Trustees meeting. The president shall inform the candidate in writing upon approval of tenure by the Board of Trustees. The academic dean or vice president for extension, department head or supervisor, tenure advisory committee, and, where appropriate, the chancellor or regional campus dean, will also be notified of the action.

The president shall notify the provost, director (where applicable), academic dean or vice president for extension, department head or supervisor, tenure 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. For candidates in their third year, the deadline is 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, academic dean, vice president for extension, and, where appropriate, the chancellor or regional campus dean, to discuss the candidacy and the decision.

7.3 Exceptional Procedure

(1) Administrative nominations for tenure.

The department head or supervisor, academic dean, 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 shall be referred to the tenure advisory committee for consideration and all procedures of policy 4004.6 and 4004.7.2 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.

4004.8 PROCEDURES SPECIFIC TO THE PROMOTION PROCESS

8.1 Faculty without Tenure

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

Instructors, affiliate librarians, extension instructors, and professional career and technical instructors, shall be promoted to the ranks of assistant professor, assistant librarian, extension assistant professor, professional career and technical education assistant professor, respectively, once the criteria in 4004.2.1, 4004.3.1, 4004.4, or 4004.5.1 have been met.

(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 shall be promoted to the ranks of associate professor, associate librarian, extension associate professor, and professional career and technical education associate professor, respectively when tenure is granted.

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 the 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.

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 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.

Within 30 days after any meeting with the faculty member to discuss promotion (but not the evaluation meeting in 4004.8.3), 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 associate vice president at a statewide campus.

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 associate vice president at a statewide campus, provost, or president may propose promotion. Such a proposal shall be referred to the promotion advisory committee for consideration and all procedures of 4004.8.3 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, academic dean or vice president of extension, and where appropriate, the associate vice president of the statewide campus, no later than 30 days following the meeting with the promotion advisory committee.

8.3 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 4004.6.5. 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. The letter is to be prepared by the chair of the committee, presenting the committee's decision, and is to be signed by the committee, and sent to the department head or supervisor prior to December 1. Minority positions, if any, may be documented in separate letters. A copy of the tenure 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 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 4004.6.5. 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.

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.

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.

4004.9 TERM APPOINTMENTS: ELIGIBILITY

Only individuals holding ranks as defined in policy 4000.4 are eligible for term appointments.

4004.10 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.

Teaching includes all forms of instructional activities: classroom performance, mentoring students inside and outside the classroom, student advising, clinical supervision, thesis and dissertation direction, and curriculum development. Evidence supporting teaching performance must include student and peer evaluations where appropriate, and may include, but is not restricted to: proficiency in curriculum development as demonstrated through imaginative or creative use of up-to-date 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 or outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, 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; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; invited lectures or panel participation.

(2) Research or Creative Endeavors.

Research encompasses a wide variety of scholarly activities that lead to the advancement of knowledge. Evidence supporting such activities must include peer recognition of their value and may include, but is not restricted to: publication of books, monographs, or articles in peer-reviewed media; invitations to participate in symposia and to write chapters in state-of-the-art review volumes; engaged scholarship; and success in competition for extramural funding.

(3) Service (applicable to all ranks).

Although service activities are vital to the mission of the university, they are not expected to constitute a major percentage of his or her role statement for term appointment faculty. Service activities include: membership in, and leadership of, departmental, college, and university committees and organizations; committee participation in regional and national professional organizations; consulting activities in local, regional, national, and international, organizations and agencies; public speaking and/or education involving professional expertise; engagement in local communities.

10.2 Criteria for Promotion Beyond the Penultimate Rank

In addition to the criteria for promotion to the penultimate ranks, further promotion shall require an established reputation for excellence in teaching, and/or research and service, according to the role statement. Excellence is to be judged by national standards within the professional peer group.

10.3 Promotion of Faculty with Term Appointment

Faculty with term appointments may request promotion to the next highest rank at any time.

4004.11 TERM APPOINTMENT: GENERAL PROCEDURES FOR PROMOTION

11.1 Role Statement and Role Assignments

A role statement will be prepared by the department head or supervisor, agreed upon between the department head or supervisor and the faculty member at the time he or she accepts an appointment, and approved by the academic dean and the provost and, where applicable, the chancellor, vice president for extension or regional campus dean. In determining the role statement, consideration shall be given to all forms of professional service (policy 4003.1.2). Role statements provide the medium by which the assigned duties of the faculty member are described and by which administrators and promotion evaluation committees can judge a faculty member with regard to his or her performance. 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 annually and shall be revised as needed. The process of revision may be initiated by either the faculty member or the department head or supervisor. Any revision of the role statement 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 or regional campus 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 committees. 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 or regional campus dean, and the members of the tenure and/or promotion advisory committee.

Some academic units 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 services 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.

11.2 Promotion Advisory Committee

(1) When a faculty member with term appointment is hired, the department head or supervisor shall, in mutual agreement with the faculty member, the academic dean or vice president for extension, appoint a promotion advisory committee. The committee shall consist of at least five faculty members who have higher rank than does the candidate for promotion, a majority of whom are tenured, at least one of whom is a faculty member with a term appointment of higher rank than the candidate, and at least one member shall be chosen from outside of the academic unit. Neither the Department Head nor supervisor may serve as the chair of the committee or as a member of the committee. The department head or supervisor shall appoint a chair of the committee other than themselves. The promotion advisory committee shall be appointed no later than the fall semester of the first year following the faculty member's hire date and the committee will meet at this time. The committee will meet annually during fall semester, at the faculty member's request, until promotion occurs. Should there be fewer than five qualified faculty members in the academic unit, the department head or supervisor shall, in mutual agreement with the faculty member, the academic dean, or vice president for extension, fill the vacancies with qualified faculty members from closely related academic units. The department head or supervisor may, with the approval of the academic dean or vice president for extension, and, replace members of the promotion advisory committee provided that this is done 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.

(2) In no more than three years following initial promotion to the next academic rank, the department head or supervisor will ensure a promotion advisory committee is in place or form a new one adhering to the process described in 4004.11.2, to advise the faculty member in regard to aspects of promotion to the next academic rank. After the first meeting, subsequent meetings will be held at the request of the faculty member to provide counsel and guidance on promotion to the next academic rank. The promotion advisory committee shall meet at any time upon request of the faculty member, and in no case, later than the third year following the most recent promotion.

All promotion advisory committee members, including the faculty member, shall participate in all committee meetings, either physically or by electronic conferencing. An ombudsperson must be present in person or by electronic conferencing. At each meeting the promotion advisory committee will ensure that the faculty member has an up-to-date and duly signed role statement. The committee will discuss with the faculty member their performance relative to their role statement in the context of meeting criteria required for achieving promotion to the next academic rank, the promotion advisory committee shall 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 will be reviewed for promotion.

Within 30 days after any meeting with the faculty member and their promotion advisory committee, the committee chair shall 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 ombudsperson shall read and sign the final draft of the report. The report will then be sent to the faculty member and their department head or supervisor, the academic dean or vice president for extension.

11.3 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 promotion advisory committee. The file should include thorough documentation of all domains of professional service, in accord with the role statement.

Any other written statements, from whatever source, which are 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 before the promotion advisory committee's meeting. The candidate is entitled to review this supplementary material upon request, with the exception of peer review letters designated confidential by the author(s). 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 promotion advisory committee.

11.4 Events During the Year in which a Promotion Decision is to be Made

(1) External peer reviews

Prior to September 15, the department head or supervisor will make a single solicitation of letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If less than four letters arrive, additional letters will be solicited to attain the minimum of four letters. The reviewers must be external to the university and must be respected in their fields. 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 candidate's list. 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 drafted by the department head or supervisor, with final drafts 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 reviewer should be asked to state at the very least the nature of his or her acquaintance with the candidate, and to evaluate the candidate's work, recognition, and standing among his or her peers. Copies of these letters will become supplementary material to the candidate's file. The external review process is not required for those seeking promotion in the lecturer ranks.

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 by the promotion advisory committee.

The promotion advisory committee shall review and evaluate the candidate for a promotion, based on the information in his or her file including external peer reviews where applicable. An ombudsperson must be present in person or by electronic conferencing at all meetings of the promotion advisory committee in accordance with policy 4004.6.5. The committee shall make a decision with respect to its recommendation for promotion by a recorded vote. 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. The letter is to be prepared by the chair of the committee, presenting the committee's decision, and is to be signed by the committee and sent to the department head or supervisor prior to December. Minority views, if any, may be documented in separate letters. A copy of the promotion 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 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 policy 4004.6.5. 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 by the academic dean, or vice president for extension, and, where applicable, the chancellor or regional campus dean.

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. The academic dean, vice president for extension, chancellor, or regional campus dean may convene an ad hoc advisory committee to review promotion recommendations for faculty with term appointments. The members of this committee shall not have appointments that are primarily administrative, including that of department head or supervisor. The majority of the committee members shall be tenured. The academic dean or vice president for extension, chancellor, or regional campus dean shall chair the committee.

(5) Further evaluation and recommendation.

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 a promotion no later than April 15. For candidates in their third year, the deadline is December 10th.

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

11.5 Exceptional Procedures

The department head or supervisor, academic dean or vice president for extension, and, where appropriate, chancellor, or regional campus dean, provost or president may propose the granting of a promotion for a term appointment faculty member. Such a proposal shall be referred to the promotion advisory committee for consideration.

4004.12 REVIEW OF FACULTY

There is one additional review of faculty performance other than those for tenure-eligible faculty and for promotion. This annual review shall be used for evaluation of faculty for salary adjustments and for term appointment renewal, and for post-tenure review of tenured faculty.

Tenure (see Section 4004.1) is a means to certain ends, specifically; freedom of teaching, research and other academic endeavors, and a sufficient degree of economic security to make the profession attractive to men and women of ability. Academic freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligation to its students and to society. With tenure comes professional responsibility, the obligation conscientiously and competently to devote one's energies and skills to the teaching, research, extension and service missions of the university. A central dimension of academic freedom is the exercise of professional judgment in such matters. The intent of post-tenure review is to support the principles of academic freedom and tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member continues to experience professional development and accomplishment during the various phases of his or her career. Useful feedback should include tangible recognition to those faculty who have demonstrated high or improved performance. It is also the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers.

12.1 Annual Review of Faculty

In the spirit of shared governance, the faculty (as defined in 4000.3 and 4000.4) and department head of each department shall work together in consultation with the dean to establish procedures by which all faculty shall be reviewed annually. During fall, semester in preparation for spring annual reviews, 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 shall encompass a multi-year window of performance that covers a five-year span (to meet the requirements of post-tenure review for tenured faculty). Such reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position.

The department head or supervisor shall 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 shall be sent to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean. 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 (4004.7.1 (3)) may not serve as a substitute for this annual review letter for salary adjustment. For faculty with term appointments, the annual review shall also include a recommendation regarding renewal of the term appointment.

12.2 Post-Tenure Review of Tenured Faculty

Beginning the year after a faculty member's tenure or post-tenure decision, the annual review process (4004.12.1) shall also provide formal assessment on the post-tenure performance of tenured faculty. The review will be discipline and role specific, as appropriate to evaluate post-tenure performance. The basic standard for post-tenure review shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position as specified in the role statement. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. The criteria for the award of tenure or promotion to the most senior ranks shall not be employed for the review of the tenured faculty.

To fulfill this requirement, and beginning no earlier than 5 years after a faculty member is promoted or awarded tenure, the department head or supervisor will be required in writing to 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 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 (4004.12.1) 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 4004.6.5.

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 section 12.4.

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.

12.3 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 (4004.12.2), 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.

12.4 Professional Development Plan

(1) 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 4004.12.2, including an analysis 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 regional campus dean.

(2) 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.

(3) 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 4004.6.5. 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 4004.12.2, 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.

12.5 Academic Process

Evaluations, conducted pursuant to Policy 4006, 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 (4004.12.3.(3)) by the review committee (4004.12.2), then other nonpunitive measures, should be considered in lieu of a sanction as per policy 4006.1.1. The standard for sanction (policy 4006.2) remains that of adequate cause, namely conduct contrary to the standards set forth in policy 4002. Successive negative reviews do not in any way diminish the obligations of the university to show such adequate cause pursuant to policy 4006.4.

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.

POLICY HISTORY

Original issue date: 1997/07/01

Last revision date: 2021/12/03

Previous revision dates: 2021/12/03; 2021/06/25; 2020/05/20; 2020/01/10; 2019/01/11; 2016/06/24; 2016/01/08; 2015/10/30; 2015/07/17; 2014/02/28; 2013/05/03; 2012/08/02; 2012/01/06; 2011/07/08; 2010/08/13; 2009/03/06; 2007/02/15



*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: David T. Cowley, Vice President for Finance & Administrative Services
DATE: August 7, 2026
RE: Real Property Disposal (48.9 Acres)

In accordance with [Utah System of Higher Education Policy R704](#), Disposal of Real Property, Utah State University requests approval to sell 48.9 acres of agricultural property and water shares located at 7220 West Cropley Road, Elwood, Utah.

USU acquired the land in 2025; however, the university has determined that the property is not practical to operate, as it would require significant ongoing funding and staffing. Proceeds from the sale will be reinvested in initiatives that support Extension's statewide mission, including student internships, faculty mini-grants, AI literacy programs, and professional development. An independent appraisal estimates the market value of the property at \$905,000.





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David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Tessa White, Chair of the USU Board of Trustees
DATE: August 7, 2026
RE: USU Board of Trustee Committee Adjustments

Executive Summary:

The proposed structure consolidates overlapping responsibilities, reduces duplication, and aligns with governance practices commonly used by public research and land-grant universities. It also allows committee meetings to focus on strategic discussion while reserving operational updates for the full Board.

Each standing committee shares responsibility for advancing Utah State University's statewide land-grant mission and should consider the impact of its work on students, communities, Extension, research, and campuses throughout Utah.

The committees are established by the Board of Trustees to provide oversight and recommendations within their assigned areas of responsibility. Unless otherwise delegated by the Board, committees are advisory and forward recommendations to the full Board for consideration and action.

Each committee will report its activities and recommendations to the full Board following each committee meeting. The committee charters will be reviewed periodically by the Executive Committee and amended as needed to reflect Board priorities, university strategy, and applicable law or policy.

Guiding Principles

- Committees should focus on strategic oversight rather than operational management.
- Committee responsibilities should be distinct, with minimal overlap.
- Standing committees should align with the Board's fiduciary, academic, and strategic governance responsibilities.
- Committee responsibilities will clearly align with the four pillars of the strategic plan.
- Most informational updates should occur during regular Board meetings unless committee review or action is needed.
- Committee discussions should center on strategic questions rather than routine reports.



USU Board of Trustees
2026-27 Board Committee Structure
(Draft August 7, 2026)

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- Committee discussions should center on strategic questions rather than routine reports.

Executive Committee

Purpose

Provides leadership for the Board of Trustees between regular meetings. The committee works with the Board Chair and President to establish Board agendas, coordinate the work of standing committees, review items before consideration by the full Board, and address time-sensitive matters between meetings. The Executive Committee acts only within authority delegated by the full Board and does not replace the decision-making authority of the Board of Trustees. The committee monitors progress on the civic-mindedness strategic pillar and coordinates Board-level discussion of related initiatives. It also oversees the Board's honorary degree, commencement speaker.

Responsibilities

- Coordinate the work of the Board and standing committees.
- Review agendas and significant items prior to consideration by the full Board.
- Monitor progress on university strategic priorities and major strategic investments, including initiatives that advance the university's statewide land-grant mission.
- Review significant executive personnel matters, as appropriate.
- Oversee the presidential evaluation process and annual goals.
- Coordinate Board discussion of cross-cutting strategic issues that span multiple committees.
- Receive recommendations from the Honorary Degree Screening Subcommittee and recommend honorary degree recipients, commencement speakers, and trustee recognition actions to the Board.
- Exercise delegated authority between Board meetings as authorized by the Board.

Meeting Frequency

Monthly during months in which the Board of Trustees meets (approximately 1½ hours)

Membership

Chair: Tessa White

University Counterparts: Brad Mortensen, Jessica Oyler, Shannon Pipes, and Janalyn Brown

Committee Members: Gina Gagon, Brett Hugie, Luke Johnson, Ryan Dent

Audit, Risk & Compliance Committee

Purpose

Provides oversight of the university's systems of accountability, compliance, enterprise risk management, and internal controls to ensure the university fulfills its fiduciary, legal, and ethical responsibilities across all campuses and statewide operations.

Responsibilities

- Review and monitor the annual internal audit plan.
- Review audit findings and monitor implementation of corrective actions.
- Oversee the university's enterprise risk management framework, including risks affecting statewide campuses and Extension operations.
- Review major compliance programs and regulatory obligations.
- Monitor governance policies related to fiduciary responsibility, ethics, and compliance.
- Review presidential expenditures and other expenditures requiring Board oversight.
- Monitor the effectiveness of internal controls and financial accountability processes.
- Recommend governance policy updates within the committee's area of responsibility.

Meeting Frequency

Every other month (approximately 2 hours)

Membership

Chair: Ryan Dent

University Counterparts: Saleshe Sharma, Brad Mortensen, Jessica Oyler

Committee Members: Luke Johnson, Jacey Skinner, Tessa White, Gina Gagon

Academic Affairs & Statewide Alignment Committee

Purpose

Provides strategic oversight of the university's academic mission and statewide educational enterprise. The committee reviews academic quality, statewide program alignment, accreditation, and initiatives that strengthen academic excellence, workforce relevance, and student access across Utah.

Responsibilities

- Review and provide strategic oversight of academic program development, program retirement, concurrent enrollment offerings, transfer pathways, and degree completion initiatives across all campuses and colleges, ensuring statewide workforce alignment, coordination across the university, responsiveness to regional workforce needs, alignment with Presidential priorities, and compliance with USHE policies and Board approval requirements.
- Review proposals for new colleges, academic units, centers, institutes, and major academic organizational changes prior to forwarding for full board approval
- Monitor institutional accreditation and significant accreditation activities.
- Review statewide academic strategy, including the role and performance of regional campuses.
- Review concurrent enrollment, transfer pathways, articulation agreements, and other statewide educational partnerships.
- Review initiatives that strengthen teaching excellence and faculty success.
- Monitor progress toward academic priorities within the university's strategic plan and statewide mission.

Meeting Frequency

Prior to each board meeting (approximately 1½ hours)

Membership

Chair: Gina Gagon

University Counterparts: Paul Barr, Chris Corcoran, Vice President for Statewide Campuses (when hired)

Committee Members: David Petersen, Clark Whitworth, Max Alder, Kacie Malouf

Strategic Partners & Research Committee

Purpose

Provides strategic oversight of the university's research enterprise and external engagement. The committee advises on research strategy, commercialization, technology transfer, philanthropy, government relations, industry partnerships, alumni engagement, Extension, and community partnerships that strengthen Utah State University's statewide impact.

Responsibilities

- Review strategic research priorities and sponsored research growth.
- Review federal, state, and industry research opportunities and funding strategies.
- Monitor commercialization, innovation, and technology transfer initiatives.
- Review major research partnerships, affiliated organizations, and strategic agreements.
- Review Extension's role in advancing community partnerships, applied research, economic development, and statewide engagement.
- Provide strategic guidance regarding government relations, industry partnerships, economic development, workforce outcomes, and community collaborations.
- Coordinate with the Foundation Board regarding fundraising priorities and long-term philanthropic strategy.
- Monitor legislative initiatives and external partnerships that advance the university's statewide land-grant mission.
- Review Extension's educational mission, statewide programming, and integration with teaching, workforce development, research, and community engagement.

Meeting Frequency

Monthly until otherwise determined by the Board (approximately 1½ hours)

Membership

Chair: Luke Johnson (*also serves as Foundation Board liaison*)

University Counterparts: Lisa Berreau, Matt White, Brian Steed, Bill Plate (as needed)

Committee Members: Clark Whitworth, Jacey Skinner, Gina Gagon, David Huntsman

Finance & Budget Committee

Purpose

Provides strategic oversight of the university's financial resources, infrastructure, facilities, investments, operations, and intercollegiate athletics to ensure the long-term financial sustainability of Utah State University's statewide enterprise.

Responsibilities

- Review the university's annual operating and capital budgets broken out by campus.
- Review tuition, mandatory fees, and significant financial recommendations prior to Board action.
- Monitor the long-term financial sustainability of the university, including statewide campuses and major strategic initiatives.
- Review significant capital projects, facilities planning, and campus footprint strategy before sending for full board for approval.
- Review the university's statewide footprint and long-term campus development strategy, including recommendations for strategic expansion, consolidation, major capital investments, and facilities planning to ensure resources are aligned with institutional priorities and statewide needs.
- Review property acquisitions, sales, and other significant real estate transactions.
- Receive reports on investment performance from the Investment Committee.
- Review long-term housing strategy and major auxiliary operations.
- Review existing Finance and Budget policies in accordance with the established review schedule and consider proposed new Finance and Budget policies prior to recommending them for full Board approval.
- Provide strategic oversight of intercollegiate athletics, including financial sustainability, major capital investments, and Board approvals required by policy.
- Review significant operational initiatives affecting the university's financial and physical resources.

Meeting Frequency

Prior to each board meeting (approximately 2 hours)

Membership

Chair: Brett Hugie

University Counterparts: Dave Cowley, Cam Walker

Committee Members: David Petersen, Clark Whitworth, Ryan Dent, Kacie Malouf

Student Success Committee

Purpose

Provides strategic oversight of the university's commitment to student success by monitoring enrollment, persistence, graduation, affordability, student well-being, and the overall student experience across Utah State University's statewide system.

Responsibilities

- Monitor enrollment, retention, graduation, and student success outcomes across all campuses.
- Review enrollment management strategies and enrollment performance across the statewide system.
- Monitor student financial aid, affordability, and access initiatives.
- Review student mental health, well-being, safety, and engagement strategies.
- Monitor progress on university-wide student success initiatives and strategic plan goals.
- Review career readiness, workforce preparation and licensure pass rates, and post-graduation outcomes (e.g., career placement, graduate school placement).
- Monitor student success metrics by campus to identify opportunities for continuous improvement.
- Review initiatives that strengthen belonging, engagement, and the overall student experience throughout the statewide system.

Meeting Frequency

Every other month (1½ hours)

Membership

Chair: Jacey Skinner

University Counterparts: Kris Winter, Katie Jo North, Jeff Aird, Bill Plate

Committee Members: Max Alder, Tessa White, David Huntsman, Brett Hugie



UtahStateUniversity

USU Board of Trustees Committee Adjustments

Executive Committee

Committee Members:

Tessa White, Committee Chair
Ryan Dent
Gina Gagon
Brett Hugie
Luke Johnson

University Counterparts:

Brad Mortensen, President
Jessica Oyler, VP and Chief of Staff
Shannon Pipes, General Counsel
Janalyn Brown, Board Secretary

Audit, Risk & Compliance Committee

Committee Members:

Ryan Dent, Committee Chair
Gina Gagon
Luke Johnson
Jacey Skinner
Tessa White

University Counterparts:

Brad Mortensen, President
Jessica Oyler, VP and Chief of Staff
Salesh Sharma, Chief Audit Executive

Academic Affairs and Statewide Alignment Committee

Committee Members:

Gina Gagon, Committee Chair
Max Alder
Kacie Malouf
Dave Petersen
Clark Whitworth

University Counterparts:

Paul Barr, Executive Vice Provost
Chris Corcoran, Provost and EVP
VP for Statewide Campuses (when hired)

Finance and Budget Committee

Committee Members:

Brett Hugie, Committee Chair
Ryan Dent
Kacie Malouf
David Petersen
Clark Whitworth

University Counterparts:

Dave Cowley, VP Finance
Cam Walker, VP Athletics

Strategic Partners & Research Committee

Committee Members:

Luke Johnson, Committee Chair (Foundation Board Liaison)
Gina Gagon
David Huntsman
Jacey Skinner
Clark Whitworth

University Counterparts:

Lisa Berreau, VP Research
Bill Plate (as needed), VP Marketing
Brian Steed, VP Government
Matt White, VP Advancement

Student Success Committee

Committee Members:

Jacey Skinner, Committee Chair
Max Alder
Brett Hugie
David Huntsman
Tessa White

University Counterparts:

Jeff Aird, Chief Data Officer
Katie Jo North, AVP Enrollment
Bill Plate, VP Marketing
Kris Winter, VP Student Success





MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Dr. Matthew T. White, Vice President
DATE: July 27, 2026
RE: USU Foundation Board Member Ratification

Utah State University Foundation Board of Directors submits to the Utah State University President and Board of Trustees recommendations to appoint individuals to the Utah State University Foundation Board. These recommendations are consistent with Article V of the Amended and Restated Articles of Incorporation of the Utah State University Foundation, and Article III section 3.2(c) of the Bylaws of the USU Foundation.

The appointment of a USU Foundation Board member by the Utah State University President and Board of Trustees is in accordance with [Utah System of Higher Education Policy R271, Section 3.3.2](#).

The USU Foundation Board recommends the appointment of Eric J. Laub to the board for a three (3) year term. Mr. Laub has previously served on the board as a GOLD (Graduate Of the Last Decade) member. We now request he join as a full board member.

The USU Foundation Board recommends the appointment of Steven G. Kindred to the board for a three (3) year term. Mr. Kindred currently serves as a member of USU's Investment Advisory Committee, providing valuable insight, understanding, and direction to that committee.

The USU Foundation Board recommends the appointment of Sami I. Ahmed to the board as a GOLD (Graduate Of the Last Decade) member for a two (2) year, non-renewable term.

This recommendation was made by a resolution of the majority of the Utah State University Foundation Board of Director after appropriate review and discussion.



ERIC J. LAUB

Eric Laub became co-CEO of Cache Valley Electric Company in March 2025, serving alongside his father, Jim Laub. As a fourth-generation leader of the company, he continues a longstanding family legacy within the organization. Eric joined Cache Valley Electric in 2015 and has held a variety of leadership roles, gaining extensive experience across the company. A graduate of Utah State University, Eric was actively involved in campus life as a member of the Sigma Chi fraternity. In 2023, he co-founded the Blue A Collective with former USU head football coach Gary Andersen. He is a member of the Athletics National Advisory Board, demonstrating his ongoing commitment to the university's growth and success. He and his wife, Tatum, were married in May 2025.



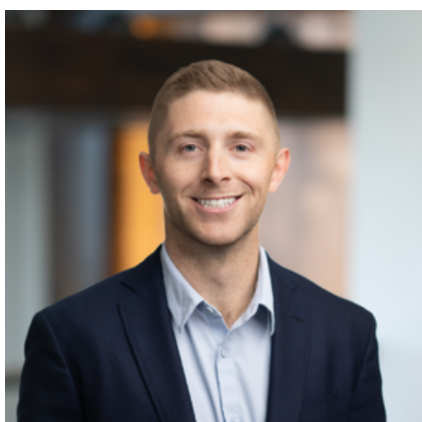
STEVEN G. KINDRED

Steven has been in the investment industry since 2006 and holds both Chartered Financial Analyst (CFA) and Certified Public Accountant (CPA) designations. A one-time member of CFA Institute and CFA Society Colorado, he is now past present and board member of CFA Salt Lake. Steve currently serves as a member of USU's Investment Advisory Committee. While a student, he served as a USUSA Officer and President ('02-'03). He was also a USU Ambassador, a member of Beta Alpha Psi, and a recipient of the A-Pin. Steve earned his MBA from the Tuck School of Business at Dartmouth College. He enjoys running, cycling, golf, reading, and investing, and has traveled extensively in Latin America, being bilingual in English and Spanish. He set a personal record at the Chicago Marathon in October 2022. Steven and his wife, Katie, have three children.



SAMI I. AHMED

Sami Ahmed moved to the United States from Ethiopia at age 11 and later served an LDS mission in Australia. He earned his Bachelor of Science in Finance from Utah State University, where he served as Student Body President from 2019 to 2020 and was a member of the Board of Trustees. In recognition of his leadership as the first Ethiopian USU student body president, the graduating class of 2020 established the Noelle Cockett & Sami Ahmed "First To..." Endowment. Sami has professional experience in management consulting, currently working at Health Management Associates, holding previous positions at Leavitt Partners and the Center for Growth and Opportunity at USU. He volunteers as a youth football coach and is passionate about mentoring and community service.



ERIC LAUB

PRESIDENT & CO-CEO

Eric Laub serves as President & Co-Chief Executive Officer of Cache Valley Electric, one of the nation's largest electrical contractors and a legacy company founded in 1915 by his great-grandfather, Henry Frederick Laub. His appointment marks the fourth generation of Laub family leadership at CVE. Since joining the company in 2015, Eric has progressed through roles of increasing strategic responsibility, culminating in his current appointment alongside his father Jim Laub. Eric leads CVE's continued national expansion and growth across its 11 specialized divisions, committed to upholding CVE's legacy of integrity, craftsmanship, and innovation.

CVE WORK EXPERIENCE

- > **PRESIDENT & CO-CEO**
2025 - Present
- > **VP Operations**
2023 - 2025
- > **Project Manager / Estimator**
2020 - 2023
- > **Pre-Construction Coordinator**
2019 - 2020
- > **Laborer**
2015 - 2019

OUTSIDE MEMEBERSHIPS

- > YPO (Young Presidents' Organization), Member
- > Blue A Collective, Founder

EDUCATION Magna Cum Laude, Utah State University

STEVEN G. KINDRED, CFA, CPA

1096 W Hidden Lane, Kaysville, UT 84037 • 720-256-0568 • sgkindred@gmail.com

PROFESSIONAL EXPERIENCE

SEGALL BRYANT & HAMILL (SUBSIDIARY OF CORIENT) – Chicago, IL / Denver, CO 2009-Present
Senior Fixed Income Analyst

- Manage fixed income portfolios for institutional and retail clients; generate investment ideas across high-yield and investment-grade corporates and ABS for a ~\$10B AUM platform
- Contribute to the team's macroeconomic views and positioning across rates, credit, and sector allocation
- Engage with clients, prospects, and consultants to communicate investment philosophy, performance, and market outlook
- Author of the firm's monthly *Fixed Income Market Update*, its most widely read publication
- Lead author of quarterly attribution commentary, providing market analysis and insights on team outlook and portfolio strategy
- Diverse sector coverage across Technology, Media, Telecommunications, Retail, Food/Beverage, Business Services, and Insurance
- Oversee investment strategy, liquidity management, and GAAP/statutory investment reporting for a large insurance company

JANUS CAPITAL GROUP – Denver, CO 2008-2009
Equity Research – Junior Analyst

- Evaluated and recommended investment opportunities in the media industry; built models, updated PMs and analyst teams on changes in competitive advantages and investment theses

DELOITTE & TOUCHE, LLP – Salt Lake City, UT 2003-2006
Senior Auditor

- Planned and supervised 14 audits consisting of examination of financial statements and internal controls; directed audit teams of up to 10 people
- Researched company-specific accounting issues; presented and defended conclusions to clients and Deloitte partners and managers

EDUCATION

TUCK SCHOOL OF BUSINESS AT DARTMOUTH – Hanover, NH 2006-2008
Master of Business Administration

- Appeared on CNBC's "Fast Money MBA Challenge" representing Tuck

UTAH STATE UNIVERSITY – Logan, UT 1999-2003
Master of Accountancy

Bachelor of Science, *magna cum laude*, Accounting; Spanish Minor

- Accounting Student of the Year, 2003
- Elected to the student body executive council, representing ~21,000 students
- Utah State University "Man of the Year" Finalist, an award based on overall campus contribution

ADDITIONAL

- Past president and board member of the CFA Society Salt Lake
- Member of the USU Investment Advisory Committee, providing oversight of the university endowment
- Endurance athlete; completed 40 marathons, including 3 Boston Marathons; personal best of 2:39
- Avid reader; enjoy everything from investing books to classic novels and fiction

EDUCATION**Utah State University | Jon M. Huntsman School of Business**

Logan, UT

BS Finance, Minors: Anticipatory Intelligence, Economics, and Real Estate

May 2021

- Huntsman Scholar Leadership Board; Buehler Scholar; recipient of USU Citizenship Award (university's highest student honor), Robin Award (full undergraduate impact), and Utah Student Association Member of the Year

PROFESSIONAL EXPERIENCE**Management Consultant / Analyst | Cicero Group**

Salt Lake City, UT

Strategic Advisory across Healthcare Policy, Government, and Private Sector

Oct 2025 to Present

- Advise a state agency client on the direction of its Section 1332 State Innovation Waiver renewal under the Affordable Care Act; evaluate prospective new waiver components for federal compliance, regulatory feasibility, and implementation pathways; shape the policy and data case for a CMS pre-application engagement
- Build and maintain multi-year, multi-tier financial models quantifying federal premium and subsidy impacts across plan years 2020 to 2026; gather, analyze, and reconcile data from federal and state sources; translate complex actuarial and regulatory mechanics into plain-language briefs and forecast scenarios for non-technical executive audiences
- Interpret federal statute, legal precedent, CMS guidance, and rulemaking history to identify regulatory risks, unintended consequences, and points of likely federal scrutiny; draft policy approach documents, regulatory analyses, and reporting materials on behalf of senior leadership
- Build AI-powered automation tools using Microsoft Copilot Studio for federal and local government clients, accelerating quantitative analysis and scaling research workflows; support a private equity commercial due diligence engagement on investment thesis validation and competitive landscape analysis

Research Associate | Health Management Associates

Salt Lake City, UT

Healthcare Consulting — Federal Policy & Multi-State Government Advisory

Jan 2023 to Apr 2025

- Provided consulting support to The Aspen Group, a private convening of approximately 30 senior healthcare leaders co-chaired by former U.S. Secretary of Health & Human Services Mike Leavitt; members included former U.S. Senate Majority Leaders, former CMS and FDA Commissioners, and CEOs of Fortune 500 health insurers, hospital systems, biotech, and digital health companies
- Advised member leadership on discussion topics and meeting agendas; built relationships across senior offices of federal officials and Fortune 500 healthcare leadership to cultivate speaker pipelines for biannual convenings held at venues including the U.S. Senate, U.S. House of Representatives, and the White House
- Built financial and forecast models for state government clients including California and North Carolina to inform compensation strategy for the public health workforce; presented findings to agency leadership and translated technical outputs into actionable, plain-language recommendations
- Conducted commercial due diligence on healthcare organizations across the payer, provider, and digital health sectors, contributing market analysis, regulatory risk assessment, and investment thesis validation

Junior Associate | Leavitt Partners, an HMA Company

Salt Lake City, UT

Healthcare Policy Consulting

Aug 2021 to Jan 2023

- Conducted policy research and contributed to white papers on value-based pharmaceutical pricing reform at a healthcare consulting firm founded by former U.S. Secretary of Health & Human Services Mike Leavitt
- Tracked federal regulatory developments and U.S. digital health industry funding flows; authored published reports on market trends and regulatory outlook for federal, state, and private-sector clients

LEADERSHIP & GOVERNMENT EXPERIENCE**Trustee | Utah State University Board of Trustees**

Logan, UT

Student-elected voting member of the governing body of a public research university

Apr 2019 to May 2021

- Held a full voting seat alongside trustees appointed by the Governor of Utah and confirmed by the State Senate; participated in board deliberations on institutional policy, university budget, capital planning, and executive personnel matters
- Reviewed and voted on board agenda items spanning academic affairs, finance, and student affairs; engaged directly with the university president, provost, and senior administration on institutional priorities

Student Body President | Utah State University

Logan, UT

Twice elected by 27,000+ students; one of two elected positions in university leadership

Apr 2019 to May 2021

- Engaged the Utah System of Higher Education and state policy bodies on student-impacting policy and funding issues; eliminated narrowly targeted student fees through structured policy analysis and stakeholder negotiation
- Concurrently elected by peer student body presidents to serve as President of the Utah Student Association, the statewide association representing 180,000+ students across Utah's public 2- and 4-year institutions before state policy bodies
- Identified and led a full redesign of the university's website after presenting the case to the institution president; secure d executive buy-in and oversaw implementation

SKILLS & COMPETENCIES

Healthcare Policy Analysis | Federal Regulatory & Legal Interpretation | Compliance & Implementation | Legislative & Policy Analysis | Reporting | Data Analytics | Financial & Forecast Modeling | AI-Powered Automation (Microsoft Copilot Studio) | Executive Stakeholder Engagement | Cross-Functional Leadership | Written and Verbal Communication | Excel | Bilingual



USU Board of Trustees Meeting - USU Eastern

Friday, June 5, 2026, at 12:30 PM - 4:15 PM MDT

Price, UT or via Zoom

Attendance

Trustees:

Tessa White, Chair

Gina Gagon, Vice Chair

Max Alder

Ryan Dent

Brett Hugie (virtual)

David Huntsman

Luke Johnson

Kacie Malouf

Jacey Skinner

Clark Whitworth (absent)

Dave Petersen (absent)

University Representatives:

Brad Mortensen, President

Tiffany Allison (virtual)

Paul Barr (virtual)

Lisa Berreau

Sterling Bone (virtual)

Janalyn Brown

Steve Campbell (virtual)

Dave Cowley

Dwight Davis (virtual)

Amanda DeRito (virtual)

Pam Dupin-Bryant

James Gibson

Crystal Giordano (virtual)

Eric Hawley

Allen Hill

Haley Klaassen

Burke Nazer

Jessica Oyler

Bill Plate

Salesh Sharma (virtual)

Justen Smith

Brian Steed

Courtney White

Matt White

Kris Winter (virtual)

Other:

Angie Stallings, USHE (virtual)

Ben Cornaby, USU Eastern Student (virtual)

Agenda

1. Welcome and Call to Order

12:36 PM

Presenter: Chair Tessa White

Chair White welcomed everyone in attendance and called the meeting to order.

2. Student Resolution and Commendation

12:38 PM

Presenter: Trustee Max Alder

Trustee Alder read the resolution and recognized Ben Cornaby.

3. Closed Session

12:46 PM

Motion: Vice Chair Gagon moved that in accordance with 52-4-205 of the Utah Code that the Trustees go into a closed session for the sole purpose of discussing the character, professional competence, physical or mental health of individuals, pending or reasonably imminent

litigation, and the possible sale of real property. Motion seconded by Trustee Malouf. Roll call vote was initiated by Chair White and taken by Secretary Janalyn Brown. Voting was unanimous in the affirmative and the meeting moved to a closed session which commenced at 12:46 PM.

Attendance

Trustees:

Tessa White, Chair	Brett Hugie (virtual)	Jacey Skinner
Gina Gagon, Vice Chair	David Huntsman	Dave Petersen (absent)
Max Alder	Luke Johnson	Clark Whitworth (absent)
Ryan Dent	Kacie Malouf	

University Representatives Present:

Brad Mortensen, President	Dave Cowley	Jessica Oyler
Janalyn Brown	Burke Nazer (virtual)	

Motion: Trustee Huntsman moved to adjourn the closed session. Motion seconded by Trustee Dent. Voting was unanimous and the closed session concluded at 1:27 PM.

4. Reports

1:27 PM

4.1. Executive Committee (see report)

Presenter: Chair Tessa White

4.2. Audit, Risk, and Compliance Committee (see report)

Presenter: Trustee Ryan Dent

4.3. Research and Academic Approval Committee (see report)

Presenter: Trustee Gina Gagon

4.4. Statewide Mission and Campus Oversight Committee (see report)

Presenter: Vice Chair Gina Gagon

5. Cybersecurity Report

1:49 PM

Presenter: CIO Eric Hawley, Allen Hill

Chief Information Officer Eric Hawley and Chief Information Security Officer Allen Hill presented an overview of Utah State University's approach to cybersecurity, describing it as a practical effort to manage risk while supporting the university's core mission. They explained that the strategy centers on two main priorities: identifying everything that needs protection—such as devices, systems, data, and people—and then applying the right safeguards. It was emphasized that risk can't be eliminated, but it can be controlled with thoughtful investment and coordination.

The presentation also outlined how the university prepares for and responds to incidents, focusing on detecting threats, responding effectively, recovering quickly, and learning from

each event to improve future protections. A large portion of the presentation highlighted improvements made after a recent audit, including better documentation, clearer alignment with required standards, and stronger collaboration across departments.

The challenges of decentralized IT systems were also addressed, explaining that while different units may manage their own technology, they are all expected to follow the same university-wide rules and standards. It was noted that the institution is shifting from “ask and assume” to “know and ensure,” creating a more consistent and accountable cybersecurity program across campus.

6. President's Report

2:10 PM

Presenters: President Brad Mortensen, VP Jessica Oyler

President Mortensen shared positive developments at the university, addressing student deferral increases, impactful extension programs, and leadership changes. Initiatives include combining leadership roles for better focus on student success, along with highlighting new dean and external relations roles. See President’s Report for further details.

6.1. Legislative Audit Update (see attached report)

The spreadsheet tracking the seventeen recommendations from the legislative audit was reviewed. There has been progress on each recommendation, and some have been completed. A written report on audit progress is planned for submission to the Auditor General by July 31st.

7. Break

2:27 PM

8. Action Agenda

8.1. Approve: Utah State University State Appropriated Budget for FY27

2:38 PM

Presenters: President Brad Mortensen, VP Dave Cowley

The FY27 Utah State University state appropriated budget was presented to the trustees. Pressure points for the upcoming year include competitiveness in faculty and staff retention, potential macroeconomic factors affecting state revenue, and how to manage anticipated large numbers from a forthcoming compensation study without clear funding sources. The idea of internal reallocation, not just looking for new resources, was discussed as a strategy for managing the budget effectively. Discussion included alternative funding strategies like partnerships with other institutions and shared services to increase efficiency and free up funds.

Motion: Trustee Dent moved that the USU Board of Trustees approve the state appropriated budget for FY27 as presented. Motion was seconded by Vice Chair Gagon. Voting was unanimous in the affirmative.

8.2. Approve: Utah State University President's Budget for FY27 (see attached) 2:57 PM

Presenters: President Brad Mortensen, VP Dave Cowley

The Board of Trustees discussed the budget for the President's Office in FY27. Updates of the President's budget will be presented to the board quarterly throughout the year.

Motion: Trustee Hugie moved that the USU Board of Trustees approve the President's budget for FY27 as presented. Motion was seconded by Trustee Huntsman. Voting was unanimous in the affirmative.

8.3. Approve: Real Property Disposal (Price, UT) (see attached) 3:02 PM

Presenters: President Brad Mortensen, President VP Dave Cowley

The proposal to dispose of 7.5 acres of property on the Price campus was discussed. Half of the proceeds are planned to be used for renovations to the remaining practice field.

Motion: Trustee Johnson moved that the USU Board of Trustees approve the disposal of real property in Price, Utah, as presented. Motion was seconded by Trustee Dent. Voting was unanimous in the affirmative.

8.4. Approve: Real Property Acquisition (2.5 acres in Price, UT) (see attached) 3:05 PM

Presenters: President Brad Mortensen, VP Dave Cowley

The proposal for the acquisition of 2.5 acres south of the Price campus was discussed.

Motion: Trustee Malouf moved that the USU Board of Trustees approve the acquisition of real property in Price, Utah, as presented. Motion was seconded by Vice Chair Gagon. Voting was unanimous in the affirmative.

8.5. Approve: Real Property Acquisition (Student Housing Development in Price, UT) (see attached) 3:06 PM

Presenters: President Brad Mortensen, VP Dave Cowley

The proposal for the acquisition of 1.2 acres south of the Price campus was discussed. An agreement has been made for a developer to build new student housing on the property with 96 beds and 65 parking spots. Once completed, USU will purchase and operate the housing.

Motion: Trustee Skinner moved that the USU Board of Trustees approve the acquisition of real property for a student housing development in Price, Utah, as presented. Motion was seconded by Trustee Johnson. Voting was unanimous in the affirmative.

8.6. Approve: Residence Hall Change of Site (Logan, UT) (see attached) 3:09 PM

Presenters: President Brad Mortensen, VP Dave Cowley

The proposal for residence hall site change on the Logan campus was discussed. The proposed change is due to constraints and added costs at the originally planned site.

Motion: Trustee Alder moved that the USU Board of Trustees approve the change of site for a residence hall in Logan, Utah, as presented. Motion was seconded by Trustee Malouf. Voting was unanimous in the affirmative.

8.7. Accept: Utah State University Athletics Reports for FY27 (see attached) 3:13 PM
Presenters: President Brad Mortensen, VP Dave Cowley

The athletics reports for USU Logan and USU Eastern, including the proposed athletics budget for FY 27, were discussed. Key sources of budget increase include a rise in development activity for athletics and contract adjustments. The athletics fundraising goal and efforts to increase revenue were also discussed.

Motion: Trustee Hugie moved that the USU Board of Trustees approve the athletics reports for FY27 as presented. Motion was seconded by Trustee Huntsman. Voting was unanimous in the affirmative.

8.8. Accept: External Audit Reports (see attached) 3:50 PM
Presenter: Trustee Ryan Dent

The external audit reports were discussed. The ARC Committee reviewed these reports in their committee meeting and did not note any concerns.

Motion: Trustee Skinner moved that the USU Board of Trustees accept the external audit reports as presented. Motion was seconded by Trustee Johnson. Voting was unanimous in the affirmative.

8.9. Accept: Utah State University Auxiliary and Service Enterprises Reports 3:28 PM
Presenter: VP Dave Cowley

The USU Statewide Auxiliary Service Enterprises reports were discussed. Various auxiliary services, including the Taggart Student Center and motor pool, are financially stable. However, dining services and housing at certain campuses require subsidies.

There was a suggestion by trustees to increase funding to address food insecurity at statewide campuses, specifically referencing Blanding and the need for coverage on weekends. VP Jessica Oyler noted this will be a topic in statewide budgetary and funding discussions.

Motion: Trustee Dent moved that the USU Board of Trustees accept the auxiliary and service enterprises reports as presented, with a follow-up action noted to address food

insecurity at USU Blanding. Motion was seconded by Vice Chair Gagon. Voting was unanimous in the affirmative.

8.10. Approve: USU Board of Trustees Amended Bylaws

3:48 PM

Presenter: Interim General Counsel Burke Nazer

Burke Nazer presented amendments to the Board of Trustee bylaws. These amendments were largely due to 2026 Senate Bill 240, which updates the responsibilities of the Board.

Motion: Vice Chair Gagon moved that the USU Board of Trustees approve the amended bylaws as presented. Motion was seconded by Trustee Johnson. Voting was unanimous in the affirmative.

9. Consent Agenda

3:51 PM

Motion: Trustee Malouf moved that the Board of Trustees approve the Consent Agenda, apart from items 9.2.2, 9.4.1, 9.4.2, 9.4.3, and 9.4.4. Trustee Huntsman seconded the motion. Voting was unanimous in the affirmative. Motion passed.

9.1. Approve: Meeting Minutes

9.1.1. 4.29.26 USU Board of Trustees Regular Meeting Minutes

9.1.2. 5.11.26 USU Board of Trustees Special Meeting Minutes

9.2. Approve: Expedited Tenure

9.2.1. Approve: Expedited Tenure S.J. & Jessie E. Quinney College of Agriculture & Natural Resources Dean Derek McLean

9.2.2. Approve: Expedited Tenure Department of Psychology Associate Professor Dr. Aaron J. Fischer

9.3. Academic Approvals

9.3.1. Approve: Certificates

9.3.1.1. Professional Writing and Communication Certificate in College of Arts and Sciences

9.3.1.2. Foundations of Artificial Intelligence Post-Bachelor's Certificate in the College of Arts and Sciences

9.3.1.3. Middle School Mathematics Certificate in the College of Arts and Sciences

9.3.1.4. Substance Use Disorder Counseling Certificate in the Emma Eccles Jones College of Education and Human Services

9.3.1.5. Transportation Infrastructure Electrification Post-Bachelor's Certificate in the College of Engineering

9.3.1.6. Organizational Leadership Post-Bachelor's Certificate in the Jon M. Huntsman School of Business

9.3.1.7. Commercial Driver's License (CDL)-Class B Technical Certificate in the S.J. and Jessie E. Quinney College of Agriculture and Natural Resources

9.3.2. Approve: Discontinuations

9.3.2.1. Master of Fitness Promotion (Master of Applied Kinesiology) in the Emma Eccles Jones College of Education and Human Services

9.3.2.2. Surgical Technology Associate of Applied Science in the S.J. and Jessie E. Quinney College of Agriculture and Natural Resources

9.3.3. Approve: Name Change

9.3.3.1. Master of Data Analytics (Statistics) to Master in Applied Machine Learning Statistics in the College of Arts and Sciences

9.3.3.2. Web Development Minor to Full-Stack Development Minor in the Jon M. Huntsman School of Business

9.3.3.3. Web Development Post-Bachelor's Certificate to Full-Stack Development Post-Bachelor's Certificate in the Jon M. Huntsman School of Business

9.3.3.4. Information Systems: Web Development Emphasis Bachelor of Arts, Bachelor of Science to Information Systems: Full-Stack Development Emphasis Bachelor of Arts, Bachelor of Science in the Jon M. Huntsman School of Business

9.3.4. Approve: New Degree

9.3.4.1. Professional Sales Bachelor of Science in the Jon M. Huntsman School of Business

9.4. Policy Approvals:

9.4.1. Policy 3207: Wage & Salary Administration

9.4.2. Policy 3311: Employee Gifts & Awards

9.4.3. Policy 4000: Composition & Authority of the Faculty

9.4.4. Policy 5208: Digital Accessibility

10. Information Agenda

10.1. Interim Policy 1003: Strategic Reinvestment Plan

10.2. Report of Investments for January 2026

10.3. Report of Investments for February 2026

10.4. Report of Investments for March 2026

10.5. Interim Policy 4111: Time & Effort Reporting

11. Adjourn

4:01 PM

Motion: Vice Chair Gagon moved to adjourn the meeting. Trustee Malouf seconded the motion. Voting was unanimous in the affirmative. Meeting adjourned.

Tessa White, Chair

Janalyn Brown, Secretary

Date Approved



Board Training
USU Foundation Board & USU Board of Trustees
June 6, 2026, at 8:30 AM
Utah State University, Price, Utah

MINUTES

Minutes of the board training with the USU Board of Trustees and the USU Foundation Board.

BOARD OF TRUSTEES

Tessa White
Gina Gagon
Luke Johnson
Jacey Skinner
Kacey Malouf
Bret Hugie
Max Alder

MEMBERS PRESENT

Robert Arello
Caryn Beck-Dudley
Jeannine Bennett
Mehdi Heravi
Tom Willis
Mark Stoddard
Katie Hansen
Laurel Cannon-Alder
Heather Mason
Kent Bracken
Sylvia Jones
Nate Phillips
Burns Israelsen
Steve Palmer

ADMIN AND GUESTS

Brad Mortensen, University President
Dave Cowley, Vice President for Business & Finance
Matt White, Vice President for Advancement & President, USU Foundation
Jessica Oyler, University's Chief of Staff
Scott Olson, USU Foundation Board Professional
Michael Goodwin, AGB Consultant

USU LEADERSHIP RETREAT

I. THE SPEED OF TRUST EXERCISE

- Mike Goodwin led a session on the importance of trust, referencing the book “The Speed of Trust.”
- Trust was discussed as a measurable asset that increases speed and reduces costs within an organization.
- Participants broke into small groups to discuss key questions:
 - Whether trust is a measurable asset.
 - Which high-trust behaviors are most important for this joint setting.
 - What behaviors during the meeting would help reinforce trust.
- Group discussions identified key behaviors for building trust:
 - Collaboration, communication, and a clear understanding of roles.
 - A shared interest in the long-term success of Utah State University.
 - Active listening, sharing ideas, and understanding each other’s goals and concerns.
- The “no surprise rule” was highlighted as critical, citing a past incident where a foundation’s policy change caught a university president off guard.
- A survey was conducted for self-assessment to understand strengths, shortcomings, and experiences with the board.
- The survey covered five sections:
 - Section 1: Mission and strategy
 - Section 2: Leadership
 - Section 3: Oversight and accountability
 - Section 4: Culture of philanthropy
 - Section 5: Board performance
- Logistical arrangements were discussed for an upcoming event, including changing clothes and the amount of walking involved.

II. INSIGHTS FROM FOUNDATION BOARD DISCUSSION

- The discussion highlighted a need for better role clarity for board members to support and grow fundraising productivity.
- There was a desire for a better understanding of trustees’ priorities.
- It was proposed to give Gina a standing opportunity at each meeting to discuss trustee activities and answer questions.
- The group emphasized the need to clarify and differentiate the roles of the Foundation Board and the university trustees, while still collaborating.
- A key suggestion was to have a formal Memorandum of Understanding (MOU) to define how the board works with the university.
- The board’s role in providing continuity and preserving university traditions through presidential transitions was discussed.

III. ADVANCING FUNDRAISING GOALS

- The discussion addressed the need to grow the advancement budget without relying more on institutional funds.

- The goal is to become a \$125 to \$150 million fundraising operation, up from the current \$75 million, which requires growing the fundraising staff.
- Exploring creative revenue generation models was suggested to achieve this growth.
- Board members expressed a desire to be more actively involved in fundraising by bringing opportunities to the advancement team.

IV. INSIGHTS FROM TRUSTEE DISCUSSION

- Trustees and the Foundation Board held separate sessions to review board assessments, with trustees being more critical of themselves.
- Trustees discussed the university's institutional sustainability, financial model, and the need for greater trust with the administration.
- A significant part of the conversation focused on the relationship with the Foundation Board.
- Trustees updated their bylaws on June 28, 2026, to include statutory language on their responsibility for planning and implementing fundraising efforts.
- There's a need to review governing documents like the MOU and articles of incorporation to clarify the delegation of fundraising to the foundation.
- Trustees are willing to use their networks to help with fundraising and want to better understand institutional priorities.

V. ACTIONS & NEXT STEPS FOR TRUSTEE-FOUNDATION COLLABORATION

- Four key action items were identified from the trustee discussion:
 - Update the MOU.
 - Increase joint opportunities and partnerships, such as legislative lunches.
 - Hold an annual joint gathering to review high-level strategies and how they align with the president's plan.
 - Have Matt provide a meaningful annual report to ensure rich discussion on strategic direction.

VI. THE "ESSENTIAL PARTNERSHIP" AKA "THE TANDEM TIGHTROPE WALK"

- The concept of the "essential partnership" between a university and its foundation was introduced, highlighting the foundation's key role in advocacy and support.
- A pamphlet developed by ACP about ten years ago provides guiding principles for this relationship, initiated due to concerns that foundations might develop agendas separate from their universities.
- **Six Guiding Principles:**
 - **Fostering Engagement** Promote a culture of collaboration and trust.
 - **Recognizing Contributions:** Institutional boards should acknowledge the expertise and support of foundation boards.
 - **Defining Roles:** Collaboratively determine foundation roles to ensure alignment with university needs.
 - **Ensuring Transparency:** Establish and review policies like MOU's for accountability and alignment.
 - **Supporting Leadership:** Support the president's vision and avoid conflicts between foundation and institutional leaders.

- **Upholding Ethical Standards:** Embrace transparency and avoid using the foundation to bypass institutional spending rules.
- An analogy of a rowing team and a canoe with an outrigger was used to illustrate synchronization, trust, and the foundation's supportive role.

VII. PRESENTATION: THE EVOLVING ROLE OF FOUNDATIONS, AND THE RESPECTIVE ROLES OF THE BOARDS IN FUNDRAISING

- Historically, foundations focused on fundraising and asset management to protect funds from state treasuries.
- Today, their roles have expanded to include alumni integration, advocacy, public perception, branding, and pursuing innovative projects.

Examples of Innovation:

- **Virginia Tech:** Manages real estate and developed an innovation campus.
- **Oregon State:** Created an advocacy organization to influence state funding.
- **University of Florida:** Developed a retirement community for alumni and retirees
- Modern fundraising has shifted to a “donor-centered” model, focusing on building lasting relationships with a small number of key donors (the 90/10 rule).
- Board members now act as volunteers, facilitators, and ambassadors.
- Successful fundraising is a “four-legged stool” involving the University Board, Foundation Board, Academic Leadership, and University Advancement.
- A \$150 million stadium project required funding from the EDF (\$50 million), state-backed bonds (\$50 million), and the foundation (\$50 million).
- Collaboration was essential as the trustees had to approve the project for state bonding, and the financial teams structured a bridge loan for the foundation's pledged portion.

i. Generative Discussion – Determining “What Needs Deciding”

- A younger, generational perspective suggested a downturn is an ideal time to plan and start a campaign.
- This strategy involves keeping donors engaged so that funding is available upon economic recovery.
- It was noted that not all donors lose money in a downturn; some may profit.
- The discussion highlighted that while the board of trustees has legal authority, the foundation's role is a voluntary partnership.
- A narrow focus on legal and contractual aspects can harm the collaborative relationship, which relies on a culture of trust.
- When updating the Memorandum of Understanding (MOU), non-legal stakeholders' should be involved to discuss practical impacts. The MOU should be a living document.
- The book “Governance as Leadership” was introduced, proposing boards divide their time equally among fiduciary, strategic, and generative work.

- Generative conversation is about framing problems and what needs to be decided, which fosters creativity and avoids unproductive debates.
- Examples of generative questions included how to reimagine libraries or whether the current leadership structure creates clarity.
- The Board of Trustees faces numerous metric and a key challenge is focusing on the most important issues to “move the needle.”
- A suggestion was made to ask a generative question for each of the President’s four pillars, such as: “What’s the one thing that will make the biggest difference?”
- Focusing on one key item per pillar in each meeting could prevent important goals from getting lost.

ii. **Closing Reflections & Next Steps**

- Update the MOU between the Foundation Board and the university.
- Schedule an annual gathering for the Foundation Board and Board of Trustees to review strategic priorities.
- Arrange for Matt White to give an annual report to the trustees.
- Get a copy of the AGB pamphlet on the essential partnership for board members.
- Review the provided articles of incorporation and bylaws.
- Use the 1999 MOU as a template to discuss how to move forward.

THE TRAINING ADJOURNED AT 11:37 am

Utah State University Leadership Retreat

Strengthening the Essential Partnership

Price, Utah

June 6th, 2026

AGB ASSOCIATION OF
GOVERNING BOARDS
OF UNIVERSITIES AND COLLEGES

Today's agenda

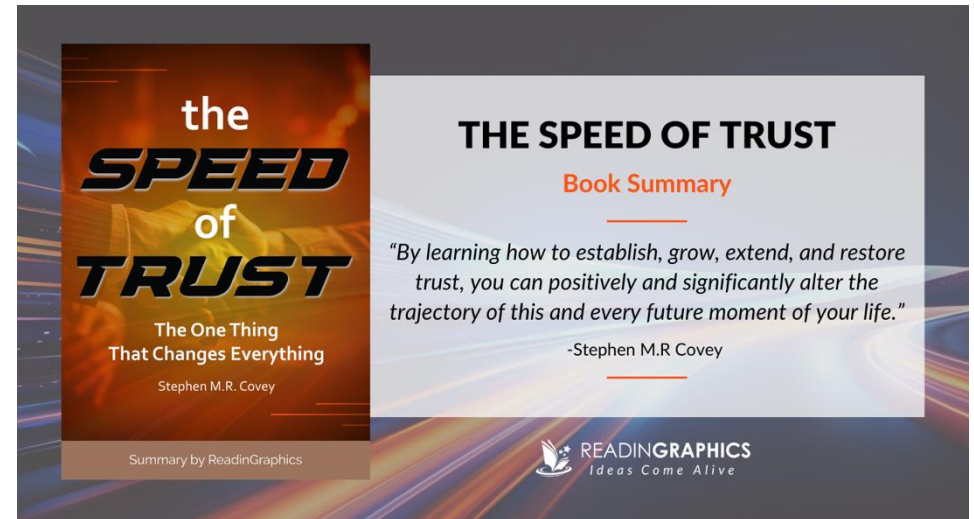
1. Welcome, introductions, and goals for the day
2. Speed of trust exercise
3. Self assessment results and discussion
4. Break
5. Evolving role of foundation board, roles of the boards in fundraising
6. Discussion to identify generative topics
7. Wrap up and next steps

Opportunities to participate

- One minute essay
- Table partnership
- Table breakout session
- Board break out sessions

Key points from The Speed of Trust

- Trust is a foundation for successful interactions
- High trust leads to greater efficiency and productivity and lower transaction costs
- Trust can be built through accountability, transparency, and consistently delivering results



13 Behaviors of High Trust Leaders

Talk straight

Demonstrate respect

Create transparency

Right wrongs

Show loyalty

Deliver results

Get better

Confront reality

Clarify expectations

Practice accountability

Listen first

Keep commitments

Extend trust



Questions for discussion

01

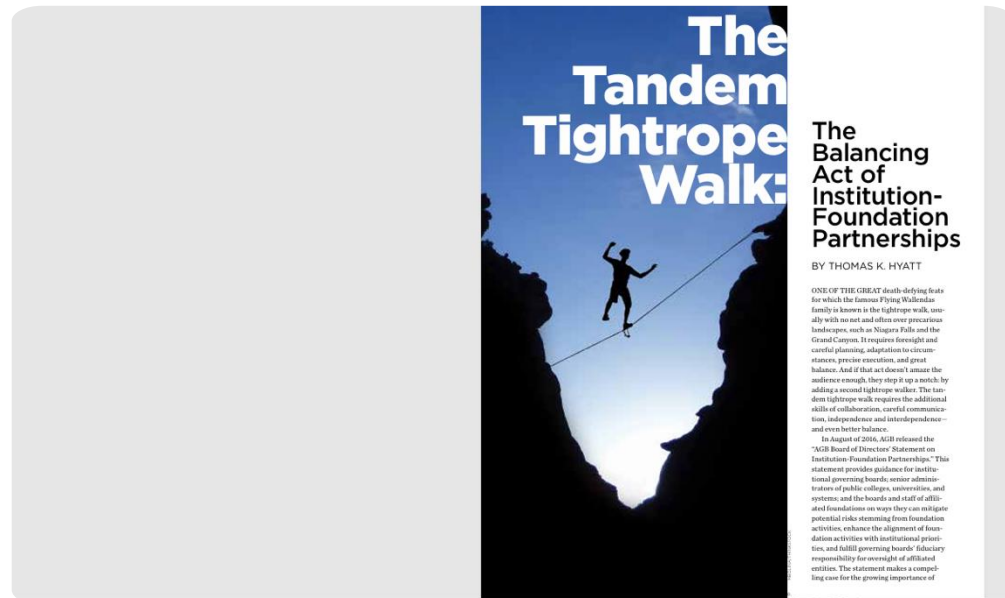
DO WE AGREE THAT TRUST IS A REAL, MEASURABLE ASSET THAT INCREASES SPEED AND LOWERS COST?

02

IN THIS SETTING, WHICH HIGH TRUST BEHAVIORS ARE MOST IMPORTANT?

03

WHAT BEHAVIORS IN TODAY'S MEETING WILL REINFORCE TRUST AND HELP MAKE TODAY A SUCCESS FOR YOU



Pre-read takeaways

- To achieve mutual understanding between institutional leadership and the foundation board, acknowledge, accept and respect each other's roles, duties and obligations.
- Independence from the host institution should not cause the foundation to lose sight of its prime directive: to support the institution,
- The partnership between the institution president and the foundation CEO is vitally important, setting the tone for the work of both boards.
- What else?

Self-assessment breakout sessions

Self-assessment questions for discussion

- What themes stand out?
- Do the responses reflect clarity about the board's role? If not, why not?
- What opportunities for improvement or innovation appear in the responses
- What do the responses tell us overall about who we are as a board right now?
- If we could only improve 1-2 things, what would have the greatest impact?

What is “the essential partnership” and why does it matter?

I've worked with public foundation boards for decades, and I've witnessed first-hand how they've responded to the new needs of public higher education and the challenges facing the sector. Make no mistake. If public colleges and universities are going to thrive in the coming decades, foundations and their boards must deliver.

Rick Legon
Past President, AGB





How we talked about governance in 2010

AGB



**Governance
today—what's
changed?**

Guideline for Building the “essential partnership”

AGB BOARD OF DIRECTORS' STATEMENT ON Institution-Foundation Partnerships

FOR 125 YEARS, AFFILIATED FOUNDATIONS HAVE SUPPORTED PUBLIC COLLEGES AND UNIVERSITIES AS FUNDRAISERS, STEWARDS OF PRIVATE AND ENTERPRISE PARTNERS. THE BOARDS OF AFFILIATED FOUNDATIONS HAVE PROVIDED GUIDANCE AND COUNSEL TO INSTITUTION ADMINISTRATORS AS ADVOCATES AND AMBASSADORS ON BEHALF OF THEIR INSTITUTIONS, AND LED FUNDRAISING EFFORTS THROUGH THEIR VOLUNTEER LEADERSHIP AND PERSONAL PHILANTHROPY. IN RECENT DECADES, HOWEVER, THE LONG-STANDING COMPACT BETWEEN STATES AND THEIR INSTITUTIONS HAS CHANGED. STATE FUNDING ACCOUNTS FOR A DIMINISHING PROPORTION OF INSTITUTIONAL BUDGETS, AND PRIVATE AND PUBLIC-PRIVATE PARTNERSHIPS ARE INCREASINGLY ESSENTIAL TO BOTH INSTITUTIONAL EXCELLENCE AND FINANCIAL SUSTAINABILITY. IN THIS ENVIRONMENT, PARTNERSHIPS BETWEEN INSTITUTIONS AND THEIR AFFILIATED FOUNDATIONS ARE ALSO EVOLVING. IN MANY CASES, FOUNDATIONS ARE BECOMING MORE ACTIVE IN THE INSTITUTIONAL GOVERNANCE PROCESS, AND ARE BECOMING MORE ACTIVE IN THE INSTITUTIONAL GOVERNANCE PROCESS.

Guiding principles of “the essential partnership”

1. The institutional governing board and administrators should work with the foundation as a strategic partner, ensuring that governance practice, organizational structures, and institutional policies all foster a culture of engagement and collaboration.
2. Institutional and system boards should recognize the contributions made by foundation boards and tap their wisdom and expertise as well as their philanthropic support.
3. Administrators of the foundation and the host institution should collaboratively determine the roles and responsibilities the foundation will fulfill in support of the institution.

Guiding principles of “the essential partnership”

4. The institutional governing board and foundation board should work together to establish and periodically review policies and practices to ensure transparency, accountability, and effective alignment.

5. The foundation should support the vision and strategic priorities of the institutional president and avoid positioning the foundation CEO in conflict with institutional leaders.

6. To maintain public trust, the foundation should voluntarily embrace the highest standards of transparency commensurate with the protection of donor's privacy, the foundation's business-critical information, and the best interests of the institution.

Building the essential partnership—true or false?

- The governing board should push the foundation to reach for stretch goals.
- Institutional presidents, charged with being change agents, finding efficiencies, and being entrepreneurial, should change the fundraising model to the one they are most comfortable with.
- New foundation volunteers expect more substantive, strategic roles
- The foundation should have its own perspective regarding university decisions, especially regarding hiring key positions
- University leaders should focus on their academic roles instead of fundraising.
- The foundation should resist efforts for a shared risk management approach because it will likely violate confidentiality.
- Important investment decisions should be reviewed by the board of trustees.

In response to changing environment, foundation roles are evolving

Traditional roles:

- Segregation of assets from state funds
- Some fundraising, donor stewardship, asset management

New possibilities:

- Overall leadership of enhanced philanthropic efforts
- Integration of alumni programs
- Enhanced advocacy efforts and public perception
- Pursuit of objectives that advance the university but are typically challenging for government agencies.
- Examples

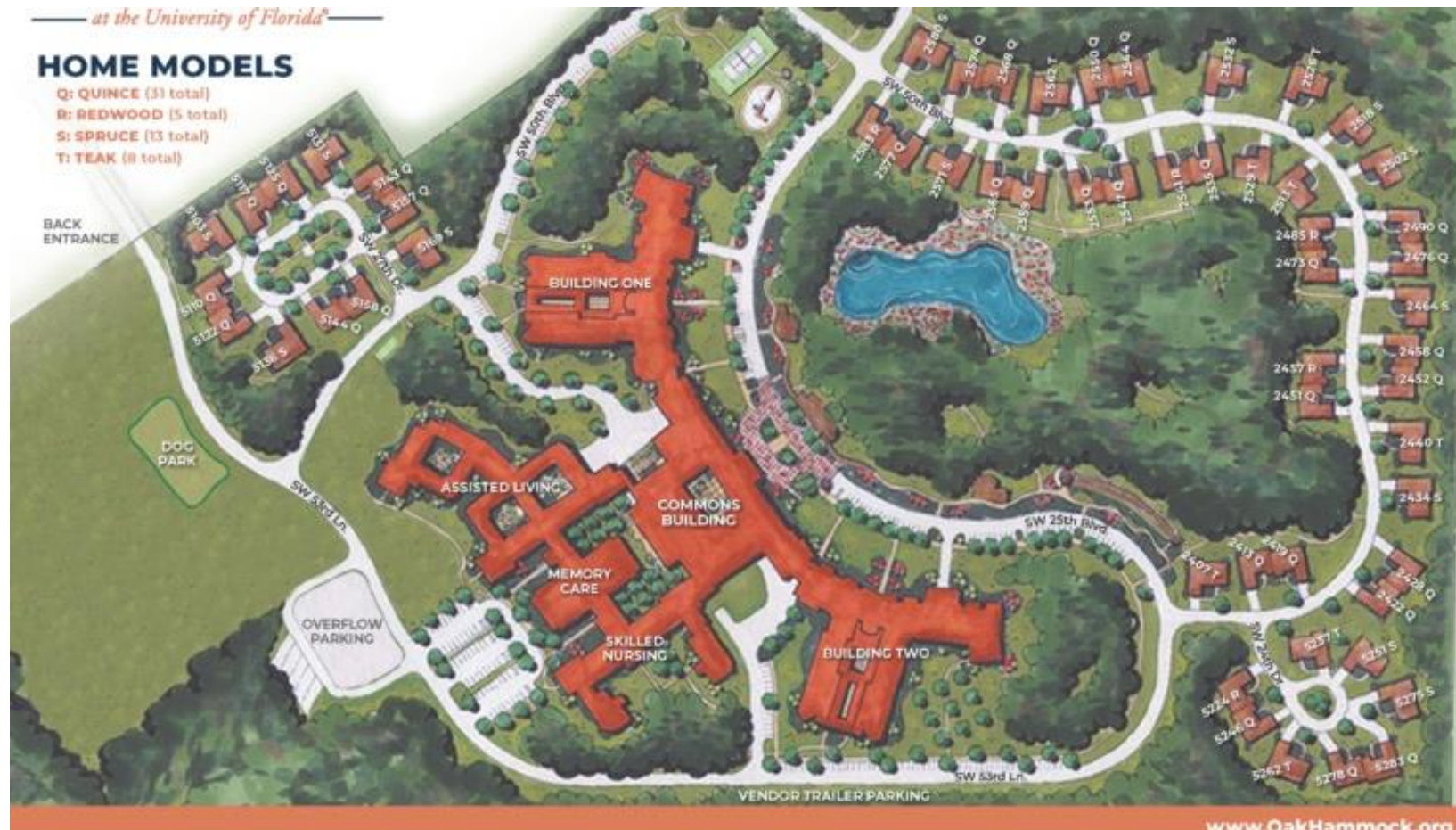
Responding to the opportunity to develop an innovation campus in northern Virginia



Change drive by strategic volunteer leadership — Oregon State's “Beaver Caucus”



Change driven by university leadership



The role of the boards in university fundraising

The new mindset...donor centered philanthropy

- Based on 90-10 rule
- Prioritizes donor's experiences, values and motivations
- Professional staff work to discover donor 's interests and match them with university initiatives
- More about building lasting relationships than focused solely on transactions
- Key principles'
 - Empathy and respect
 - Stories are key
 - Personalize
- Board members and volunteers are facilitators and ambassadors, not sales people ("it's not about me")

University
fund-raising
is the
ultimate
example of
“the
essential
partnership”

- **University Board:** Governance and oversight,
- **Foundation Board:** Dedicated fundraising leadership
- **Academic leadership:** Identify institutional priorities, engage with donors
- **University Advancement** Professional fundraising and execution of the plan.

University board role in fund- raising

- Governing authority: sets strategy and institutional priorities, in coordination with university leadership
- Fiduciary responsibility: protect assets, ensure long term sustainability
- Endorse campaign goals and major fund-raising initiatives
- Approve major naming opportunities (e.g., a college)
- Provide strategic (not operational) guidance for fundraising
- Represent the university and engage with supporters as requested

Foundation board role

- Dedicated fundraising entity
- Engage donors, open doors, build relationships in coordination with professional staff
- Lead by example through personal giving
- Provides specialized expertise in areas like investments
- Advise on fundraising strategy
- As appropriate, review and evaluate fundraising plans, budgets and progress

University leadership role

- Help align goals with university strategic priorities
- Build relationships with donors, serving as face of the fundraising initiatives
- Articulate the vision
- Inspire trust and enthusiasm for the initiatives

Role of professional staff

- Designs and executes fundraising strategy
- Manages donor pipeline, data base, prospect research
- Coordinates with university marketing on branding and other communications
- Manages stewardship, communication and gift accounting
- Coordinates campaigns and reporting

Case study—who makes the decision?

- Your campaign kickoff is three months out. Unfortunately, the stock market continues to drop. Stocks have fallen almost 40% over the last six weeks.
- Many people are encouraging you to postpone the kickoff.
- Who should make the final decision, and what process should be used to arrive at that conclusion?

Volunteer relationship vs. contractual obligation

- Affiliated foundations exist to benefit the institution.
- Not a bilateral relationship-the university confers the right to use name, marks, and accept gifts on behalf of the institution but the university retains the power to direct many aspects of relationship.
- However, a narrow focus on legal and contractual obligations is not conducive to forming an effective philanthropic partnership.
- Charitable contributions are, by definition, voluntary,
- A culture of trust and collaboration is essential.

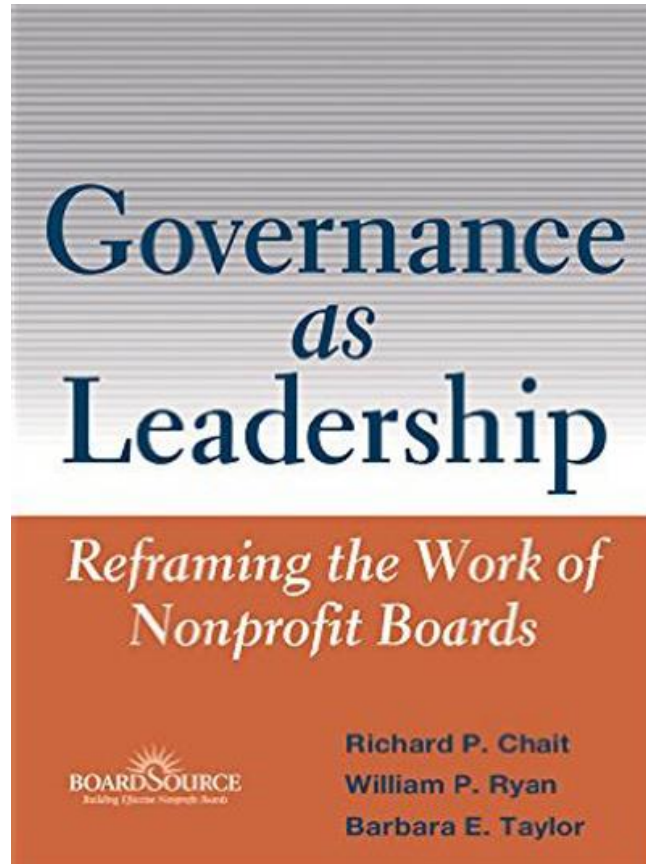
Techniques for building a shared vision

- Inclusive visioning process
- Joint strategic planning
- Governance alignment (Foundation and Governing Board, and Alumni if applicable)
- MOU between university and foundation is a “living document”
- Regular joint meetings and retreats
- Culture of philanthropy—everyone participates

Generative conversations

Thinking that frames the problems we solve

33



Governance today requires a new way of framing our work

“If boards are not involved in generative thinking, they are not governing fully...”

Board should spend about a third of their time on fiduciary work, a third on strategic and a third on generative.

– Bill Ryan, co-author

**Think Generatively –
develop a deep
understanding of
mission, context and
strategy**

“Generative conversations – thinking that frames the problems we solve, determines what needs deciding before we make decisions, suggests what’s worth strategy before we develop a strategic plan.”

– Bill Ryan

AGB

Benefits of generative thinking

- Helps board move beyond oversight and fiduciary role
- Invites exploration of big issues that will shape the institutions
- Fosters creativity and innovation
- Strengthens collaboration between board members and university/foundation leadership
- Encourages alignment

Examples of generative questions

These questions are open ended and thought provoking. They should open up new possibilities and encourage creative thinking.

Examples:

- How might we reimagine fundraising to engage the next generation of donors?
- Does the current relationship among the institutional board, foundation board, president, foundation CEO, and senior administrators create the clarity, trust and accountability needed to advance the strategic plan?
- Is the MOU well understood, current, and actively used as a governance tool rather than simply for compliance?

Topics for generative questions:

- Mission and strategic alignment
- Governance vs. management
- Student success and value
- Foundation role in strategic investment and innovation
- Impact of societal trends
- Utah statewide impact
- Discovery with purpose
- Enhancing the essential partnership

Generative discussion—table break out groups

“Generative conversation—thinking that frames the problems we solve—determines what needs deciding before we make decisions, suggests what’s worth strategy before we make a strategic plan.”

- **Assignment: Brainstorm generative questions the Utah State boards should explore together over the next year, then prioritize your list to identify the two most important topics.**
- **Assign a member to report back and explain your choices.**

Last words:

Please write a one-minute essay summarizing your thoughts as we wrap up

On behalf of AGB

Thank you!

AGB ASSOCIATION OF
GOVERNING BOARDS
OF UNIVERSITIES AND COLLEGES

The Tandem Tightrope Walk

By Thomas K. Hyatt

Trusteeship Magazine Volume 25, Number 1 January/February 2017

One of the great death-defying feats for which the famous Flying Wallendas family is known is the tightrope walk, usually with no net and often over precarious landscapes, such as Niagara Falls and the Grand Canyon. It requires foresight and careful planning, adaptation to circumstances, precise execution, and great balance. And if that act doesn't amaze the audience enough, they step it up a notch: by adding a second tightrope walker. The tandem tightrope walk requires the additional skills of collaboration, careful communication, independence and interdependence—and even better balance.

In August of 2016, AGB released the “AGB Board of Directors’ Statement on Institution-Foundation Partnerships.” This statement provides guidance for institutional governing boards; senior administrators of public colleges, universities, and systems; and the boards and staff of affiliated foundations on ways they can mitigate potential risks stemming from foundation activities, enhance the alignment of foundation activities with institutional priorities, and fulfill governing boards’ fiduciary responsibility for oversight of affiliated entities. The statement makes a compelling case for the growing importance of foundations as philanthropic and entrepreneurial partners of their host colleges and universities.

What does “partnership” mean in this context for institutions and foundations? As with the tandem tightrope walkers, it can be a high-wire act with significant risk but also the possibility of great reward. It means balancing foundation independence with institutional leadership to achieve shared priorities and earn institutional support. It also means commitment to collaborative leadership and joint planning.

The aerialists here are typically the institution president and the foundation chief executive officer, but it can get a lot more crowded than that. The foundation board of directors and the institutional governing board or state oversight board may be on the rope, too. And in systems with multiple foundations, there may be many tightrope walks going on at the same time.

With a true institution-foundation partnership, the inherent risks of this mutual effort can be effectively managed, and all walkers can reach the other side with goals realized and the audience delighted.

THE FOUNDATION LANDSCAPE

In assessing the balancing act of institution-foundation partnerships, it is useful to have a feel for the foundation landscape and to appreciate the variety of configurations these relationships might take.

Institutionally related foundations (IRFs) usually fall into three common types or structures: individual institution foundations, system foundations, and multiple foundations. Some institutions have multiple foundations affiliated with specific campuses or units. According to an AGB Press book, *Policies, Practices, and Composition of Governing and Foundation Boards 2016*, 31 percent of foundations reported having multiple foundations affiliated with the primary institution (the average number is 3.7). About 46 percent of the wealthiest foundations (greater than \$1 billion) reported that the university or system was supported by other affiliated foundations.

IRFs have staffs ranging from no fulltime staff to hundreds of employees. Operations may include gift repository/ asset manager, oversight of comprehensive development programs, support or operation of alumni associations, and entrepreneurial ventures. IRFs may be independently staffed, self-financed, and operate with a high degree of autonomy, or they may be wholly dependent on institutional funding and personnel, or somewhere in between. The IRF chief executive often also serves as chief advancement officer for the institution. Development functions may be distributed across the foundation, units of the institution, and other affiliates.

With regard to governing board composition, it is common to have some overlap between the leadership and boards of the institution and the foundation; ex-officio relationships are the norm to accomplish much of this. Based on AGB survey data, at 89 percent of IRFs, the institution CEO (president) is an ex officio director. About 46 percent of IRFs include an institutional governing board member on the foundation board, and 63 percent have an alumni association representative.

The relationship between IRFs and their institutions lies on a spectrum from dependent to independent. These characterizations are in common use in describing higher education foundations:

Dependent: The foundation effectively functions as a unit of the primary institution, which provides office space, staff, and other support.

Interdependent: The foundation receives some free in-kind benefits, such as office space or the services of university employees.

Independent: The foundation operates with a high level of autonomy and reimburses the institution for the use of any institutional resources.

Based on AGB data, approximately 45 percent of foundations characterize themselves as interdependent, about 20 percent as dependent, and about 34 percent as independent. Not surprisingly, foundations with larger endowments are far more likely to operate independently of their affiliated college or university.

BALANCING INDEPENDENCE AND SUPPORT

One of the issues most frequently debated by public institutions and their related foundations is this: How independent does the foundation need to be? This is a challenging question to answer because of the competing interests and objectives involved. And the reply will vary from institution to institution.

A core value of having a private, nonprofit, institutionally related foundation lies in the flexibility attained through the foundation's freedom from state oversight and intervention in operations that would otherwise apply to the public institution. This may include freedom from open meetings law requirements, open records law, state audits, state procurement law, state confiscation of funds, and clarity regarding tax treatment of gifts. This independence also affords a critical protection of donor data and desired anonymity.

These freedoms are generally protected by state law, and under the majority trend in recent case law, affording those protections usually depends on the answers to two questions: Is the foundation a public body? Or is the foundation performing a governmental function? If the answer to either question is yes, then it is likely that these freedoms will be abridged, at least in part, particularly as to the application of state open records and open meetings laws.

In general, the following factors are considered in determining whether an IRF qualifies as a public body:

Board overlap with institution

Authority of institution president over foundation

Authority of institution board over foundation

Degree of financial and in-kind support from institution

Who employs foundation staff

Who is the foundation's lawyer

Terms of MOU to provide a governmental function on behalf of institution

Degree of separation

External messaging

However, as valuable as it is to achieve independence from the host institution for purposes of attaining these freedoms from state oversight and intervention, that independence should not cause the foundation to lose sight of its prime directive: to support the institution.

From a governance perspective, independence is achieved most effectively by separating the foundation board from the leadership of the institution and its governing board so that control is not vested in the institution, either in actuality or appearance. But this should not come at the price of impeding the institution-foundation partnership to further the mission of the institution.

An effective governance link is for the institution president and a limited number of institutional leaders to serve as members of the foundation board. This might include, for example, the president serving as a voting or non-voting member, and the chief academic officer, the institutional treasurer, and a member of the institution's governing board serving as non-voting members. Under this arrangement, there is much less support for an attorney general or court finding that the foundation is a public body or is carrying out a governmental function. And by including top-level leaders, it is more likely that the institution and foundation will more effectively communicate with each other.

Also, as the AGB statement points out, board participation is not the only nexus for communication between the organizations. Appropriate institutional administrators who do not serve as members of the foundation board—such as the general counsel, academic officers, business officers, and institutional planners—may also be engaged in foundation board meetings and committee work as resources and thought leaders.

Oftentimes, there will be friction between the parties as they find their optimal balance point. In real-life examples, a university president may expect the foundation to provide financial resources for identified projects upon request, without discussion or debate. Or an institutional president may ignore the boundaries between organizations by committing foundation resources or using foundation credit cards and foundation staff, while ignoring the foundation's budget and spending and travel policies in the process.

On the flip side, foundations can take up the mantra of independence to the point that the primary mission to support the institution gets blurred. As the statement identifies, a clear red flag is when foundation boards wield inappropriate influence over institutional strategic direction or personnel decisions by withholding requested funds or raising funds for purposes at odds with institutional priorities. In the worst case, again in an actual example, foundation directors may ignore their fiduciary duties of care and loyalty by taking personal stakes in foundation investments and advancing those projects to the detriment of institutional priorities.

This blurring of institutional and foundation roles can ultimately lead to crisis. In a December 2016 report, a state auditor examined the governance of a private, nonprofit foundation and its relationship to its host public university. The audit was made necessary when issues were brought to the state auditor's attention related to governance practices and concerns about limited accountability and transparency in the foundation's operations. The auditor concluded that administrative operations of the university and its foundation were at times indistinguishable, leading to ineffective governance, with management having too much influence and no appropriate checks and balances. The auditor also found that conflict among members of the university board and administration created an environment of distrust, resulting in a dysfunctional governing climate.

In another instance, a state office of the inspector general investigated the relationship among a large public university system's colleges and their affiliated foundations. The review was of potential conflicts of interest, as well as administrative and financial oversight and controls and best practices with respect to all of the foundations, alumni associations, and affiliated entities. The inspector general's preliminary investigation, as described in a November 2016 report, identified systemic concerns largely attributable to a lack of oversight and the failure of the system administration to institute effective centralized management policies.

The keys to achieving mutual understanding and balance here are for institutional leadership and the foundation board to acknowledge, accept, and respect each other's roles, duties, and obligations, both in practice and in the governance documents and agreements that bind them. This happens through effective board orientation, communication at board and committee meetings, director interaction at both formal and informal events, the inclusion of the foundation CEO in the institutional president's cabinet, and a mutual respect and appreciation by the institutional president and the foundation CEO, forged through many a shared fundraising trip or event.

The balance is also achieved in the language of the foundation's articles of incorporation and bylaws. These governance documents should clearly reflect the mission of the foundation to support the institution while preserving the needed flexibility of the foundation to achieve that mission. The foundation's bylaws, through establishing board composition, voting rights, committee work, and governance due process, should support the balancing act. Clear and unambiguous language will go a long way.

Also of key importance is the implementation of a memorandum of understanding (MOU) between foundation and institution that clearly lays out the responsibilities of the foundation in development and endowment management and the responsibilities of the institution to provide financial and in-kind support and to respect the fiduciary duties and governance processes of the foundation's governing board. Ideally, it will also address the process for the institution's request for and discretionary use of unrestricted funds held by

the foundation. The memorandum must be followed and should be periodically monitored for compliance. In the state auditor and inspector general investigations cited above, the MOU was either not followed or never existed in the first place. A useful template can be found in AGB's revised "Illustrative Memorandum of Understanding Between a Public Institution or System and an Affiliated Foundation" (2014).

As in any tandem tightrope walk, even by experienced and dedicated professionals, things will get a little shaky at times. For example, when leaders inevitably transition to other institutions or opportunities, the institution-foundation partnerships may have to be reset. While this can be a setback, it can also provide an excellent opportunity to reexamine core practices and structures, to innovate, and to find a better balance.

COLLABORATIVE LEADERSHIP

The partnership between the college or university president and the foundation chief executive officer is vitally important. It sets the tone for the work of the institution and foundation boards and largely dictates whether the relationship between boards will be productive, lackadaisical, or contentious.

James H. Moore, an experienced foundation executive with nearly 25 years of experience in public and private higher education, became the president of the University of Illinois Foundation in 2015. He has worked with several institutional presidents and has experienced leadership transition, both of university presidents and his own, and understands well the importance of getting the relationship right. "Working together, the university CEO and the foundation CEO can more effectively engage donors and volunteers in mission-critical issues important to the advancement of the institutions," says Moore. "A fractured relationship opens the door to distractions that can lead to reputation and productivity issues." These sentiments are shared by Moore's front man on the tightrope, University of Illinois System President Tim Killeen. Killeen believes that "be it to secure private support or promote advocacy, our university foundations are more important than ever. Foundation CEOs must be engaged as full partners."

In a minority of cases, the institution president also holds the job of foundation chief executive officer. This is rarely a recipe for success. Most college and university presidents and foundation chief executives would argue robustly that theirs is a full-time job, and then some. Holding both positions is likely to lead to a failure to fully embrace opportunities and avoid pitfalls in both jobs, most specifically in fundraising.

JOINT PLANNING

Another essential element of achieving institution-foundation success is collaboration and joint planning. If the lead tightrope walker is to safely navigate the journey, he or she must know that the acrobat behind is walking in unison and support, counteracting any missteps and restoring their joint balance. This will come through compatible strategic planning

efforts and regular and substantive communication between institutional leadership and the foundation board.

The institutional board (or state oversight board) and the foundation board will likely have differing strategic plans and processes, as befits their unique missions and responsibilities. However, each should have a voice in the planning process of the other so that goals and timelines are compatible and conflicts can be avoided.

David Bahlmann is president/CEO emeritus of the Ball State University Foundation, of which he served as president for 26 years. In addressing this challenge, he notes, “One of the surest ways to avoid conflict between a foundation and its partner host institution is to be sure that their respective planning processes are in sync. The foundation should plan to have its process parallel but lag the host institution’s by approximately six months. This will allow the foundation to fully understand the host institution’s projected priorities, goals, and objectives and allow for the incorporation into the foundation’s plan those areas that the host institution will rely upon its partner foundation to support and help accomplish.”

The AGB statement also describes the opportunity for institutional leadership to take advantage of the competencies, commitment, and support of the foundation’s directors and to ensure coordination of effort. It asserts that “by substantively engaging foundation board members in strategic discussions and planning, institutional leaders can enhance the experience and commitment of foundation volunteers and help to ensure that they won’t inadvertently undertake work incongruent with institutional priorities. When institutional and foundation boards collaborate closely in an environment of mutual support, candor, and accountability, the partnership can be a vital driver of institutional progress and excellence.”

As with any balancing act, there will be stumbles and the occasional need to climb off and start all over again. But with shared commitment, effort, communication, and practice, it can be done and done well. Just don’t look down.



*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Paul Barr, Executive Vice Provost
DATE: August 7, 2026
RE: Full Program: Health Professions Associate of Science
Department of Kinesiology & Health Science
Emma Eccles Jones College of Education, Health & Human Sciences

In accordance with [Utah Board of Higher Education Policy R401](#), the Department of Kinesiology & Health Science, in the Emma Eccles Jones College of Education, Health & Human Sciences, proposes offering a Health Professions Associate of Science.

This request establishes an associate degree that supports career exploration in the health professions and provides students with flexible options to either continue into a bachelor's degree program or enter the workforce.

On July 22, 2026, the Board of Trustees Research and Academic Approval Committee reviewed the proposal and recommended it for full board approval.

The President and Provost endorse the proposal and respectfully request approval from the full Board.

Attachments:

CEHS-KHS-Health Professions-AS-Full Program



**Utah System of Higher Education
R401 Program Proposal
New Full Program (AAS or higher)**

SECTION 1: PROGRAM INFORMATION

Institution Utah State University
Department Kinesiology and Health Science
Proposed Award Name Health Professions

Award Type - Please select only one

- ☒ Associate's Degree (including AAS degrees)
☐ Bachelor's Degree
☐ Master's Degree
☐ Doctor Degree

Will this proposal include emphases? (If no, leave unchecked and move to next item.)

- ☐ Yes, this proposal has emphases
☐ An emphasis is required to complete this program

----- For proposals with emphases, please note if any of the following attributes are different for a particular emphasis -----

Additional Departments Nursing, Psychology, HDFS

CIP Code (Provide a 6-digit CIP Code. Omit the period.): 510001

Award Acronym (ex. AAS, AA, BS, BA/BS, etc. Acronym field allows for 2 to 6 characters. Omit periods.) AS

Quantitative Literacy Course recommended for this program (for undergraduate programs only. Select one option.)

- ☐ MATH 1030 Quantitative Reasoning
☐ MATH/STAT 1040 Intro to Statistics
☐ MATH 1050 College Algebra
☒ Any QL course is acceptable
☐ Other (please list in Curriculum table)

Program Delivery Method(s)

How will students complete this program? Indicate all program delivery methods considered for this program:

- ☐ Entire program can be completed in person
☐ Entire program can be completed via Interactive Videoconferencing (EDNET)
☐ Entire program can be completed Online
☒ Students can take different courses through a variety of delivery methods

Minimum Credit Hours to Complete Program (including emphasis if applicable; use whole numbers) 60

Maximum Credit Hours to Complete Program (including emphasis if applicable; use whole numbers) 60

Expected First Semester Students May Enroll in Program Fall

Expected First Year Students May Enroll in Program 2026

SECTION II: INSTITUTIONAL ROLES & MISSION

Program Description

Present a brief program description. (1-2 paragraphs.)

Many students begin their studies knowing that they want to work in a health profession, but they may not know or understand the variety of careers in health. This associate's degree has been intentionally designed to allow them to explore various pathways that will lead to a career in health professions. The program, which will be housed in the department of Kinesiology and Health Sciences, will serve as a stackable credential into several possible majors including, but not limited to BS in Nursing, BA/BS in Health Education and Promotion, BA/BS in Psychology, BA/BS in Human Development and Family Studies. It can also serve as a standalone degree, if needed, for students who want to complete an associate's degree while simultaneously completing a healthcare certificate such as medical assistant, pharmacy technician, nursing assistant, emergency medical technician, or phlebotomy technician.

Consistency with Institutional Mission

Explain how the program is consistent with the institution's Board approved mission, roles, and goals (see Board policy R312 found at <https://ushe.edu> in the Board of Higher Education section under Policies) or, for "out of mission" program requests, the rationale for the request.

Utah State University, as both a land-grant institution and the region's community and technical college, is committed to expanding educational access and preparing students for Utah's growing healthcare workforce, especially in rural areas of Utah. To meet the rising demand for skilled healthcare professionals, the College of Education and Human Services proposes an Associate of Science degree in Health Professions. This program provides career-focused training that builds on students' prior technical education while offering a clear pathway into high-demand healthcare jobs.

Aligned with USU's mission of innovation, community engagement, and accessible education, the Health Professions AS will allow students to pursue a technical certificate through our statewide technical education system and/or explore pathways into bachelor's degrees that prepare them for various health professions.

SECTION III: NEEDS ASSESSMENT

Market Demand

Provide local, state, and/or national labor market data that speak to the need for this program. What business and industry sectors seek the knowledge base and skills graduates will offer? Are there known Utah employers? How many annual job openings are available? What wage will graduates earn? How strong is the employment sector for graduates of the program? Are numbers of job openings increasing? How does the median wage for these jobs compare to statewide median wage for all workers and/or for workers with the same education level?

NOTE: Occupational demand, wage, and number of annual openings information may be found at sources such as Utah DWS Occupation Information Data Viewer (jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do) and the Occupation Outlook Handbook (www.bls.gov/oco). Utah DWS Firm Find also provides Utah employer data (<https://jobs.utah.gov/jsp/firmfind/#/>).

Local/Regional Market Demand (include a short description to clarify the geographic parameters for this data)

According to labor market analyses from the Bureau of Labor Statistics (BLS), Southeast Utah, which includes Carbon, Emery, Grand, and San Juan counties, is projected to see substantial growth across multiple entry-level healthcare jobs such as CNA, EMT, pharmacy technician, medical assisting, and veterinary technician roles. Many of these occupations offer wages above the regional median income, underscoring the economic value and stability associated with pursuing a career in the health professions. With the additional value from the Health Profession associate degree, graduates can expect to earn a median of \$38,788 regionally. This demand is expected to increase by 19% from 2025 to 2035, demonstrating clear opportunities for graduates of the Associate Degree in Health Professions, thus addressing rural healthcare needs. For USU students in Logan and in other statewide campus areas, opportunities exist to work while attending school as a medical assistant, EMT, etc., allowing them to gain valuable work experience while pursuing further education.

State Market Demand

Utah's rapidly growing population increases the need for skilled healthcare workers in a variety of settings. As healthcare facilities expand, opportunities increase for professionals trained in essential roles such as CNA, EMT, pharmacy technician, and medical assisting. Workers with strong patient-care skills, clinical knowledge, safety training, and professional communication are especially in demand, with 22,631 jobs listed in 2025. This is expected to increase by 17.4% from 2025 to 2035. Will needs remain high, the median wage in Utah for a graduate in this area is \$39,364.

National Market Demand

National workforce data demonstrates sustained and increasing demand for the competencies developed through an Associate Degree in Health Professions. According to the U.S. Bureau of Labor Statistics, employment growth across key entry-level healthcare occupations is projected to remain strong over the next decade, growing by 6.5%. Roles also offer competitive wages relative to national median income levels at \$40,502, reflecting their essential contribution to healthcare delivery and public safety.

Demand for qualified health professionals spans a broad range of practice settings, including hospitals, clinics, pharmacies, emergency medical services, and long-term care facilities. Employers consistently seek candidates with hands-on clinical training, demonstrated competency in patient care, knowledge of safety and regulatory standards, and effective professional communication skills. The Associate Degree in Health Professions provides a structured pathway for developing these competencies while also preparing completers to move on to bachelor's degrees in health professions.

Student Demand

Provide evidence of student interest and demand that supports potential program enrollment and your plan for attracting under-represented student groups. NOTE: Student enrollment projections will be called for in the finance section of this proposal.

Many students choose a pre-nursing major because they want to work in a healthcare setting, but they do not realize that there are many careers in healthcare and that nursing is only one possible option of many. In addition, many students are considered exploratory majors and work with the exploratory advisors who focus on pre-health advising. This proposal projects that an associate degree in health professions could enroll 300-500 students who are currently in a pre-major or exploratory. With this degree, students who currently are not able to gain admission into the bachelor of science nursing major (typically due to not meeting grade requirements in science coursework) would have coursework and advising that would allow them to find a different path while staying enrolled at USU (rather than transferring to a program that leads to a license as a registered nurse without a bachelor's degree).

Similar Programs

List similar programs offered elsewhere in the USHE, the state, or Intermountain Region. In comments field, describe unique characteristics of proposed program to similar program(s), if any.

Institution	Award Type	Program Award Name	Link to Program	Comments
Snow	Associate Degree	Health Professions	https://catalog.snow.edu/programs/health-professions-as/#text	All required coursework would transfer easily to USU. Includes all gen ed coursework.
Weber State	Associate Degree	Health Sciences	https://catalog.weber.edu/preview_program.php?catoid=23&poid=11680&returnto=8633&gl=1*1ncs8wc*_gcl_au*MjExMjA5ODg2MS4xNzcxMjU3NTUy	This program has tracks such as nursing, public health, dental hygiene. Includes all gen ed coursework.
UVU	Associate of Applied Science	Healthcare Services	https://catalog.uvu.edu/health-public-service/health-science/healthcare-services-aas/	Does not include full general education coursework.

Transfer Check

For transfer associate degrees, provide information on bachelor degrees that graduates can transfer into; at end of proposal form, attach at least one draft articulation agreements with a 4-year program. For 4-year degrees, list 2-year degrees that may transfer into the degree, if any. Use comments field to unique transfer requirements such as minimum GPA, if any.

Institution	Award Type	Program Award Name	Link to Program	Comments
Utah State University	BS	Kinesiology	https://catalog.usu.edu/programs/KIN-KIN_EXSC_BS-MAJOR	
Utah State University	BS/BA	Human Development and Family Studies	https://catalog.usu.edu/programs/HDFS-HDFS_BA-MAJOR	
Utah State University	BS/BA	Psychology	https://catalog.usu.edu/programs/PSYC-PSYC_BA-MAJOR	
Utah State University	BS/BA	Public Health-Health Promotion	https://catalog.usu.edu/programs/Z2wF0MSg5PQ5LEEi1vzB	
Utah State University	BSN	Nursing	https://catalog.usu.edu/programs/NURR-NURR_BS-MAJOR	

Collaboration with and Impact on Other Degree-granting or Technical College USHE Institutions

Assess the impact the new program will have on other USHE institutions. Describe any discussions with other institutions pertaining to this program. Include any collaborative efforts that have taken place. Indicate if the program will be delivered outside of designated service area; provide justification. Service areas are defined in Board policy R315 found at <https://ushe.edu> in the Board of Higher Education section under Policies.

Statewide alignment efforts have been established to support student mobility across Utah's technical colleges. These agreements enable students from other USHE institutions to transfer technical coursework seamlessly into this program, ensuring continuity in education and clear pathways for degree completion. Additionally, all general education coursework and electives will transfer not only into associate degrees at other USHE institutions but also prepare students to apply to bachelor's degree programs in healthcare at USU and other USHE institutions.

Accreditation

If the program will seek special professional program-level accreditation, identify the accrediting body, and project timeline and anticipated costs for initial approval, and a date for accreditation review cycle.

All accreditation that is needed for optional certificate programs are already active and available at USU for medical assisting, certified nursing assisting, and pharmacy technician. Accreditation for pathway options are also in place, e.g., nursing and public health.

External Review

Describe how external consultants, program advisory committee members, industry experts, or other non-institutional stakeholders were involved in the development of the proposed program. For programs that address specific industry or occupational needs, indicate the extent to which the applicable industry representatives have provided input.

Industry professionals representing medical assisting, nursing assistant, pharmacy technician, emergency medical technician, and phlebotomy provided guidance on essential skills, workforce expectations, and emerging trends. Their feedback helped shape program design for the technical certificates.

SECTION IV: PROGRAM DETAILS

Program Curriculum

Provide a list of courses required to complete the program. List all courses, including college-level prerequisites (and pre-major placements or condition) and new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). Indicate new courses with an X in the appropriate columns. The total number of credit hours should reflect the number of credits required to be awarded for the degree. For variable credits, please enter the minimum value in the table for credit hours. To explain variable credit in detail as well as any additional information, use the Program Curriculum Narrative text field.

College Level Prerequisite Courses (list courses students commonly must take to be able to enroll in the program's courses listed below)

Course Prefix & Number	New Course?	Course Title	Credit Hours

General Education Courses (list specific courses if recommended for program; otherwise, list "any QL" of "any Humanities")

Course Prefix & Number	New Course?	Course Title	Credit Hours
Any CL1	N		3
Any CL2	N		3
Any QL (some certificates and programs require STAT 1040 or 1045)	N		3-5
Any American Institutions	N		3
Any Life Science	N		3
Any Social Science	N		3
Any Humanities	N		3
Any Creative Arts	N		3
Any Physical Science	N		3

Program Required Courses (list "and/or" conditions and reflect such conditions in credit hours)

Course Prefix & Number	New Course?	Course Title	Credit Hours
HEP 2900	Y	Health Professions Capstone	1

Program Elective Courses (list "and/or" conditions and reflect such conditions in credit hours)

Course Prefix & Number	New	Course Title	Credit

	Course?		Hours
Technical Certificate options (available in Price, Blanding, Moab)			
HEAL 1006	N	Health Careers Exploration	2
HEAL 1008	N	Medical Terminology	2
HEAL 1030	N	Medical Assistant: Administrative Competencies	4
HEAL 1035	N	Medical Assistant: Administrative Competencies Lab	3
HEAL 1500	N	Anatomy & Physiology	3
HEAL 1700	N	Medical Assistant Externship	1
HEAL 1900	N	Diseases of the Human Body	3
HEAL 2020	N	Emergency First Response	3
TEEM 2450	N	Emergency Medical Technician	6
TEPH 1860	N	Phlebotomy I	2
TEPH 1865	N	Phlebotomy II	1
TEPT 1010	N	Introduction to Pharmacy	3
TEPT 1100	N	Community Pharmacy Practice	3
TEPT 1110	N	Institutional Pharmacy Practice	3
TEPT 1320	N	Pharmacology	3
TEPT 1900	N	Pharmacy Technician Externship	4
TEPT 1620	N	Pharm Tech National Exam & State Lic Readiness	1
TENA 1000	N	Nursing Assistant	3
Nursing track			
NURS 2000	N	Introduction to Nursing as a Career (7-week class)	1
CHEM 1130	N	General, Organic, & Biological Chemistry	4
CHEM 1135	N	General, Organic, & Biological Chemistry Lab	1
BIOL 2060	N	Elementary Microbiology	4
BIOL 2320	N	Human Anatomy	4
BIOL 2420	N	Human Physiology	4
STAT 1040 or 1045	N	Intro to Statistics or Intro to Stats w/Elements w/Algebra	3 or 5
HDFS 1500	N	Human Development Across the Lifespan	3
NDFS 1020	N	Science and Application of Human Nutrition	3
NURS 2500 OR BIOL 2520	N	Pathophysiology for Nursing or Pathophysiology	3
Public Health track			
HEP 1200	N	Intro to Community and Public Health	3
KIN 1500	N	Basic Anatomy & Physiology	4
HEP 1500	N	Intro to Global Health	3
HEP 2000	N	First Aid and Emergency Care (or obtain First Aid & CPR cert)	2
HEP 2500	N	Health and Wellness	2
Mental Health track			
PSY 1010	N	General Psychology	3
PSY 2010	N	Orientation to Psychology as a Career and Profession	2
PSY 2300	N	Psychological Disorders	3
PSY 1400	N	Analysis of Behavior: Basic Principles (taken with 1410)	3
PSY 1410	N	Analysis of Behavior: Basic Principles Lab	1
Human Development track			
HDFS 1500	N	Human Development Across the Lifespan	3
HDFS 2000	N	Careers in Human Development and Family Studies	1
HDFS 2400	N	Couple and Family Relationships	3
HDFS 2660	N	Parenting and Child Guidance	3
Kinesiology track			

HEP 2000	N	First Aid and Emergency Care (or obtain First Aid & CPR cert)	2
KIN 2000	N	Intro to Kinesiology	2
KIN 2020	N	Intro to Physical Therapy	2
BIOL 2320	N	Human Anatomy	4
BIOL 2420	N	Human Physiology	4

Emphasis Courses (duplicate this table if there are multiple emphases)

Name of Emphasis

Course Prefix & Number	New Course?	Course Title	Credit Hours

Degree Map

Provide a program Degree Map, also referred to as a graduation plan (for undergraduate programs ONLY). This map provides a suggested semester-by-semester class schedule for a full-time student that includes prefix, number, title, and semester hours.

Enter the degree map in the table below. If a specific general education course is required, list course and include GE fulfilled. If the program does not require a specific general education, write "Any Fine Art" or "Any QL" and check GE fulfilled.

For General Education courses, use the following acronyms or leave blank if not GE:

C Written Communication / QL Quantitative Literacy / AI American Institutions /
FA Fine Art / H Humanities / LS Life Science / PS Physical Science / SS Social Science

First Year Fall			First Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
CL1	3	C	CL2	3	C
Any QL	3	QL	Any Breadth Creative Arts	3	FA
Any Breadth American Institutions	3	AI	Any Breadth Humanities	3	H
Health Professions Track Elective	3		Health Professions Track Elective	3	
Health Professions Track Elective	3		Health Professions Track Elective	3	
Second Year Fall			Second Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
Any Breadth Life Sciences	3	LS	Health Professions Track Elective	3	
Any Breadth Physical Sciences	3	PS	Health Professions Track Elective	3	
Any Breadth Social Science	3	SS	Health Professions Track Elective	3	
Health Professions Track Elective	3		Health Professions Track Elective	3	
Health Professions Track Elective	3		Health Professions Track Elective	3	

Program Curriculum Narrative

Describe any variable credits as well as internships, clinicals, or other external learning experiences. Include additional curriculum information that differentiates this program's curriculum such as mandatory summer terms,

accelerated schedule options or paths for part-time students.

Students can take any QL math, making it a variable credit of 3-5 depending on which math course they take, but advisors would guide students to take specific math courses if a future degree path warrants it.

Students pursuing a technical certificate would have all the labs and clinicals required for the specific certificate. The technical certificates are available in Price, Blanding, and Moab. Statewide students would be able to take courses from Logan-based instructors when the courses are offered asynchronously or via virtual or other distance delivery modes.

Students would choose a track based on initial interest but have flexibility to choose courses from any track. All students would be required to take an online/asynchronous capstone course in which program learning outcomes are assessed through required assessments/assignments.

Program Admission Requirements

List selective admission requirements specific to the proposed program. Describe cohort-driven admissions, if applicable.

If this degree is pursued through USU Eastern or USU Blanding, there are no admission requirements. If this degree is pursued through other statewide campuses or Logan, typical admission requirements will apply.

Program Graduation Standards and Number of Credits

Provide graduation standards. Include standards specific to the program that are beyond the institution's standard graduation requirements. Provide justification if number of credits exceeds credit limit for this program type described in R402-6 Table 1, which can be found at <https://ushe.edu> in the Board of Higher Education section under Policies.

Students must meet Utah State University's graduation standards of a 2.0 GPA and a minimum of 60 credit hours. Courses in the nursing track have minimum grade requirements to be admitted to the Bachelor's of Nursing program.

SECTION V: INSTITUTION, FACULTY, AND STAFF SUPPORT

Institutional Readiness

How do existing administrative structures support the proposed program? Identify new organizational structures that may be needed to deliver the program. Will the proposed program impact the delivery of undergraduate and/or lower-division education? If yes, describe how?

The A.S. in Health Professions is designed to align closely with existing curriculum in several departments within the College of Education and Human Services as well as technical college curricula by incorporating shared foundational and technical coursework, allowing students to complete the degree efficiently. All general education and elective courses included in the program option are already offered within the university. The program is intentionally structured as a streamlined and flexible pathway to degree completion, maximizing existing instructional resources while supporting student progression and workforce needs.

Student Advisement for this Program

Describe how prospective and current students in the proposed program will be advised. Does the sponsoring department have advisors or are students referred to campus advising? Are there advisements for part-time student participants?

Unique advising is required for this degree because there are many possible avenues to follow. Students may opt to stop at the A.S. degree and seek employment using a technical certificate credential. Other students may use this degree to explore other allied health degree pathways including, but not limited to, seeking a bachelor's in kinesiology, health education and promotion, nursing, psychology, behavioral neuroscience, behavioral health and counseling, or human development and family studies. For technical certificates that are optional within the degree, the program would depend upon the advisors in statewide who know those programs. For those using the degree as a stackable degree leading to a bachelor's, we have excellent advisors in the department of Kinesiology and Health Sciences who could serve in this role. There are advisors in Exploratory who would also support students to choose this degree.

Professional Licensure

Will graduates of this program need to seek certification or licensure to be employed in the field? If no, type N/A. If yes, describe how the program meets the educational requirements of the license both in Utah and in other states. Reference specialty accreditation and compact or reciprocity agreements, if applicable.

Students may be eligible for licensing in CNA, Medical Assisting, Pharmacy Tech, Emergency Medical Technician, and Phlebotomy if full coursework in designated certificate area is completed. All licensing in these areas are already fully functioning and available through the Technology, Design, and Technical Education department.

Library and Information Resources

Describe library resources students will need to complete this program, if any. Describe the library resources the institution already possesses. Describe new library resources to be acquired. Identify additional costs to support library and information resources needs in the finance table.

No additional library resources will be needed to support this program. Key journals and readings are already available through USU's library system to support the Health Professions AS degree.

Facility (Space) / Material Needs

Describe special space or equipment needs for program, if any. Describe the space and technology needs the institution already possesses. Describe new space or technology to be acquired.

No special space or equipment will be needed for the Health Professions associate degree. All needed coursework, labs, and materials are already on hand and functioning in their departments and programs.

Current and New Department Faculty / Staff Information

Identify current # of department faculty / staff (headcount) to be involved with the program and faculty / staff to be hired along with their qualifications and tenure status. Include additional cost for these faculty / staff members in budget narrative and table.

In the Expense Narrative field later in the proposal, please indicate when new faculty and staff hires will occur in year 1 or a subsequent year of the program.

Current Faculty/Staff					Faculty/Staff to be Hired				
<i>For faculty: academic or industry credential held:</i>	# Fulltime	# Parttime	# Tenure or Tenure-Track	# Non-Tenure Track	# Fulltime	# Parttime	Est. % of time committed to new program	# Tenure-Track	# Non-Tenure Track
Doctorate Degrees	8	2	7	1					
Masters Degrees	1								
Bachelor Degrees									
Associates Degrees	3								
Industry Credential	11								
Staff									
Teaching/Grad Assistants									
TOTAL	23	2			0	0			

Faculty

Describe faculty development activities that will support this program. Will existing faculty/instructors, including teaching/graduate assistants, be sufficient to instruct the program or will additional faculty be recruited? If needed, provide plans and resources to secure qualified faculty. The narrative should be consistent with the budget and faculty tables.

Coursework will be offered by the departments of KHS, Nursing, PSY, HDFs, and TDTE. Additional courses offered in programs outside the department (e.g., the Schools of Math, English, Science, Kinesiology, Chemistry, Biology, and Nutrition) will be applied to this degree with minimal student impact. By restructuring and reallocating teaching assignments, the faculty can accommodate the student demand of the proposed program. Additional faculty will be considered as the enrollment in the program grows or industry partners sponsor such additions.

Staff

Describe the staff development activities that will support this program. Will existing staff such as administrative, secretarial/clerical, laboratory aides, advisors, be sufficient to support the program or will additional staff need to be hired? If needed, describe the circumstances such as growth in students in the program, that will signal the additional hires. Provide plans and resources to secure qualified staff, as needed.

Advising staff will need to be reallocated, or allocated differently, within CEHS (and ideally within Exploratory advising) in order to provide the unique guidance students will need to choose among track options within the degree. In addition, a different mindset will be needed by the advisor(s) who work with students in this degree. Typically, advisors in CEHS are preparing students to meet the prerequisites or complete the requirements of a specific major rather than helping students to make a decision about which major (and career path) to pursue. The advisor(s) will also be key to providing department heads with course enrollment projections to ensure that key courses are taught regularly and with sufficient capacity to meet the needs of students in this program.

Existing staff are sufficient in number to support the program.

SECTION VI: PROGRAM EVALUATION

Program Assessment

Describe program academic and professional goals. Identify program performance goals. Describe the system of assessment to be used to evaluate program success in meeting performance goals.

The Associate of Science in Health Professions is designed to give students the opportunity to explore health professions and decide on a career pathway. Program learning outcomes will be assessed during a 1-credit asynchronous capstone course in which students will articulate career and academic goals and submit assignments that will allow the program learning outcomes to be assessed.

Student Standards of Performance

List the program learning outcomes including standards, competencies, and marketable skills students will have achieved at the time of graduation. How will student attainment of program learning outcomes be assessed/evaluated? How will student attainment of professional competencies be assessed/evaluated?

Graduates of the Associate of Science in Health Professions will

- explore and understand career pathways in healthcare that align with their values, interests, competencies, personality, and goals (USU Career Learning Outcome)
- be able to communicate professionally about their career goals
- be able to communicate professionally about healthcare as a personal and public good

These outcomes will be assessed in a 1-credit asynchronous capstone course using a written assignment.

SECTION VII: PROJECTED PROGRAM ENROLLMENTS & FINANCE

Three Year Projection Student Participation

Provide projected enrollment and information on related operating expenses and funding sources. Project the number of students who will be attracted to the proposed program as well as increased expenses, if any. Include new faculty and staff as described in the faculty section of this proposal. Project five years' enrollments and graduates. Note: If the proposed program is an expansion of an existing program, present several years enrollment trends by headcount and/or by student credit hours that justify expansion.

NOTE: Highlighting blue cells in the table below and pressing f9 on your keyboard will auto calculate the cell's value.

Three Year Projection: Program Participation and Department Budget						
	Year Preceding Implementation	New Program				
		Year 1	Year 2	Year 3	Year 4	Year 5
Student Data						
# Majors in Department	400+	500+				
# Majors in Proposed Program		300+				
# Graduates from Department	366	400+				
# Graduates in New Program		~50-100				
Department Financial Data						
Project additional expenses associated with offering new program. Account for new hires as stated in "Current and New Department Faculty / Staff" table.	Department Budget					
	Year Preceding Implementation (base budget)	Year 1	Year 2	Year 3		
		Addition to base budget for new program(s)				
EXPENSES - nature of additional costs required for proposed program(s)						
List salary and benefits for additional faculty and staff each year the positions will be filled. Ex: if hiring faculty in year 2, include expense in years 2 and 3. List one-time operating expenses only in the one year.						
Personnel (1)						

Operating Expense (2)				
Space Needs and Utilization				
Other				
TOTAL Program Expenses		\$ 0	\$ 0	\$ 0
TOTAL EXPENSES	\$ 0	\$ 0	\$ 0	\$ 0
FUNDING - source of funding to cover additional costs generated by proposed program(s)				
<i>Describe internal reallocation using "Existing Funding Source Narrative" following this table. Describe new sources of funding using "New Revenue Narrative" on the following page.</i>				
Internal Reallocation				
Appropriation				
Special Legislative Appropriation				
Grants and Contracts				
Special Fees				
Tuition				
Differential Tuition (3)				
PROPOSED PROG FUNDING		\$ 0	\$ 0	\$ 0
TOTAL DEPT FUNDING	\$ 0	\$ 0	\$ 0	\$ 0
DIFFERENCE				
Funding - Expense	\$ 0	\$ 0	\$ 0	(\$ 0)

(1) faculty and staff salary and benefits

(2) equipment, travel, resources

(3) requires UBHE approval

Expense Narrative

Describe expenses associated specifically with the proposed program. Please indicate in which year(s) new faculty and staff hires for the program will occur.

The proposed program will be delivered using existing institutional resources and current instructional capacity in the departments of KHS, Nursing Psychology, and HDFs. Additionally, the TDTE department has ten qualified faculty members who teach the technical courses and no additional faculty or staff hires are required for implementation or ongoing operation. Established instructors for general education are also in place. Instruction, advising, and administrative support will be provided within existing workloads and facilities. As a result, there are no new expenses associated specifically with faculty or staff for the proposed program in its initial phase, though this could change if the program grows in subsequent years of implementation.

Existing Funding Sources Narrative

Describe what internal reallocations, if applicable, are available and any impact to existing programs or services.

The proposed associate degree will be delivered through existing general education courses and established coursework in the departments of KHS, HDFs, Nursing, Psychology, and TDTE. As a result, the program will rely on current instructional resources, facilities, and faculty, requiring no internal reallocation of funds. General education coursework is already offered on a regular schedule, and the technical emphasis areas are supported by existing programs with dedicated labs, equipment, and instructional staff.

Any internal reallocations will be limited to minor administrative coordination and scheduling adjustments to support program advising and pathway alignment. These adjustments are not expected to negatively impact existing programs or services. Instead, the associate degree will leverage and strengthen current offerings by increasing enrollment efficiency, improving course utilization, and creating clearer academic pathways for students. Overall, the program can be implemented using existing funding sources without reducing the quality or availability of current programs.

New Revenue Narrative

Describe new funding sources and plans to acquire the funds. Does the institution anticipate assessing students course-fees or program-

based fees?

The Associate of Science in Health Professions degree does not require new funding sources. The program is designed to utilize existing general education courses, established technical courses, and existing courses from KHS, Nursing, Psychology, and HDFS, allowing it to be delivered within current institutional resources, facilities, and instructional capacity. As a result, no new revenue streams are necessary to support program implementation or ongoing operation.

SECTION VIII: ADDITIONAL DOCUMENTATION

Feedback and discussion

Add a comment in the discussion of this proposal:

Provide draft articulation agreement for transfer associate degrees and/or additional documentation such as letters of support from advisory groups, employers, or published studies as separate documents. Please include institution acronym and name of proposed program in the title of the document.



*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Paul Barr, Executive Vice Provost
DATE: August 7, 2026
RE: Full Program: Nursing Associate of Science
Department of Nursing
Emma Eccles Jones College of Education, Health & Human Sciences

In accordance with [Utah Board of Higher Education Policy R401](#), the Department of Nursing, in the Emma Eccles Jones College of Education, Health & Human Sciences, proposes offering a Nursing Associate of Science.

This request establishes an associate degree that supports career exploration in the health professions and provides students with flexible options to either continue into a bachelor's degree program or enter the workforce.

On July 22, 2026, the Board of Trustees Research and Academic Approval Committee reviewed the proposal and recommended it for full board approval.

The President and Provost endorse the proposal and respectfully request approval from the full Board.

Attachments:

CEHS-NURS-Nursing-AS Full Program



**Utah System of Higher Education
R401 Program Proposal
New Full Program (AAS or higher)**

SECTION 1: PROGRAM INFORMATION

Institution Utah State University
Department Nursing
Proposed Award Name Associate of Science in Nursing (AS/ASN)

Award Type - Please select only one

- ☒ Associate's Degree (including AAS degrees)
☐ Bachelor's Degree
☐ Master's Degree
☐ Doctor Degree

Will this proposal include emphases? (If no, leave unchecked and move to next item.)

- ☐ Yes, this proposal has emphases
☐ An emphasis is required to complete this program

----- For proposals with emphases, please note if any of the following attributes are different for a particular emphasis -----

Additional Departments

CIP Code (Provide a 6-digit CIP Code. Omit the period.): 51.3801

Award Acronym (ex. AAS, AA, BS, BA/BS, etc. Acronym field allows for 2 to 6 characters. Omit periods.) ADN

Quantitative Literacy Course recommended for this program (for undergraduate programs only. Select one option.)

- ☐ MATH 1030 Quantitative Reasoning
☐ MATH/STAT 1040 Intro to Statistics
☐ MATH 1050 College Algebra
☒ Any QL course is acceptable
☐ Other (please list in Curriculum table)

Program Delivery Method(s)

How will students complete this program? Indicate all program delivery methods considered for this program:

- ☒ Entire program can be completed in person
☐ Entire program can be completed via Interactive Videoconferencing (EDNET)
☐ Entire program can be completed Online
☐ Students can take different courses through a variety of delivery methods

Minimum Credit Hours to Complete Program (including emphasis if applicable; use whole numbers) 79

Maximum Credit Hours to Complete Program (including emphasis if applicable; use whole numbers) 82

Expected First Semester Students May Enroll in Program Fall

Expected First Year Students May Enroll in Program 2027

SECTION II: INSTITUTIONAL ROLES & MISSION

Program Description

Present a brief program description. (1-2 paragraphs.)

The Associate of Science in Nursing (ASN) program marks the transition from the former 1+1 model—previously offering a Practical Nursing (PN) certificate followed by an Associate of Applied Science (AAS) to a cohesive, integrated four-semester curriculum that prepares competent, practice-ready registered nurses. Aligned with national professional standards for associate-prepared nurses, the program incorporates core content in professional nursing practice, pharmacology, mental health, maternal–newborn care, leadership, community health, and clinical decision-making. The concept-based curriculum supports progressive skill development and early immersion in diverse community and acute-care settings, while evidence-based instruction and simulation-enhanced learning strengthen students’ clinical judgment in alignment with the current NCLEX-RN test plan. Students may complete general education coursework before entering the program or concurrently with nursing courses, allowing flexibility based on academic and employment needs.

The total program length is four semesters, with an optional PN step-out pathway after completion of the first two semesters at the Price, Moab, and Blanding campuses. Students who meet required maternal–newborn and mental health competencies may sit for the NCLEX-PN examination, enabling them to begin working as practical nurses while completing the final two semesters of ASN. Total program length at the Uintah Basin, Tooele, and Logan campus will be two-semester, offering ASN completion after students have completed a PN certificate at a USHE technical college.

Graduates are well-positioned for seamless academic progression through Utah State University’s fully online RN–BSN completion program. This integrated design, combined with flexible entry and exit options and strong academic–practice partnerships, creates an accessible and student-centered pathway that supports Utah’s ongoing demand for well-prepared registered nurses.

Consistency with Institutional Mission

Explain how the program is consistent with the institution's Board approved mission, roles, and goals (see Board policy R312 found at <https://ushe.edu> in the Board of Higher Education section under Policies) or, for "out of mission" program requests, the rationale for the request.

The mission of Utah State University is to be a premier student centric university that serves the Utah public through learning, discovery, and engagement. The Associate of Science in Nursing (ASN) program will help to achieve that mission by providing students with greater accessibility to nursing education in the state.

SECTION III: NEEDS ASSESSMENT

Market Demand

Provide local, state, and/or national labor market data that speak to the need for this program. What business and industry sectors seek the knowledge base and skills graduates will offer? Are there known Utah employers? How many annual job openings are available? What wage will graduates earn? How strong is the employment sector for graduates of the program? Are numbers of job openings increasing? How does the median wage for these jobs compare to statewide median wage for all workers and/or for workers with the same education level?

NOTE: Occupational demand, wage, and number of annual openings information may be found at sources such as Utah DWS Occupation Information Data Viewer (jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do) and the Occupation Outlook Handbook (www.bls.gov/oco). Utah DWS Firm Find also provides Utah employer data (<https://jobs.utah.gov/jsp/firmfind/#/>).

Local/Regional Market Demand (include a short description to clarify the geographic parameters for this data)

Available labor-market data from the Utah Department of Workforce Services (DWS), the Utah System of Higher Education, and national sources consistently indicates that rural regions of Utah—including the Uintah Basin, Southeast Utah (Carbon, Grand and San Juan counties), Tri-County, and Tooele County—continue to experience persistent and well-documented shortages of registered nurses. While statewide projections offer the most complete quantitative data, regional analyses repeatedly highlight that rural communities face greater turnover, smaller applicant pools, and fewer locally trained nurses, making workforce stability a long-standing challenge.

Although county-specific projections for registered nurse (RN) and licensed practical nurse (LPN) openings are not publicly available, DWS sub-state regional reports and Utah public health workforce assessments emphasize that rural hospitals, clinics, long-term care facilities, and public health departments rely heavily on locally trained RNs to maintain essential services. These regions demonstrate higher vulnerability to shortages and greater difficulty recruiting bachelor and associate prepared nurses from urban centers. As a result, rural areas disproportionately depend on grow-your-own nursing pipelines, such as the USU statewide campuses.

Consistent with statewide patterns, demand for registered nurses (ASN and BSN prepared) remains strong across rural Utah, while demand for LPNs continues to decline, mirroring national trends. This shift reinforces the importance of educational pathways that move students efficiently into RN roles while still offering early practice opportunities, such as optional PN exit points.

Taken together, the available evidence shows that Utah's rural regions maintain a high and ongoing need for associate and bachelor prepared nurses, even when projected statewide shortages fluctuate. These regional workforce pressures strongly support the continued development of flexible, accessible associate of science in nursing programs designed to prepare practice-ready graduates who are likely to remain and serve in their home communities.

State Market Demand

Utah data from the Utah Department of Workforce Services (DWS) Occupation Information Data Viewer identifies Registered Nurse as a 5-Star occupation—the highest ranking—indicating strong current demand, high wages, and excellent long-term job outlook. Utah is projected to have roughly 1,200 registered nurse (RN) openings per year over the next decade, driven by population growth, rising acuity in healthcare settings, and expansion in outpatient and community-based services. RN positions in Utah demonstrate higher growth and stability compared to many other healthcare roles. In contrast, licensed practical nurse (LPN) positions are classified as a 2-Star occupation by Utah DWS, reflecting low growth, fewer openings, and declining demand statewide as healthcare systems shift toward roles requiring broader scopes of practice and higher levels of clinical training.

The Utah labor market also continues to show a clear preference for nurses with higher educational preparation. While associate of science in nursing (ASN) graduates remain employable, many Utah health systems now prioritize or require the bachelor of science in nursing (BSN). Utah DWS and national BLS sources both note that RNs with a bachelor's degree have significantly stronger job prospects in both acute-care and specialized settings. Major healthcare employers—including Intermountain Health, University of Utah Health, and the Veterans Health Administration—increasingly prefer or require BSN preparation for new hires or advancement. This trend aligns with recommendations from the National Academies of Medicine's "Future of Nursing" reports, which continue to emphasize the need for a highly educated nursing workforce capable of meeting complex patient needs, improving health outcomes, and addressing disparities across diverse care environments.

As a result, Utah's demand pattern strongly supports academic pathways that prepare associate of science in nursing graduates who can enter the workforce quickly and seamless progression to the bachelor of science in nursing (BSN) degree. The transition from the 1+1 PN-to-associate of applied science in nursing (AAS) model toward a fully integrated ASN program supports the state's urgent need for practice-ready RNs while also reflecting the declining statewide demand for LPNs and the increasing preference for higher nursing credentials.

National Market Demand

The United States continue to experience a significant and persistent demand for registered nurses. According to the U.S. Bureau of Labor Statistics Occupational Outlook Handbook, employment of registered nurses (RN) is projected to grow approximately 6% from 2022–2032, faster than the average for all occupations. Nationally, an estimated 193,000 RN openings per year are expected over the next decade due to workforce retirements, turnover, and increased healthcare needs among aging populations. These projections reflect continued strain on the nursing workforce following the pandemic, widening experience gaps, and regional shortages.

Student Demand

Provide evidence of student interest and demand that supports potential program enrollment and your plan for attracting under-represented student groups. NOTE: Student enrollment projections will be called for in the finance section of this proposal.

The National League for Nursing (NLN) annual survey provides program-level detail showing that programs continue to turn away qualified applicants across program types (PN, ASN, BSN, MSN, doctoral), with varying percentages by program type. (NLN Annual Survey, 2023).

Utah-specific audits and workforce reviews document a persistent capacity problem. A Utah System of Higher Education performance audit noted that historically 35% of qualified applicants to public bachelor's nursing programs were turned away in the 2007–2014 period. The audit flagged limited capacity as an ongoing constraint on producing more nurses in the state.

Earlier state consortium reporting estimated over 1,000 qualified applicants are turned away from Utah nursing programs annually because of limited class size and capacity constraints (Utah Nursing Consortium / legislative background material). This figure has been cited repeatedly in state workforce discussions as the minimum annual number of qualified applicants not admitted.

Over the past four years, the average student enrollment in the regional Associate of Applied Science in Nursing (AAS) programs has been 65-70. Since 2020, enrollment numbers at each regional site have fluctuated and have not reached full capacity due to a limited pool of qualified applicants. Although several potential contributing factors have been examined, a consistent observation has been the increasing availability of programs offering accelerated pathways to RN and BSN degrees. In comparison, the existing 1+1 program model appears fragmented. It is anticipated that implementing a unified program structure leading seamlessly toward a BSN degree will increase student interest, strengthen program appeal, and subsequently improve the number of qualified applicants, allowing the program to once again reach full capacity.

Similar Programs

List similar programs offered elsewhere in the USHE, the state, or Intermountain Region. In comments field, describe unique characteristics of proposed program to similar program(s), if any.

Institution	Award Type	Program Award Name	Link to Program	Comments
Weber State University	Associate of Science (AS) Associate of Applied Science	Associate Degree in Nursing (ADN) Associate of Applied Science in Nursing	Weber program link	ADN program admits 288 students/yr with 3 application cycles. FTF and Hybrid option for didactic. -Contracts with 5 Tech colleges for PN – RN program to get AAS or ADN degree.
Salt Lake Community College	Associate of Applied Science (AAS)	Associate of Applied Science in Nursing	SLCC program link	Accepts 3 times a year
Utah Valley University	Associate of Science (AS)	Associate of Science in Nursing (ASN)	UVU program link	Approximately 120-190 applicants each semester, 80 admitted.
Snow College	Associate of Science (AS)	Associate of Science in Nursing (ASN)	Snow College program link	Synchronous and hybrid courses
Joyce university	Associate of Science (AS)	Associate of Science in Nursing (ASN)	Joyce University program link	This is online, accelerated, no pre-requisites required, expensive.
Utah Tech University	Associate of Applied Science (AAS)	Associate of Applied Science in Nursing	Utah Tech University program link	PN – RN bridge program

Transfer Check

For transfer associate degrees, provide information on bachelor degrees that graduates can transfer into; at end of proposal form, attach at least one draft articulation agreements with a 4-year program. For 4-year degrees, list 2-year degrees that may transfer into the degree, if any. Use comments field to unique transfer requirements such as minimum GPA, if any.

Institution	Award Type	Program Award Name	Link to Program	Comments
Utah State University	Baccalaureate degree in Nursing	RN – BSN Completion - online	USU RN – BSN program link	Utah RN license, graduate of an accredited program. 2.67 overall GPA, RN courses completed with grade of B- or better, Can only repeat required prerequisites 3 times total, a max of 10 repeats overall.
Weber State University	Baccalaureate degree in Nursing	RN-to-BSN (BS) - online	WSU RN-BSN program link	Utah RN license, graduate of an ACEN program or equivalent. Minimum grade of B- in all upper division nursing courses & a grade of C or better for support courses.
Southern Utah University	Baccalaureate degree in Nursing	RN to BSN online	SUU RN-BSN program link	Must have an RN license or a scheduled date to take the NCLEX-RN.
Utah Tech University	Baccalaureate degree in Nursing	RN – BSN online	Utah Tech University program link	Must have RN license before 2 nd semester, graduate from an accredited Associates degree program, completion with minimum of “C” grade in nursing courses, and cumulative GPA of 2.7 in those courses.

Collaboration with and Impact on Other Degree-granting or Technical College USHE Institutions

Assess the impact the new program will have on other USHE institutions. Describe any discussions with other institutions pertaining to this program. Include any collaborative efforts that have taken place. Indicate if the program will be delivered outside of designated service area; provide justification. Service areas are defined in Board policy R315 found at <https://ushe.edu> in the Board of Higher Education section under Policies.

The proposed program should have minimal, if any, impact on other USHE institutions, as there is an abundance of qualified students applying to existing Associate of Science in Nursing (ASN) programs. Implementation of this program should not limit the ability of existing programs to continue to enroll the desired number of qualified students. Five of the program locations are in remote areas where there is no direct access to other USHE institutions that offer ASN programs. As this proposal was being developed, inquiries were made to Steve Hood, USHE Assistant Commissioner of Academic Affairs, as well as all department heads, deans, and directors of the USHE institutions, including Technical colleges with practical nursing programs. All of the USHE institution nursing leaders have noted that even though they have increased enrollment in their ASN and BSN programs, they are still turning qualified applicants away.

Accreditation

If the program will seek special professional program-level accreditation, identify the accrediting body, and project timeline and anticipated costs for initial approval, and a date for accreditation review cycle.

The USU practical nurse and Associate of Applied Science in Nursing programs currently are accredited by the Accreditation Commission for Education in Nursing (ACEN). ACEN awards accreditation at the degree level. Therefore, a separate application for accreditation for the Associate of Science in Nursing program (ASN) will not be necessary. A substantive change report to ACEN will be required six months prior to implementation of the ASN program. The Utah Board of Nursing has no regulatory authority over nursing programs that maintain accreditation. ASN program curricula from similar universities within the state and region were evaluated and considered in developing the course plan.

External Review

Describe how external consultants, program advisory committee members, industry experts, or other non-institutional stakeholders were involved in the development of the proposed program. For programs that address specific industry or occupational needs, indicate the extent to which the applicable industry representatives have provided input.

Development of the proposed Associate of Science in Nursing (ASN) program has been guided by sustained engagement with external stakeholders, industry partners, and system-level collaborators to ensure alignment with workforce demand, state policy, and student pathways. Beginning in Fall 2021, Utah State University (USU) nursing leadership engaged in structured conversations with program advisory committee members from each regional program, nursing administrators from Tooele Technical College and Uintah Basin Technical College, local healthcare employers, USU student advisors, and peer institutions across the Utah System of Higher Education (USHE). Stakeholder input reflected the perspectives of healthcare partners in Price, Blanding, the Uintah Basin, Tooele, and Moab.

This engagement was initiated as part of a statewide effort led by the USHE Assistant Commissioner for Academic Affairs in response to 2020 legislation, including Senate Bill 111, which integrated technical colleges with degree-granting institutions under USHE. Concurrent statutory direction (Utah Code 53B-16-105) requires the Board of Higher Education to reduce barriers for students through common course numbering, aligned curricula, and clearly defined transfer pathways. Nursing was identified as a priority discipline for this alignment due to workforce demand and the need for seamless academic mobility.

Through these statewide and regional discussions, stakeholders evaluated existing program structures and future workforce needs. While local partners expressed strong satisfaction with outcomes from the existing Practical Nursing (PN) and Associate of Applied Science (AAS) programs, they also emphasized the importance of preserving rapid entry-to-practice options, particularly for rural and place-bound students. At the same time, employers and system partners noted increasing expectations for academic progression and baccalaureate preparation over the course of a nurse's career.

In response, the proposed program design balances workforce readiness with academic mobility. The ASN program provides a unified, transfer-aligned pathway to registered nurse licensure while remaining fully compatible with USU's RN-to-BSN completion program. At rural sites, the continued availability of an AAS option ensures that students with immediate employment and financial needs retain access to a career-entry pathway, while the ASN option supports students seeking efficient progression to a bachelor's degree with minimal credit loss.

This dual-pathway approach reflects stakeholder consensus and aligns with Utah policy guidance emphasizing appropriate use of applied and transfer degrees based on student intent and labor-market outcomes. It broadens access for rural students, aligns educational pathways with employer needs, and strengthens nurse recruitment and retention across underserved regions. Ongoing collaboration with industry partners, technical colleges, and USHE institutions will continue to inform implementation and continuous improvement of the program.

SECTION IV: PROGRAM DETAILS

Program Curriculum

Provide a list of courses required to complete the program. List all courses, including college-level prerequisites (and pre-major placements or condition) and new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). Indicate new courses with an X in the appropriate columns. The total number of credit hours should reflect the number of credits required to be awarded for the degree. For variable credits, please enter the minimum value in the table for credit hours. To explain variable credit in detail as well as any additional information, use the Program Curriculum Narrative text field.

INSERT ROWS IN TABLE BELOW AS NEEDED

College Level Prerequisite Courses (list courses students commonly must take to be able to enroll in the program's courses listed below)

Course Prefix & Number	New Course?	Course Title	Credit Hours
CL1		Any CL1	3
HDFS 1500 (BSS) or PSY 1010 General Psychology (BSS)		Human Development Across the Lifespan or General Psychology	3
BIOL 2320		Human Anatomy	4
BIOL 2420		Human Physiology	4
MATH (QL)		QL	3
CHEM 1110/1115 (BPS)		General Chemistry w lab where available – not required	4
NURS 2500 or BIOL 2520		Pathophysiology for Nurses or Pathophysiology	3

General Education Courses (list specific courses if recommended for program; otherwise, list "any QL" of "any Humanities")

Course Prefix & Number	New Course?	Course Title	Credit Hours
Breadth Humanities (BHU)	X	Any Humanities	3
Breadth Creative Arts (BCA)	X	Any Creative Arts	3
Breadth American Institutions (BAI)	X	Any American Institutions	3
Breadth Life Sciences (BLS)	X	Any Breadth Life Sciences	3
CL2	X	Any CL2	3

Program Required Courses (list "and/or" conditions and reflect such conditions in credit hours)

Course Prefix & Number	New Course?	Course Title	Credit Hours
NURS 1010		Introduction to Nursing	2
NURS 1020		Fundamental Concepts of Nursing	4
NURS 1030		Fundamental Concepts of Nursing Practicum	3
NURS 1220		Nursing Management of Care - 1	4
NURS 1230		Nursing Management of Care - 1	4
NURS 1110		Introduction to Pharmacology	2
NURS 2020		Nursing Management of Care -2	4
NURS 2030		Nursing Management of Care -2 Practicum	3
NURS 2140	X	Family Nursing Across the Lifespan -1	2
NURS 2141	X	Family Nursing Across the Lifespan -1 Practicum	0.5
NURS 2143	X	Mental Health in Nursing	1
NURS 2144	X	Mental Health in Nursing Practicum	0.5

NURS 2150		Pharmacology 2	1
NURS 2220		Nursing Management of Care - 3	3
NURS 2230		Nursing Management of Care - 3 Practicum	3
NURS 2240	X	Family Nursing Across the Lifespan -2	1
NURS 2241	X	Family Nursing Across the Lifespan -2 Practicum	0.5
NURS 2255	X	NCLEX Prep	0.5

Program Elective Courses (list "and/or" conditions and reflect such conditions in credit hours)

Course Prefix & Number	New Course?	Course Title	Credit Hours
N/A			

Emphasis Courses (duplicate this table if there are multiple emphases)

Name of Emphasis

Course Prefix & Number	New Course?	Course Title	Credit Hours
N/A			

Degree Map

Provide a program Degree Map, also referred to as a graduation plan (for undergraduate programs ONLY). This map provides a suggested semester-by-semester class schedule for a full-time student that includes prefix, number, title, and semester hours.

Enter the degree map in the table below. If a specific general education course is required, list course and include GE fulfilled. If the program does not require a specific general education, write "Any Fine Art" or "Any QL" and check GE fulfilled.

INSERT ROWS IN TABLE BELOW AS NEEDED

For General Education courses, use the following acronyms or leave blank if not GE:

C Written Communication / QL Quantitative Literacy / AI American Institutions /
FA Fine Art / H Humanities / LS Life Science / PS Physical Science / SS Social Science

First Year Fall			First Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
Any CL1	3	C	BIOL 2420 Human Physiology	4	
HDFS 1500 Human Development Across the Lifespan or PSY 1010 General Psychology	3	SS	Any MATH QL	3-5	QL
BIOL 2320 Human Anatomy	4		CHEM 1110 General Chemistry I w or without lab	4-5	PS
Any Humanities	3	H	Any American Institutions	3	AI
Any Creative Arts	3	FA			
Total	16		Total	14-17	
Second Year Fall			Second Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
NURS 1010 Intro to Nursing	2		NURS 1220 Nursing Management of Care 1	4	
NURS 1020 Fundamental Concepts of Nursing	4		NURS 1230 Nursing Management of Care 1 Practicum	4	
NURS 1030 Fund. Concepts of Nursing Practicum	3		NURS 1110 Pharmacology 1	2	
Any Life Science	3	LS	Any CL2	3	C
NURS 2500 Pathophysiology for Nurses or BIOL 2520 Pathophysiology	3				
Total	15		Total	13	
Third Year Fall			Third Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
NURS 2020 Nursing Management of Care 2	4		NURS 2220 Nursing Management of Care 3	3	
NURS 2030 Nursing Management of Care 2 Practicum	3		NURS 2230 Nursing Management of Care 3 Capstone	3	
NURS 2140 Family Nursing Across the Lifespan 1	2		NURS 2240 Family Nursing Across the Lifespan 2	2	
NURS 2141 Family Nursing Across the Lifespan 1 Practicum	0.5		NURS 2241 Family Nursing Across the Lifespan 2 Practicum	0.5	
NURS 2143 Mental Health	1		NURS 2255 Preparation for NCLEX	0.5	
NURS 2144 Mental Health Practicum	0.5				
NURS 2150 Pharmacology 2	1				
Total	12		Total	9	

PN to ASN Degree Map (for Tooele, Uintah Basin, and Logan)

First Year Fall			First Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
ENGL 1010 Intro to Writing	3	C	BIOL 2420 Human Physiology	4	
HDFS 1500 Human Development Across the Lifespan or PSY 1010 General Psychology	3	SS	Any MATH QL	3-5	QL
BIOL 2320 Human Anatomy	4		CHEM 1110 General Chemistry I w or without lab	4-5	PS
Any Humanities	3	H	Any American Institutions	3	AI
Any Creative Arts	3	FA			
Total	16		Total	14-17	
Second Year Fall			Second Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
			Practical Nursing Courses articulated from USHE Technical college	19	
Any Life Science	3	LS	ENGL 2010 Intermediate Writing: Research Writing in a Persuasive Mode	3	C
NURS 2500 Pathophysiology for Nurses or BIOL 2520 Pathophysiology	3				
Total	6		Total	22	
Third Year Fall			Third Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
NURS 2020 Nursing Management of Care 2	4		NURS 2220 Nursing Management of Care 3	3	
NURS 2030 Nursing Management of Care 2 Practicum	3		NURS 2230 Nursing Management of Care 3 Capstone	3	
NURS 2140 Family Nursing Across the Lifespan 1	2		NURS 2240 Family Nursing Across the Lifespan 2	2	
NURS 2141 Family Nursing Across the Lifespan 1 Practicum	0.5		NURS 2241 Family Nursing Across the Lifespan 2 Practicum	0.5	
NURS 2143 Mental Health	1		NURS 2255 Preparation for NCLEX	0.5	
NURS 2144 Mental Health Practicum	0.5				
NURS 2150 Pharmacology 2	1				
Total	12		Total	9	

Program Curriculum Narrative

Describe any variable credits as well as internships, clinicals, or other external learning experiences. Include additional curriculum information that differentiates this program's curriculum such as mandatory summer terms, accelerated schedule options or paths for part-time students.

As described earlier, concurrent statutory direction (Utah Code 53B-16-105) requires the Board of Higher Education to reduce barriers for students through common course numbering, aligned curricula, and clearly defined transfer pathways. Prerequisite courses for undergraduate nursing programs at USHE institutions were aligned by the Nursing Majors Committee, creating more options for students in select prerequisite courses. This creates a variable total number of credits required to complete the program. These courses include the following:

- MATH QL – credits 3, 4, or 5
- CHEM 1110/1115 – lab is not required because it is not always available for students – credits 4 or 5

This creates a total number of credits of 79 – 82 to complete the program of study.

USU Nursing currently maintains affiliations with technical college practical nursing programs that provide a pathway for students to complete an Associate of Applied Science in Nursing (AAS) through a two-semester upper-division sequence. These affiliations will continue under the proposed program in addition to a new proposed program on the Logan campus. Students who complete the practical nursing curriculum will receive credit for 19 applicable nursing credits and may enter the program at the third-semester level, completing the fall and spring semesters to earn an Associate of Science in Nursing degree from USU.

The Associate of Science in Nursing program (ASN) curriculum is designed using a simple-to-complex framework that guides students from foundational nursing principles to advanced management of patient care. The program utilizes a concept-based model in which key concepts and exemplars increase in complexity as students progress through the curriculum. The Department of Nursing follows USU standard credit-hour conversion in which one credit hour is equivalent to 50 minutes in the classroom plus 2 hours of study per week. Credit hours for practicum courses align with federal guidelines for equivalent work: one credit hour equals 2 laboratory hours per week (1:2), and 1 credit hour is equivalent to 3 clinical or simulation hours per week (1:3). The total number of practicum hours for the proposed ASN curriculum is 578, which is comparable to other similar USHE nursing programs in the State of Utah.

During the first two semesters of nursing coursework, instruction is delivered face-to-face to support foundational learning. This classroom instruction is reinforced through hands-on experiences in laboratory and clinical settings. Practicum courses in the first three semesters include laboratory skills and competency validation, high-fidelity simulation experiences, and clinical rotations across a variety of healthcare facilities.

At the conclusion of the second semester, students may elect to pursue eligibility for the Practical Nursing (PN) NCLEX examination, allowing them to work as licensed practical nurses while completing the final two semesters of the program. Students choosing this option must notify nursing faculty and complete additional required content and competencies to earn a Practical Nursing certificate, which is necessary prior to sitting for the licensing examination. This additional content may be completed concurrently during the second semester but must be finalized no later than one week following the end of the semester.

During the third and fourth semesters, selected courses are offered in a hybrid or online format to provide scheduling flexibility. These courses include Mental Health Nursing, Pharmacology II, and Preparation for the NCLEX.

In the final semester, students complete a precepted clinical experience totaling 120 hours. Each student is paired with a designated registered nurse preceptor in a clinical setting. Nursing faculty serve as clinical liaisons throughout this experience to support student learning and ensure program outcomes are met.

Program Admission Requirements

List selective admission requirements specific to the proposed program. Describe cohort-driven admissions, if applicable.

To be admitted to the Associate of Science in Nursing program (ASN) program, students will be required to:

- Complete all prerequisites with a grade of “B-“or better. Three course attempts for any one course will be accepted. Repeats exceeding 3 attempts will be considered on a case by case basis.
- Nursing Assistant certification (CNA) or Medical Assistant (MA) certification/degree is required to be considered for admission.
- Resume is required to list your education, employment, and other information in a standard format (template provided).
- \$30.00 application fee
- HESI A2 exam score (75% or better). Applicants are allowed two attempts per application cycle. Two weeks in between attempts are required. HESI A2 scores older than two years will not be accepted.
- Essay – essay questions are emailed to the applicant after submission of application materials. Applicants have one week to complete the essay. Students are advised to prepare to write about their own personal experiences with topics such as care of others, life challenges, responsible behaviors, and the many facets of diversity, and success.
- Video interviews – Students will be notified of application status, and whether or not it was advanced to the subsequent phase. Meeting the minimum requirements to apply to the Nursing Program does not guarantee acceptance. Students will receive a link to complete the video interview.

Program Graduation Standards and Number of Credits

Provide graduation standards. Include standards specific to the program that are beyond the institution’s standard graduation requirements. Provide justification if number of credits exceeds credit limit for this program type described in R402-6 Table 1, which can be found at <https://ushe.edu> in the Board of Higher Education section under Policies.

The proposed Associate of Science in Nursing (ASN) program fulfills the institution’s standard graduation requirements as described in USHE policies R402-6 Table 1. The proposed program fits the criteria for a Specialized Associate Degree with a minimum of 60 credits and maximum of 85 credits including a minimum of 28 credit hours of specialized coursework. Students will complete the program in 4 semesters with a total of 79 – 82 credits with 40 of those credits in specialized coursework.

SECTION V: INSTITUTION, FACULTY, AND STAFF SUPPORT

Institutional Readiness

How do existing administrative structures support the proposed program? Identify new organizational structures that may be needed to deliver the program. Will the proposed program impact the delivery of undergraduate and/or lower-division education? If yes, describe how?

USU has made nursing education programs a priority and provided extensive support and resources for the current nursing programs. This includes the formation of a Department of Nursing and Health Professions, which was approved by the State Board of Regents in July 2014. The Department of Nursing and Health Professions includes a Department Head, Pam Anderson, who is currently serving as interim, and serves as the department administrator for all nursing programs. Dr. Laura Dotson, serves as the regional director of practical and associate degree nursing programs. Dr. Dotson is centrally located at the USU Eastern campus in Price, UT and oversees the programs located in Blanding, Moab, Price, Tooele, and Uintah Basin. Each campus includes a clinical coordinator who oversees and coordinates course delivery and clinical placements.

The proposed Associate of Science in Nursing program will not impact the delivery of undergraduate and/or lower-division education. Adequate access to all prerequisite courses and general education courses are available at Utah State University and offered as in-person, hybrid, or online courses for students.

Student Advisement for this Program

Describe how prospective and current students in the proposed program will be advised. Does the sponsoring department have advisors or are students referred to campus advising? Are there advisements for part-time student participants?

A full-time advisor is currently employed by the department and will continue to provide advising support for nursing students. In addition, each campus has an assigned academic advisor dedicated to pre-nursing and nursing students. These advisors meet quarterly with nursing administration and the department's full-time advisor to ensure current knowledge of admission requirements, curriculum changes, and program policies. This coordinated advising structure adequately supports the needs of students in the program.

Professional Licensure

Will graduates of this program need to seek certification or licensure to be employed in the field? If no, type N/A. If yes, describe how the program meets the educational requirements of the license both in Utah and in other states. Reference specialty accreditation and compact or reciprocity agreements, if applicable.

The Utah State University proposed Associate of Science in Nursing (ASN) program will continue to use the current written plan for systematic evaluation of end-of-program student learning outcomes and program outcomes. The Systematic Plan of Evaluation (SPE) includes specific, measurable expected levels of achievement for each end-of-program student learning outcome and program outcomes. The SPE is organized around components, frequency of assessment, methods of assessment, results, and action plans. The Nursing Faculty Organization Evaluation and Accreditation Committee revised the SPEs in accordance with 2023 Accreditation Commission for Education in Nursing (ACEN) Standards and Criteria. These learning outcomes are designed to adequately prepare students to take and pass the National Registered Nurse Licensing Exam-RN (NCLEX RN) exam which is required by Utah and all states to seek licensure and employment as a registered nurse.

The Utah Nurse Practice Act was reviewed and incorporated into the curriculum development process. Nursing curricula from comparable universities within the state and region were also evaluated and considered in the development of the proposed course plan. Although the transition from the Practical Nursing and Associate of Applied Science in Nursing programs to a standalone Associate of Science in Nursing program does not require approval from the Utah State Board of Nursing, the change will be reported to the Board upon final approval.

Library and Information Resources

Describe library resources students will need to complete this program, if any. Describe the library resources the institution already possesses. Describe new library resources to be acquired. Identify additional costs to support library and information resources needs in the finance table.

The library resources are adequate to address the needs of the proposed Associate of Science in Nursing (ASN) program including an abundance of online databases through the Merrill-Cazier Library providing access to leading nursing and health care journals.

Facility (Space) / Material Needs

Describe special space or equipment needs for program, if any. Describe the space and technology needs the institution already possesses. Describe new space or technology to be acquired.

Physical resources are sufficient, yet vary across the five campus locations for the existing practical nursing (PN) and Associate of Applied Science in Nursing (AAS) programs. These resources will continue to be sufficient for the proposed Associate of Science in Nursing (ASN) program. Although varied, physical resources are sufficient to meet the needs of faculty, staff, and students, and facilitate achievement of the end-of-program student learning outcomes and program outcomes at all locations.

Physical resources and equipment are sufficient to accommodate a new program on the main campus in Logan.

Learning resources are comprehensive, current, accessible to faculty and students, and selected by faculty. Examples include but are not limited to high-fidelity simulation manikins; standardized testing and remediation package; textbook package with online resources; skills laboratory equipment; and library resources. Learning resources are appropriate for all delivery methods including face-to-face, online, and interactive videoconferencing instruction.

Current and New Department Faculty / Staff Information

Identify current # of department faculty / staff (headcount) to be involved with the program and faculty / staff to be hired along with their qualifications and tenure status. Include additional cost for these faculty / staff members in budget narrative and table.

In the Expense Narrative field later in the proposal, please indicate when new faculty and staff hires will occur in year 1 or a subsequent year of the program.

Current Faculty/Staff					Faculty/Staff to be Hired				
For faculty: academic or industry credential held:	# Fulltime	# Parttime	# Tenure or Tenure-Track	# Non-Tenure Track	# Fulltime	# Parttime	Est. % of time committed to new program	# Tenure-Track	# Non-Tenure Track
Doctorate Degrees	3								
Masters Degrees	9				3	5	100		
Bachelor Degrees	1								
Associates Degrees									
Industry Credential									
Staff	3	1							
Teaching/Grad Assistants									
TOTAL	16	1			3	5			

Faculty

Describe faculty development activities that will support this program. Will existing faculty/instructors, including teaching/graduate assistants, be sufficient to instruct the program or will additional faculty be recruited? If needed, provide plans and resources to secure qualified faculty. The narrative should be consistent with the budget and faculty tables.

All faculty are encouraged to maintain expertise, participate in scholarship, and apply evidence-based pedagogical and clinical practices. The Nursing Department provides faculty development funding for full-time faculty and are encouraged to attend conferences and workshops that help faculty keep current in clinical practice as well as evidence-based teaching practices. There is not an expected need for further development activities to support this program.

Staff

Describe the staff development activities that will support this program. Will existing staff such as administrative, secretarial/clerical, laboratory aides, advisors, be sufficient to support the program or will additional staff need to be hired? If needed, describe the circumstances such as growth in students in the program, that will signal the additional hires. Provide plans and resources to secure qualified staff, as needed.

Staff assistants across the various campuses perform consistent administrative and office support functions. They are expected to be knowledgeable about USU policies, procedures, and general university processes in order to effectively address student and stakeholder questions. Staff assistants attend monthly nursing faculty organization committee meetings and are kept informed of program updates and changes. Beginning in spring 2026, targeted training will be implemented to further prepare staff assistants to respond to student inquiries and to provide accurate resources related to the new program curriculum and course requirements. There is not a need for additional staff to support this program.

SECTION VI: PROGRAM EVALUATION

Program Assessment

Describe program academic and professional goals. Identify program performance goals. Describe the system of assessment to be used to evaluate program success in meeting performance goals.

The previous 1+1 program model consisted of a Practical Nursing (PN) certificate program followed by an Associate of Applied Science in Nursing (AAS) degree program. These curricula were developed concurrently and organized in a simple-to-complex progression, allowing students to advance from the PN program (two semesters) into the AAS program (two semesters).

The proposed Associate of Science in Nursing (ASN) curriculum will retain this strong curricular foundation and will be delivered as a single, integrated four-semester program. Core concepts and clinical exemplars will continue to progress in complexity across the four semesters, with only minor adjustments to support integration and continuity. The existing concept-based curriculum was developed using nationally recognized standards, including the National League for Nursing (NLN) competencies for practical and associate-degree nurses, the National Council of State Boards of Nursing (NCSBN) NCLEX-PN and NCLEX-RN Test Plan frameworks, and the Quality and Safety Education for Nurses (QSEN) competencies related to knowledge, skills, and professional attitudes.

Achievement of program outcomes will be measured through direct and indirect methods such as national standardized assessment tools, clinical evaluations, and a student exit survey. These are completed by each cohort in the 4th semester and are assessed and evaluated at the department spring retreat. Faculty discuss discrepancies and/or gaps found during evaluation and strategize methods for curriculum development or improvement.

The nursing faculty use evaluation findings for decision-making for program improvement. Faculty review data results at annual faculty retreat and in an ongoing manner at faculty and other committee meetings. Documentation of analysis of assessment data is included in an action minutes' format to ensure that discussion, resulting actions, responsibility, mechanism of evaluating strategies, and specific ACEN standard and criteria to which the action is related, are clearly identified. The action minutes' format is used at annual faculty retreat, faculty meetings,

Student Standards of Performance

List the program learning outcomes including standards, competencies, and marketable skills students will have achieved at the time of graduation. How will student attainment of program learning outcomes be

assessed/evaluated? How will student attainment of professional competencies be assessed/evaluated?

The proposed Associate of Science in Nursing program includes eight end-of-program student learning outcomes, which represent overarching curriculum outcome areas, often referred to as curriculum “threads.” These outcomes describe the essential knowledge, skills, and professional behaviors expected of graduates upon completion of the program.

Associate of Science in Nursing End-of-Program Student Learning Outcomes:

1. Demonstrate proficiency in nursing skills while applying nursing judgment and evidence-based practice.
2. Apply holistic principles when caring for individuals, families, and communities across the lifespan.
3. Establish priorities and provide safe, high-quality care through effective use of the nursing process.
4. Demonstrate effective communication and leadership when collaborating within interdisciplinary teams.
5. Demonstrate accountability in nursing practice while adhering to legal and ethical standards.
6. Advocate for ongoing professional growth and leadership development in self and others.
7. Implement patient teaching and health-promotion strategies across a variety of settings and populations.
8. Serve as a compassionate and respectful advocate for patients, promoting hope, health, healing, and human dignity.

These end-of-program student learning outcomes will guide curriculum organization, instructional delivery, and evaluation processes. Individual course learning outcomes will align with and support achievement of the program-level outcomes. Student learning will be evaluated using both formative and summative assessment methods, including quizzes, faculty-developed examinations, standardized assessments, skills and competency validations, and clinical performance evaluations.

Achievement of program outcomes will be measured through direct and indirect methods such as national standardized assessment tools, clinical evaluations, and a student exit survey. These are completed by each cohort in the 4th semester and are assessed and evaluated at the department spring retreat. Faculty discuss discrepancies and/or gaps found during evaluation and strategize methods for curriculum development or improvement.

SECTION VII: PROJECTED PROGRAM ENROLLMENTS & FINANCE

Three Year Projection Student Participation

Provide projected enrollment and information on related operating expenses and funding sources. Project the number of students who will be attracted to the proposed program as well as increased expenses, if any. Include new faculty and staff as described in the faculty section of this

proposal. Project five years' enrollments and graduates. Note: If the proposed program is an expansion of an existing program, present several years enrollment trends by headcount and/or by student credit hours that justify expansion.

NOTE: Highlighting blue cells in the table below and pressing f9 on your keyboard will auto calculate the cell's value.

Three Year Projection: Program Participation and Department Budget						
	Year Preceding Implementation	New Program				
		Year 1	Year 2	Year 3	Year 4	Year 5
Student Data						
# Majors in Department	100	125	130	145	165	175
# Majors in Proposed Program		105	130	145	165	175
# Graduates from Department	65	65	70	90	105	115
# Graduates in New Program		0	70	90	105	115
Department Financial Data						
<i>Project additional expenses associated with offering new program. Account for new hires as stated in "Current and New Department Faculty / Staff" table.</i>	Department Budget					
	Year Preceding Implementation	Year 1	Year 2	Year 3		
	(base budget)	Addition to base budget for new program(s)				
EXPENSES - nature of additional costs required for proposed program(s)						
<i>List salary and benefits for additional faculty and staff each year the positions will be filled. Ex: if hiring faculty in year 2, include expense in years 2 and 3. List one-time operating expenses only in the one year.</i>						
Personnel (1)	\$0	0	316,625.00	316,625.00		
Operating Expense (2)	0	0	10,000.00	10,000.00		
Space Needs and Utilization	0	0				
Other	0	0				
TOTAL Program Expenses			\$326,625.00	\$326,625.00		
TOTAL EXPENSES	\$ 0.00	\$ 0.00	\$326,625.00	\$326,625.00		
FUNDING - source of funding to cover additional costs generated by proposed program(s)						
<i>Describe internal reallocation using "Existing Funding Source Narrative" following this table. Describe new sources of funding using "New Revenue Narrative" on the following page.</i>						
Internal Reallocation	0	0	\$326,625.00	\$326,625.00		
Appropriation	0	0	0	0		
Special Legislative Appropriation	0	0	0	0		
Grants and Contracts	0	0	0	0		
Special Fees	0	0	0	0		
Tuition	0	0	0	0		
Differential Tuition (3)	0	0	0	0		
PROPOSED PROG FUNDING		\$ 0.00	\$326,625.00	\$326,625.00		
TOTAL DEPT FUNDING	\$ 0.00	\$ 0.00	\$326,625.00	\$326,625.00		
DIFFERENCE						
Funding - Expense	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		

(1) faculty and staff salary and benefits

(2) equipment, travel, resources

(3) requires UBHE approval

Expense Narrative

Describe expenses associated specifically with the proposed program. Please indicate in which year(s) new faculty and staff hires for the program will occur.

The regional campuses will utilize the same faculty and staff in place at each campus, teaching the same curriculum they had in the past with minimal revisions. With little anticipation of sudden growth in enrollment, the implementation of this program is designed to be cost-neutral. A written plan for expenses related to growth has been in place for the regional campuses and will remain unchanged:

Blanding: The cap for the ASN program enrollment is 15 with current number of faculty. If enrollment exceeds 15 but not more than 20, the addition of 2 PT clinical instructors or 1 FT faculty would be required. Over 20 students would exhaust clinical availability and would not be possible at this time. The additional 2 PT instructors would increase costs approximately \$18,724.00.

Moab: The cap for the ASN program enrollment is 15 with current number of faculty. If enrollment exceeds 15 but not more than 20, the addition of 2 PT clinical instructors or 1 FT faculty would be required. Over 20 students would exhaust clinical availability and would not be possible at this time. The additional 2 PT instructors would increase costs approximately \$24,260.00

Price: The cap for the ASN program enrollment is 30 with current number of faculty. Enrollment cannot exceed 30 with the current classroom and laboratory capacity and availability. In order to increase enrolment, the need to offer a second admission cycle in the spring would be most likely. The addition of 2 FT faculty, 1 FT staff (lab-simulation assistant coordinator), and 2 PT clinical instructors would be required. An expansion of the current lab and simulation suite would also need to be requested. This will require an abbreviated program proposal.

Tooele: The cap for the ASN program enrollment is 30 with current number of faculty. Enrollment cannot exceed 30 with the current classroom and laboratory capacity and availability. In order to increase enrolment, the need to offer a second admission cycle in the spring would be most likely. The addition of 1 FT faculty and 2 PT clinical instructors would be required. This will require an abbreviated program proposal.

Uintah Basin: The cap for the ASN program enrollment is 30 with current number of faculty. Enrollment cannot exceed 30 with the current classroom and laboratory capacity and availability. In order to increase enrolment, the need to offer a second admission cycle in the spring would be most likely. The addition of 1 FT faculty and 2 PT clinical instructors would be required. This will require an abbreviated program proposal.

The Logan campus nursing program may also implement a two-semester completion option similar to those offered at the Uintah Basin and Tooele campuses with implementation fall 2028. This is dependent on the acquisition of an affiliation agreement with one or more USHE technical colleges, primarily Bridgerland Technical College and Ogden Technical College. If contracts do not occur, then the pursuit of a 4-semester Associate of Science in Nursing program will be implemented in the fall of 2028. If a 2-semester program is implemented, admitting 20-30 students, 3 times a year, 3 new full-time faculty positions would be required in addition to 5 PT clinical instructors.

Total personnel expenses, including salary and benefits, are estimated at approximately \$316,625 if the Logan program is implemented. Operating expenses are expected to be minimal and limited primarily to computers, office supplies, and related resources, with estimated costs of approximately \$10,000 in the first year. Existing structures and resources will be used to accommodate program needs. Program revenue at the Logan campus will be enrollment-driven, with projected cohorts of approximately 20–30 students per academic year.

Describe what internal reallocations, if applicable, are available and any impact to existing programs or services.

The proposed Associate of Science in Nursing program (ASN) leverages existing departmental resources, including faculty, staff, curriculum, and library access, which already support the current practical nursing (PN) and associate of applied science (AAS) programs in the regional campuses. Consequently, there are no new expenses associated with the program's development or ongoing delivery. No new faculty or staff hires are required at this point and designed to be cost-neutral.

Due to USU receiving only 30% of the reallocation funding under HB265, the ASN program on the Logan campus will be delayed until fall 2028 while focusing on expanding the BSN program to include a summer semester instead.

New Revenue Narrative

Describe new funding sources and plans to acquire the funds. Does the institution anticipate assessing students course-fees or program-based fees?

Program revenue at the Logan campus will be enrollment-driven, with projected cohorts of approximately 20–30 students per academic year. No changes to student course-fees or program-based fees will be required.

SECTION VIII: ADDITIONAL DOCUMENTATION

Feedback and discussion

Add a comment in the discussion of this proposal:

This Associate of Science in Nursing program proposal was initially intended to include only the regional campuses at Tooele, Uintah Basin, Price, Moab, and Blanding, with an anticipated start term of Fall 2027. The department now requests inclusion of the Logan main campus for consideration of a new, similar two-semester completion program aligned with those offered at the Tooele and Uintah Basin campuses. The proposed start term for the Logan campus program is Fall 2028.

Provide draft articulation agreement for transfer associate degrees and/or additional documentation such as letters of support from advisory groups, employers, or published studies as separate documents. Please include institution acronym and name of proposed program in the title of the document.



*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Paul Barr, Executive Vice Provost
DATE: August 7, 2026
RE: Full Program: Behavioral Neuroscience Bachelor of Arts, Bachelor of Science
Department of Psychology
Emma Eccles Jones College of Education, Health & Human Sciences

In accordance with [Utah Board of Higher Education Policy R401](#), the Department of Psychology, in the Emma Eccles Jones College of Education, Health & Human Sciences, proposes offering a Behavioral Neuroscience Bachelor of Arts, and Bachelor of Science.

This proposal establishes an undergraduate degree in behavioral neuroscience that provides students with a strong foundation in psychology, biology, chemistry, and neuroscience.

On July 22, 2026, the Board of Trustees Research and Academic Approval Committee reviewed the proposal and recommended it for full board approval.

The President and Provost endorse the proposal and respectfully request approval from the full Board.

Attachments:

CEHS-PSY-Behavioral Neuroscience-BA, BS-Full Program



**Utah System of Higher Education
R401 Program Proposal
New Full Program (AAS or higher)**

SECTION 1: PROGRAM INFORMATION

Institution

Department

Psychology

Proposed Award Name

Behavioral Neuroscience

Award Type - Please select only one

- ☐ Associate's Degree (including AAS degrees)
- ☒ Bachelor's Degree¹
- ☐ Master's Degree
- ☐ Doctor Degree

Will this proposal include emphases? (If no, leave unchecked and move to next item.)

- ☐ Yes, this proposal has emphases
- ☐ An emphasis is required to complete this program

----- *For proposals with emphases, please note if any of the following attributes are different for a particular emphasis* -----

Additional Departments

Biology, Chemistry

CIP Code (Provide a 6-digit CIP Code. Omit the period.): 261501

Award Acronym (ex. AAS, AA, BS, BA/BS, etc. Acronym field allows for 2 to 6 characters. Omit periods.) BA/BS

Quantitative Literacy Course recommended for this program (for undergraduate programs only. Select one option.)

- ☐ MATH 1030 Quantitative Reasoning
- ☐ MATH/STAT 1040 Intro to Statistics
- ☐ MATH 1050 College Algebra
- ☐ Any QL course is acceptable
- ☐ Other (please list in Curriculum table)

Program Delivery Method(s)

How will students complete this program? Indicate all program delivery methods considered for this program:

- ☒ Entire program can be completed in person
- ☐ Entire program can be completed via Interactive Videoconferencing (EDNET)
- ☐ Entire program can be completed Online
- ☒ Students can take different courses through a variety of delivery methods

Minimum Credit Hours to Complete Program (including emphasis if applicable; use whole numbers) 120

Maximum Credit Hours to Complete Program (including emphasis if applicable; use whole numbers) 120

Expected First Semester Students May Enroll in Program Fall

Expected First Year Students May Enroll in Program 2026

SECTION II: INSTITUTIONAL ROLES & MISSION

Program Description

Present a brief program description. (1-2 paragraphs.)

Utah State University (USU), Emma Eccles Jones College of Education and Human Services, proposes to offer an interdisciplinary undergraduate program in behavioral neuroscience. The primary goal of the undergraduate program in neuroscience is to provide students with a comprehensive and well-rounded background in behavioral neuroscience. Students will learn about fundamental theories and discoveries in behavioral neuroscience and will learn how to investigate questions about the neural basis of the behavior. Coursework will include a core set of psychology, chemistry, biology, and neuroscience courses, advanced electives, and laboratory experiences. This program overlaps substantially with pre-med and will prepare students for a variety of health-oriented careers including medicine, psychiatry, clinical psychology, neuropsychology, pharmaceutical research, genetic counseling, public health, and graduate programs in neuroscience and related disciplines.

Consistency with Institutional Mission

Explain how the program is consistent with the institution's Board approved mission, roles, and goals (see Board policy R312 found at <https://ushe.edu> in the Board of Higher Education section under Policies) or, for "out of mission" program requests, the rationale for the request.

The proposed undergraduate program in neuroscience aligns with USU's mission to "discover, create, and transmit knowledge through education and training programs at the undergraduate, graduate, and professional levels; through research and development; and through service and extension programs" (R312, 4.1.1). Graduates will contribute to the economic development of the State and region by applying the knowledge acquired in the program. This degree benefits students by translating theory and research into practice through comprehensive learning experiences. With current economic drivers, including a robust healthcare system, advanced neuroscience research, and expanded mental health resources, graduates will be well-positioned for employment and the expansion of critical research across various fields.

SECTION III: NEEDS ASSESSMENT

Market Demand

Provide local, state, and/or national labor market data that speak to the need for this program. What business and industry sectors seek the knowledge base and skills graduates will offer? Are there known Utah employers? How many annual job openings are available? What wage will graduates earn? How strong is the employment sector for graduates of the program? Are numbers of job openings increasing? How does the median wage for these jobs compare to statewide median wage for all workers and/or for workers with the same education level?

NOTE: Occupational demand, wage, and number of annual openings information may be found at sources such as Utah DWS Occupation Information Data Viewer (jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do) and the Occupation Outlook Handbook (www.bls.gov/oco). Utah DWS Firm Find also provides Utah employer data (<https://jobs.utah.gov/jsp/firmfind/#/>).

Local/Regional Market Demand (include a short description to clarify the geographic parameters for this data)

A degree in neuroscience provides access to a wide range of career opportunities in fields such as healthcare, medicine, research, and biotechnology—sectors experiencing growth in Utah, indicating a strong local and regional market demand. Potential positions for graduates include neurologist, neuroscientist, neurosurgeon, medical doctor, psychiatrist, psychologist, researcher, technician, and analyst, among others. The expanding life sciences and mental health industries in this region offer substantial career prospects for neuroscience graduates, often with salaries exceeding state averages.

State Market Demand

Students completing the behavioral neuroscience degree at Utah State University can expect abundant career opportunities in Utah. Those pursuing graduate education will find high demand and earning potential, with starting salaries around \$170,000 for neurologists and \$196,000 for psychiatrists. For those entering the workforce immediately, the degree prepares them for entry-level STEM roles such as laboratory technician and research associate in the growing biotech sector. These roles are projected to grow by 3-5% annually, primarily in Utah's population centers, with median salaries between \$45,000 and \$60,000. Advancement to senior positions, such as laboratory or program managers, is common and offers higher salaries.

National Market Demand

A degree in neuroscience opens doors to diverse professions spanning medicine, psychology, law, engineering, education, and public policy. U.S. Bureau of Labor Statistics projections from 2008 to 2018 indicated strong growth in life sciences careers, with medical scientist positions expected to grow by 40% and biological scientist roles by 21%, both fields maintaining low unemployment rates. As of May 2018, median annual earnings reached \$84,810 for medical scientists and \$79,590 for biological scientists working in research and development settings.

Student Demand

Provide evidence of student interest and demand that supports potential program enrollment and your plan for attracting under-represented student groups. NOTE: Student enrollment projections will be called for in the finance section of this proposal.

Student interest in a neuroscience program at Utah State University has demonstrated strong and sustained growth. The USUSA Excellence in Neuroscience Club, established in Fall 2017, expanded from over 120 members by Spring 2018 to more than 160 members by Fall 2018. Of these members, 55 expressed direct interest in pursuing a neuroscience major. Survey data collected from 26 respondents revealed a highly motivated student population with an average GPA of 3.71, representing diverse academic levels from freshmen to seniors. The majority of interested students indicated plans to attend graduate school, with strong interest in medical school and research careers. Additionally, prospective high school students have contacted the club seeking information about neuroscience opportunities at USU, suggesting continued demand from incoming students. The proposed program's interdisciplinary nature positions it well to attract under-represented student groups. Neuroscience intersects with numerous fields including psychology, human development, kinesiology, speech and hearing sciences, chemistry, mathematics, physics, communicative disorders, business, and engineering, creating pathways for students from diverse academic backgrounds and interests. Survey responses indicate that current interested students come from various majors, demonstrating the program's broad appeal. Utah State would become the first public institution in Utah to offer an undergraduate neuroscience program, filling a significant gap in accessible neuroscience education and providing opportunities for students who may not have access to private institutions like BYU. The program's inclusion of medical school prerequisite courses and multiple subspecialty options will further broaden its appeal to students from different backgrounds pursuing varied career paths.

Similar Programs

List similar programs offered elsewhere in the USHE, the state, or Intermountain Region. In comments field, describe unique characteristics of proposed program to similar program(s), if any.

Institution	Award Type	Program Award Name	Link to Program	Comments
Weber State University	Bachelor of Science with a Minor in Neuroscience	Minor in Neuroscience	https://www.weber.edu/neuroscience/minor-information.html	Weber State University offers only a minor in neuroscience, whereas the proposed program at USU will be a major.
Utah Valley University	Bachelor of Science with a Minor in Cognitive Neuroscience	Minor in Cognitive Neuroscience	https://catalog.uvu.edu/humanities-social-sciences/psychology-and-counseling/cognitive-neuroscience-minor/	Only offers a minor, and only in cognitive neuroscience
Brigham Young University	Bachelor of Science in Neuroscience	Neuroscience	https://catalog.byu.edu/programs/34663	The proposed program is most distinctive from other neuroscience programs in that it leverages

				local expertise in Applied Behavioral Analysis to emphasize and integrate courses that involve the mathematical modelling of behavior.
Colorado State	Bachelor of Science in Neuroscience	Behavioral and Cognitive Neuroscience/Cell and Molecular Neuroscience	https://catalog.colostate.edu/general-catalog/colleges/veterinary-medicine-biomedical-sciences/biomedical-sciences/neuroscience-major/	
Montana State	Bachelor of Science in Neuroscience	Cell Biology and Neuroscience	https://catalog.montana.edu/undergraduate/agriculture/cell-biology-neuroscience/biomedical-sciences-option/	
University of Nevada - Reno	Bachelor of Science in Neuroscience	Neuroscience	https://www.unr.edu/neuroscience/undergraduate	
Washington State University	Bachelor of Science in Neuroscience	Neuroscience	https://vetmed.wsu.edu/education/undergraduate-degrees/neuroscience/	
Washington University in St. Louis	Bachelor of Science in Biology: Neuroscience Emphasis	Biology: Neuroscience Specialization	https://biology.wustl.edu/major-requirements-related-programs#heading11690	
Weber State University	Interdisciplinary Minor	Neuroscience	www.weber.edu/neuroscience/	

Transfer Check

For transfer associate degrees, provide information on bachelor degrees that graduates can transfer into; at end of proposal form, attach at least one draft articulation agreements with a 4-year program. For 4-year degrees, list 2-year degrees that may transfer into the degree, if any. Use comments field to unique transfer requirements such as minimum GPA, if any.

Institution	Award Type	Program Award Name	Link to Program	Comments

Collaboration with and Impact on Other Degree-granting or Technical College USHE Institutions

Assess the impact the new program will have on other USHE institutions. Describe any discussions with other institutions pertaining to this program. Include any collaborative efforts that have taken place. Indicate if the program will be delivered outside of designated service

area; provide justification. Service areas are defined in Board policy R315 found at <https://ushe.edu> in the Board of Higher Education section under Policies.

There are no bachelor's programs in behavioral neuroscience; this program will not impact other USHE institutions. The Department of Psychology routinely works with students who are transferring from other USHE institutions (including SLCC and Snow College) to ensure streamlined transfer articulation.

Accreditation

If the program will seek special professional program-level accreditation, identify the accrediting body, and project timeline and anticipated costs for initial approval, and a date for accreditation review cycle.

N/A

External Review

Describe how external consultants, program advisory committee members, industry experts, or other non-institutional stakeholders were involved in the development of the proposed program. For programs that address specific industry or occupational needs, indicate the extent to which the applicable industry representatives have provided input.

N/A

SECTION IV: PROGRAM DETAILS

Program Curriculum

Provide a list of courses required to complete the program. List all courses, including college-level prerequisites (and pre-major placements or condition) and new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). Indicate new courses with an X in the appropriate columns. The total number of credit hours should reflect the number of credits required to be awarded for the degree. For variable credits, please enter the minimum value in the table for credit hours. To explain variable credit in detail as well as any additional information, use the Program Curriculum Narrative text field.

INSERT ROWS IN TABLE BELOW AS NEEDED

College Level Prerequisite Courses (list courses students commonly must take to be able to enroll in the program's courses listed below)

Course Prefix & Number	New Course?	Course Title	Credit Hours
Stat 1040 (QL)	N	Intro Statistics	3

General Education Courses (list specific courses if recommended for program; otherwise, list "any QL" of "any Humanities")

Course Prefix & Number	New Course?	Course Title	Credit Hours
CL Course	N	Communication Literacy Course	3
CL Course	N	Communication Literacy Course	3
Math 1050 (QL)	N	College Algebra	3
Any BCA course	N		3
Any BHU course	N		3
Biol 1620	N	Biology II	3
Chem 1220	N	Principles of Chemistry II	4
Psy 1010	N	General Psychology	3
Any BAI course	N		3

Program Required Courses (list "and/or" conditions and reflect such conditions in credit hours)

Course Prefix & Number	New Course?	Course Title	Credit Hours
Biol 1060	N	Prehealth Professions	1
Biol 1610	N	Biology I	3
Biol 1615	N	Biology I Lab	1
Biol 1620	N	Biology II	3
Biol 1625	N	Biology II Lab	1
Biol 2320	N	Human Anatomy	4
Biol 3065	N	Principles of Genetics Lab	2
Biol 3100	N	Bioethics	3
Biol 4600	N	Advanced Human Physiology	5
Biol 5210	N	Cell Biology	3
Biol 5460	Y	Neuropharmacology	3
Chem 1210	N	Principles of Chemistry I	4
Chem 1215	N	Principles of Chemistry I Lab	1
Chem 1220	N	Principles of Chemistry II	4
Chem 1225	N	Principles of Chemistry II Lab	1
Chem 2310	N	Organic Chemistry I	4
Chem 2315	N	Organic Chemistry I Lab	1
Chem 2320	N	Organic Chemistry II	4
Chem 2325	N	Organic Chemistry II Lab	1
Chem 3700	N	Intro Biochemistry	3
Chem 3710	N	Intro Biochemistry	1

Psy 1010	N	General Psychology	3
Psy 1400	N	Analysis of Behavior Basic	3
Psy 1410	N	Analysis of Behavior Basic Lab	1
Psy 2300	N	Psychological Disorders	3
Psy 3010	N	Psychological Statistics	3
Psy 3400	N	Advanced Analysis of Behavior	4
Psy 3450	N	Sensation and Perception	3
Psy 3500	N	Research Methods	3
Psy 4400	Y	Matlab for Neuroscience	4
Psy 4140	Y	Cognitive Neuroscience	4
Psy 5710	Y	Behavioral Neuroscience	3

Program Elective Courses (list "and/or" conditions and reflect such conditions in credit hours)

Course Prefix & Number	New Course?	Course Title	Credit Hours
Biol 4450 or Psy 3460	N	Neurobiology or Neuroscience	3
Biol 3060 or Biol 5390	N	Principles of Genetics or Genes and Behavior	3

Emphasis Courses (duplicate this table if there are multiple emphases)

Name of Emphasis

Course Prefix & Number	New Course?	Course Title	Credit Hours

Degree Map

Provide a program Degree Map, also referred to as a graduation plan (for undergraduate programs ONLY). This map provides a suggested semester-by-semester class schedule for a full-time student that includes prefix, number, title, and semester hours.

Enter the degree map in the table below. If a specific general education course is required, list course and include GE fulfilled. If the program does not require a specific general education, write "Any Fine Art" or "Any QL" and check GE fulfilled.

INSERT ROWS IN TABLE BELOW AS NEEDED

For General Education courses, use the following acronyms or leave blank if not GE:

C Written Communication / QL Quantitative Literacy / AI American Institutions /
FA Fine Art / H Humanities / LS Life Science / PS Physical Science / SS Social Science

First Year Fall			First Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
Psy 1010	3	SS	CL Course	3	CL1
Math 1050	3	QL	Biol 1060	1	
Chem 1210	4		Chem 1220	4	PS
Chem 1215	1		Chem 1225	1	
GE BCA	3	CA	Stat 1040	3	
			Psy 2300	3	
Second Year Fall			Second Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
Psy 1400	3		CL Course	3	CL2
Psy 1410	1		Psy 4400 (Matlab)	4	
Biol 1610	3		Biol 1620	3	LS
Biol 1615	1		Biol 1625	1	
Chem 2310	4		Chem 2320	4	
Chem 2315	1		Chem 2325	1	
GE BAI	3	AI			
Third Year Fall			Third Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
Biol 3060 or Biol 5390	3		Chem 3700	3	
Boil 3065	2		Chem 3710	1	
Psy 3010	3	QL	Elec 3xxx	3	
GE BHU	3		Biol 3100	3	
Psy 3400	4		Psy 3500	3	
			CCA 3330	2	DHA
Fourth Year Fall			Fourth Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
Psy 4140 Cognitive Neuroscience	4		Biol 4450 or Psy 3460	3	
Biol 5210	3		Biol 5460 Neuropharmacology	3	
Biol 2320	4		Psy 5710 Behavioral Neuroscience	3	
Psy 3450	3		Biol 4600	5	

Program Curriculum Narrative

Describe any variable credits as well as internships, clinicals, or other external learning experiences. Include additional curriculum information that differentiates this program's curriculum such as mandatory summer terms, accelerated schedule options or paths for part-time students.

N/A

Program Admission Requirements

List selective admission requirements specific to the proposed program. Describe cohort-driven admissions, if applicable.

Students meeting USU admission requirements may declare this major.

Program Graduation Standards and Number of Credits

Provide graduation standards. Include standards specific to the program that are beyond the institution's standard graduation requirements. Provide justification if number of credits exceeds credit limit for this program type described in R402-6 Table 1, which can be found at <https://ushe.edu> in the Board of Higher Education section under Policies.

120 total credits/ 40 UD credits for Bachelor's degree

SECTION V: INSTITUTION, FACULTY, AND STAFF SUPPORT

Institutional Readiness

How do existing administrative structures support the proposed program? Identify new organizational structures that may be needed to deliver the program. Will the proposed program impact the delivery of undergraduate and/or lower-division education? If yes, describe how?

The department of psychology at Utah State University (USU) has an established framework that could support the introduction of a behavioral neuroscience bachelor's degree. This includes experienced faculty, administrative support for curriculum development, and student services. USU's robust research environment and existing interdisciplinary collaborations also lend support to the proposed program.

To deliver the new program effectively, USU may need to identify a program director for behavioral neuroscience, who will oversee curriculum development and implementation. Additionally, forming an interdisciplinary committee with members from psychology, biology, and chemistry could help optimize cross-departmental collaborations.

Because a few courses will be re-purposed, the introduction of a behavioral neuroscience program will necessitate revisions to the psychology major, including the addition of lower-division classes to prepare students for the advanced curriculum adequately.

Student Advisement for this Program

Describe how prospective and current students in the proposed program will be advised. Does the sponsoring department have advisors or are students referred to campus advising? Are there advisements for part-time student participants?

Initially, students will be advised by the professional advising team (2.5 FTE) in the department of psychology. As the program grows, additional advising support will be necessary.

Professional Licensure

Will graduates of this program need to seek certification or licensure to be employed in the field? If no, type N/A. If yes, describe how the program meets the educational requirements of the license both in Utah and in other states. Reference specialty accreditation and compact or reciprocity agreements, if applicable.

N/A

Library and Information Resources

Describe library resources students will need to complete this program, if any. Describe the library resources the institution already possesses. Describe new library resources to be acquired. Identify additional costs to support library and information resources needs in the finance table.

The library resources are adequate to support the new degree program.

Facility (Space) / Material Needs

Describe special space or equipment needs for program, if any. Describe the space and technology needs the institution already possesses. Describe new space or technology to be acquired.

USU already houses facilities equipped with basic laboratory spaces and technology that may be adapted for neuroscience research and teaching, including psychology labs and computer facilities for data analysis.

To meet the specific needs of a behavioral neuroscience program, the institution may need to acquire specialized laboratory equipment, such as electrophysiology apparatus, imaging technology, or animal research facilities. Renovations or expansions might be necessary to accommodate these facilities within current infrastructure. Continued stakeholder engagement and planning with faculty and administration will determine precise space and tech requirements, potentially impacting the budget allocation and timeline for program roll-out.

Current and New Department Faculty / Staff Information

Identify current # of department faculty / staff (headcount) to be involved with the program and faculty / staff to be hired along with their qualifications and tenure status. Include additional cost for these faculty / staff members in budget narrative and table.

In the Expense Narrative field later in the proposal, please indicate when new faculty and staff hires will occur in year 1 or a subsequent year of the program.

Current Faculty/Staff					Faculty/Staff to be Hired				
<i>For faculty: academic or industry credential held:</i>	# Fulltime	# Parttime	# Tenure or Tenure-Track	# Non-Tenure Track	# Fulltime	# Parttime	Est. % of time committed to new program	# Tenure-Track	# Non-Tenure Track
Doctorate Degrees	33		29	4	3		100	3	
Masters Degrees		1							
Bachelor Degrees									
Associates Degrees									
Industry Credential									
Staff	5	1							
Teaching/Grad Assistants									
TOTAL	0	0			3	0			

Faculty

Describe faculty development activities that will support this program. Will existing faculty/instructors, including teaching/graduate assistants, be sufficient to instruct the program or will additional faculty be recruited? If needed, provide plans and resources to secure qualified faculty. The narrative should be consistent with the budget and faculty tables.

To effectively support the behavioral neuroscience program, three faculty members specializing in behavioral neuroscience will need to be recruited. The recruitment process will focus on attracting candidates with strong research backgrounds and a commitment to teaching excellence. Resources for recruitment will include a dedicated budget for advertising positions in relevant academic and professional outlets, as well as offering competitive salary and benefits packages to attract top talent. Additionally, graduate teaching assistants (TAs) will be used to support faculty in delivering course content, managing lab sessions, and facilitating student discussions. The budget and faculty tables will reflect these recruitment and development plans to ensure alignment with program goals and financial resources.

Staff

Describe the staff development activities that will support this program. Will existing staff such as administrative, secretarial/clerical, laboratory aides, advisors, be sufficient to support the program or will additional staff need to be hired? If needed, describe the circumstances such as growth in students in the program, that will signal the additional hires. Provide plans and resources to secure qualified staff, as needed.

Existing staff is sufficient to support this degree. However, demand and enrollments will be monitored and evaluated for staff needs, likely, a new advisor.

SECTION VI: PROGRAM EVALUATION

Program Assessment

Describe program academic and professional goals. Identify program performance goals. Describe the system of assessment to be used to evaluate program success in meeting performance goals.

Academic Goals:

1. **Interdisciplinary Knowledge:** Equip students with a comprehensive understanding of the principles of behavioral neuroscience, with integration from psychology, biology, and chemistry disciplines.
2. **Research Skills:** Develop proficient research skills, enabling students to design and conduct experiments, analyze data, and apply neuroscientific methods to solve complex behavioral problems.
3. **Critical Thinking:** Foster critical thinking and analytical skills, allowing students to assess and synthesize diverse scientific literature and apply theoretical models to practical scenarios.

Professional Goals:

1. **Career Readiness:** Prepare students for careers in academia, research, healthcare, or industry by equipping them with both theoretical knowledge and practical experience.
2. **Ethical Standards:** Instill strong ethical standards and practices in scientific research and professional conduct.
3. **Communication Skills:** Enhance students' ability to effectively communicate scientific findings to both scientific and non-scientific audiences.

Program Performance Goals

1. **Graduation Rates:** Achieve and maintain a high graduation rate within the standard time frame for the degree.
2. **Employment Rates:** Track and enhance the employment or further education placement rate of graduates within one year of program completion.
3. **Student Satisfaction:** Maintain a high level of student satisfaction through regular feedback via surveys and focus groups.

System of Assessment

- **Course Evaluations:** Use regular course evaluations to gather student feedback on course content, teaching quality, and overall satisfaction.
- **Alumni Surveys:** Conduct periodic alumni surveys to assess career progression, satisfaction with program preparation, and applicability of skills learned.
- **Program Reviews:** Implement comprehensive program reviews every five years, including external evaluator input, to assess curriculum relevance, teaching quality, and resource adequacy.
- **Learning Outcome Measurements:** Use assessments such as capstone projects, exams, and lab work evaluations to gauge achievement of learning outcomes.
- **Advisory Board Feedback:** Establish an advisory board with industry and academic leaders to provide ongoing feedback and ensure the program remains aligned with current industry and academic trends.

Student Standards of Performance

List the program learning outcomes including standards, competencies, and marketable skills students will have achieved at the time of graduation. How will student attainment of program learning outcomes be assessed/evaluated? How will student attainment of professional competencies be assessed/evaluated?

Program Learning Outcomes

1. Interdisciplinary Knowledge:

- Standards/Competencies: Demonstrate a thorough understanding of core concepts in neuroscience, psychology, biology, and chemistry.
- Marketable Skills: Ability to integrate knowledge across disciplines to solve complex behavioral problems.

2. Research Proficiency:

- Standards/Competencies: Ability to design, execute, and analyze scientific experiments using current neuroscientific methods.
- Marketable Skills: Proficiency in data analysis software, laboratory techniques, and scientific writing.

3. Critical Thinking and Problem Solving:

- Standards/Competencies: Develop hypotheses, design experiments, and critically evaluate scientific literature.
- Marketable Skills: Analytical skills applicable to various scientific and non-scientific settings.

4. Ethical and Professional Conduct:

- Standards/Competencies: Apply ethical guidelines in research and professional interactions.
- Marketable Skills: Strong ethical decision-making and integrity in professional practices.

5. Effective Communication:

- Standards/Competencies: Communicate complex scientific data and concepts clearly to diverse audiences.
- Marketable Skills: Oral and written communication skills, including grant writing and public speaking.

Assessment/Evaluation of Program Learning Outcomes

- Course-Based Assessments: Evaluate student progress through exams, lab reports, and presentations to measure their understanding and application of interdisciplinary knowledge.
- Capstone Project: Require students to complete a research project, which will be assessed for its methodological rigor, originality, and clarity of communication.
- Portfolio Review: Have students compile a portfolio of their academic work, including research papers and collaborative projects, to demonstrate skill acquisition and competencies.

Assessment/Evaluation of Professional Competencies

- Internship/Practicum Evaluations: Require students to complete an internship or practicum experience, where performance will be evaluated by both a site supervisor and faculty advisor.
- Alumni Tracking: Use follow-up surveys and interviews with graduates to assess the long-term impact of the program on their professional skills and careers.
- Professional Development Workshops: Offer workshops on topics like ethics, leadership, and career planning, with student participation and progress tracked to ensure skill development.

This structured approach ensures students acquire both the theoretical foundation and the practical skill set needed for success in the field of behavioral neuroscience, with continuous feedback mechanisms to enhance program quality.

SECTION VII: PROJECTED PROGRAM ENROLLMENTS & FINANCE

Three Year Projection Student Participation

Provide projected enrollment and information on related operating expenses and funding sources. Project the number of students who will be attracted to the proposed program as well as increased expenses, if any. Include new faculty and staff as described in the faculty section of this proposal. Project five years' enrollments and graduates. Note: If the proposed program is an expansion of an existing program, present several years enrollment trends by headcount and/or by student credit hours that justify expansion.

NOTE: Highlighting blue cells in the table below and pressing f9 on your keyboard will auto calculate the cell's value.

Three Year Projection: Program Participation and Department Budget						
	Year Preceding Implementation	New Program				
		Year 1	Year 2	Year 3	Year 4	Year 5
Student Data						
# Majors in Department	800	800	800	800	800	800
# Majors in Proposed Program		25	25	50	75	100
# Graduates from Department		200	200	200	200	225
# Graduates in New Program		0	0	0	0	25
Department Financial Data						
Project additional expenses associated with offering new program. Account for new hires as stated in "Current and New Department Faculty / Staff" table.	Department Budget					
	Year Preceding Implementation (base budget)	Year 1	Year 2	Year 3		
		Addition to base budget for new program(s)				
EXPENSES - nature of additional costs required for proposed program(s)						
List salary and benefits for additional faculty and staff each year the positions will be filled. Ex: if hiring faculty in year 2, include expense in years 2 and 3. List one-time operating expenses only in the one year.						
Personnel (1)		152,000				
Operating Expense (2)			200,000			
Space Needs and Utilization						
Other						
TOTAL Program Expenses		152,000	200,000			
TOTAL EXPENSES		152,000	200,000			
FUNDING - source of funding to cover additional costs generated by proposed program(s)						
Describe internal reallocation using "Existing Funding Source Narrative" following this table. Describe new sources of funding using "New Revenue Narrative" on the following page.						
Internal Reallocation						
Appropriation						
Special Legislative Appropriation						
Grants and Contracts						
Special Fees						
Tuition						
Differential Tuition (3)						
PROPOSED PROG FUNDING						
TOTAL DEPT FUNDING						
DIFFERENCE						
Funding - Expense						

(1) faculty and staff salary and benefits

(2) equipment, travel, resources

(3) requires UBHE approval

Expense Narrative

Describe expenses associated specifically with the proposed program. Please indicate in which year(s) new faculty and staff hires for the program will occur.

Funds reallocated under HB265 (\$352,000) will be required to implement the program. This proposal will be withdrawn if the funding is not allocated.

Existing Funding Sources Narrative

Describe what internal reallocations, if applicable, are available and any impact to existing programs or services.

N/A

New Revenue Narrative

Describe new funding sources and plans to acquire the funds. Does the institution anticipate assessing students course-fees or program-based fees?

N/A

SECTION VIII: ADDITIONAL DOCUMENTATION

Feedback and discussion

Add a comment in the discussion of this proposal:

N/A

Provide draft articulation agreement for transfer associate degrees and/or additional documentation such as letters of support from advisory groups, employers, or published studies as separate documents. Please include institution acronym and name of proposed program in the title of the document.



*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Paul Barr, Executive Vice Provost
DATE: August 7, 2026
RE: Full Program: Construction Associate of Science
School of Professional & Technical Education
S.J. & Jessie E. Quinney College of Agriculture & Natural Resources

In accordance with [Utah Board of Higher Education Policy R401](#), the School of Professional & Technical Education, in the S.J. & Jessie E. Quinney College of Agriculture & Natural Resources, proposes offering a Construction Associate of Science.

This degree is designed to provide students with advanced knowledge of construction methods, building systems, safety practices, and jobsite operations while preparing them for employment in the construction industry.

On July 22, 2026, the Board of Trustees Research and Academic Approval Committee reviewed the proposal and recommended it for full board approval.

The President and Provost endorse the proposal and respectfully request approval from the full Board.

Attachments:

QANR-SPTE-Construction-AS





MEMORANDUM

March 25, 2026

Tessa White
Board of Trustees Chair
Utah State University
1400 Old Main Hill
Logan, UT 84322

Dear Chair White,

Peer Review Report and Commissioner's Office Assessment

Pursuant to Utah Code 53H-3-603(5)(b)(ii), below is the Commissioner's Office assessment and peer review report for the proposed Associate of Science (AS) in Construction to be considered by the Utah State University Board of Trustees at an upcoming meeting.

Associate of Science in Construction

The Department of Technology, Design, and Technical Education proposes a 60-credit AS in Construction degree. The program is designed to provide a seamless transfer pathway for students completing HVAC, plumbing, and electrical technology programs at the technical colleges into an associate-level degree.

The proposers identify associate-level programs at Salt Lake Community College and Utah Valley University as potential transfer pathways into the proposed program. They also note that Snow College offers well-established AS and AAS programs in construction management, and that Southern Utah University currently has an AAS program in cost estimation.

CIP Code Classification

The CIP code selected for this program is 46.0412, which aligns with Board Policy R402 and authorizes Utah State University to offer academic programs with this classification. We note that the selected CIP code emphasizes construction management supervision and site inspection. If these areas reflect the primary focus of the proposed program, the proposers should clearly articulate this alignment within the proposal narrative.

Peer Review

In accordance with Utah Board of Higher Education (UBHE) policy, the proposal underwent peer review by members of the academic community within the Utah System of Higher Education (USHE).

Written comments were received from staff in the Commissioner's Office, and support for the proposed program was expressed by faculty colleagues at Southern Utah University and Weber State University. While faculty reviewers were generally supportive, staff in the Commissioner's Office noted difficulty discerning the specific focus of the proposed degree. Although the intent of the program may be clear to the proposing faculty, the proposal does not clearly define the area(s) of construction for which students are being prepared. It is unclear whether the program is intended to allow students to continue study in the same disciplines completed at the technical colleges, function as a general construction management program, or serve as a more specialized program similar to Southern Utah University's AAS in cost estimation. The proposal would benefit from additional detail describing the program's area of emphasis and the types of occupations graduates are expected to pursue. It would also be helpful for the USU Board of Trustees if the proposers could more clearly define the focus, purpose, and distinct role of the proposed degree within the broader statewide context.

Staff reviewers also noted several technical concerns, including missing credit designations for multiple courses and an incomplete course table. In addition, the proposal does not include projected enrollment or growth estimates. Staff recommend that a more complete and finalized proposal be prepared for consideration by the Utah State University Board of Trustees. While it appears the proposers have an appropriate program concept in mind, the current submission reads as a draft rather than a finished proposal.

Faculty colleagues at Southern Utah University suggested that the proposers consider aligning the technical core of the program with standards established by the American Council for Construction Education. They also noted that the proposed budget does not account for increases in technology-related costs over time and recommended the development of a clear pathway for students who may wish to transfer from the associate degree into bachelor's degree programs.

Faculty reviewers at Weber State University similarly noted challenges in understanding how the proposed courses—particularly TECO courses—are offered within Utah State University. They reported difficulty locating these courses in the catalog, which limited their ability to fully evaluate the program structure. In addition, they encouraged the proposers to consider a program name change, such as an Associate of Science in Construction Technology, to better reflect the program's multiple options within construction technology.

Commissioner's Office Recommendation

The Commissioner's Office has determined this proposal is ready for consideration by the Utah State University Board of Trustees and strongly encourages Trustees request the proposal be revised based on feedback received and resubmitted for approval at a later date. If the trustees approve this program, the Chief Academic Officer will notify our office of your actions, and a notification will be sent to the Utah Board of Higher Education.

Sincerely,

A handwritten signature in black ink, appearing to read 'G. Landward', with a stylized, cursive script.

Geoffrey Landward
Commissioner of Higher Education

CC: Brad Mortensen, President
Larry Smith, Provost and Chief Economic Officer
Harrison Kleiner, Associate Vice Provost for General Education
Janalyn Brown, Board Secretary

Attachment: Peer Review Report

Utah State University | Associate of Science in Construction
Peer Review Council Written Comments
March 2026

Steve Hood, Commissioner's Office

The Department of Technology, Design, and Technical Education propose a 60-credit Associate of Science in Construction degree. The program has been designed to allow students who study HVAC, plumbing, and electrical technology at the tech colleges to be able to transfer seamlessly into the associate degree program.

In reviewing this proposal, staff in the Commissioner's Office are struggling to understand what the focus of this degree is. We are sure it is very clear to the faculty who are proposing the program, but we cannot tell what area of construction it is preparing students for. Is this a program that allows students to continue study in the same areas they studied in the tech colleges, or is it a general construction management program? It could also be a specialized degree program, such as the AAS at Southern Utah University that emphasizes cost estimations. We are not sure--the description of the program does not include details as to the area of emphasis and the types of jobs that will be filled by graduates of this degree.

The proposers identify the AS programs at SLCC and UVU. We also note that Snow College has strong AS and AAS programs in construction management and as mentioned above, SUU has an AAS program in cost estimation. It will be helpful for the USU Board of Trustees if the proposers can provide more information on the focus and purpose of this proposed program.

CIP Code 46.0412 has been selected to classify this program. Under Board Policy R402, Utah State University is authorized to offer programs in this academic area. We note that this CIP Code focuses on construction management supervision and site inspection. If that is the focus of this program, then proposers should note this in the proposal narrative.

There is one new course listed for this academic program. We note that it and a number of other courses are missing credit designations in the columns. The course table is not complete. In addition, there are no estimates on projected program growth.

Please prepare a more complete proposal for the Utah State University Board of Trustees. We believe the proposers have an appropriate degree program in mind, but the proposal almost seems to be in draft form.

Camille Thomas | Southern Utah University

Colleagues,

I shared the proposal for the Associate of Science in Construction with my colleagues here at SUU. The following feedback was provided.

Curriculum Standards and Faculty Assessment

The 60-credit curriculum is designed to meet the dual needs of immediate workforce entry and academic progression. To ensure national competitiveness, our faculty suggest that the program consider aligning its technical core with the Associate-level standards of the American Council for Construction Education (ACCE). Specifically, ensuring that the curriculum explicitly addresses construction safety (OSHA 10/30) and basic construction document reading within the core requirements would better align the degree with industry-standard benchmarks for entry-level supervisors.

Resource Adequacy and Future Needs

The proposal indicates that the degree will be delivered using existing institutional resources and facilities without requiring new revenue streams. While this utilizes capacity efficiently, a common challenge in technical construction programs is the high cost of maintaining specialized software and equipment. The proposal lacks a specific narrative regarding the refresh cycles for construction-related technology, such as Building Information Modeling (BIM) software or surveying equipment. Providing context on how these "hidden" instructional costs will be absorbed as enrollment grows—beyond general fee structures—would provide greater assurance regarding the program's long-term quality.

Structural and Programmatic Concerns

A significant strength of this proposal is its "stackable" design, which allows students to seamlessly transition into a bachelor's degree. However, from a system-wide perspective, the "Transfer Check" table is currently blank. How would this program articulate to other USHE institutions with construction programs, such as Weber State University, Salt Lake Community College, or Southern Utah University.

Other Considerations

The market justification is strong, citing the robust growth of the construction industry in Utah and the high demand for skilled technicians and managers. To further strengthen the proposal, we recommend including specific letters of support from regional construction firms or trade associations. These letters should ideally confirm that the "Associate of Science" (AS) pathway provides the necessary theoretical and technical balance for their hiring needs, particularly for roles that lead into project management or site supervision.

In summary, we appreciate Utah State University's commitment to expanding access to technical education through its statewide campus system. The proposal should address four key areas:

- aligning core technical requirements with ACCE standards to ensure national program rigor and student competitiveness;
- developing a sustainability plan for specialized software and equipment to ensure students are trained on current industry technology;
- populating the transfer equivalency table to demonstrate how the degree supports student mobility across the USHE system; and

- securing formal letters of support from regional industry partners to validate the curriculum and the professional value of the AS credential.

Overall, SUU supports the proposal and we wish you the very best as you seek final approval for this new associate degree program.

Camille Thomas
Assistant Provost
Southern Utah University

Gail Niklason | Weber State University

This proposal was shared with the chair of Weber's Construction and Building Sciences department:

1. Curriculum Standards and Faculty Assessment

The new program curriculum uses TECO prefix classes which was hard to find in any current degrees/certificates offered at USU, so it was hard to determine how it would overlap or tie into existing USU offered programs. I could find where TECO classes are listed in the list of course offerings at USU but not listed in any degrees/certificates? Maybe they are co-listed with another prefix (BCCM)?

In general, the proposed AS degree appears to have a solid, diversified curriculum for general hands-on learning of various construction trades.

2. Resource Adequacy and Future Needs

It seems like faculty resources should be fine if these classes are already being taught for other technical certificates or certificates of proficiencies.

3. Structural and Programmatic Concerns

It seems like a title of "Associate of Science in Construction Technology" might be more fitting because it appears to be a compilation of the technical construction classes of several construction disciplines. This would help better distinguish it from the commonly used title of Construction Management which is used in most educational institutions for programs dealing with the "management" side of construction as opposed to the "technical" / "applied skills" side of construction.

Also, it seems to be inferred that this could be considered a degree that would be stackable into a Construction Management BS degree, but due to the technical / applied skills nature of it, there are very few classes that would articulate into an actual Construction Management degree.

4. Other Considerations

It is mentioned that this program would serve working professionals which often requires the offering of classes in the evening to help accommodate student working schedules. This would likely be an important consideration if it isn't already.

Thank you for the opportunity to provide feedback.

END OF COMMENTS

**Utah System of Higher Education
R401 Program Proposal
New Full Program (AAS or higher)**

SECTION 1: PROGRAM INFORMATION

Institution Utah State University
Department Technology, Design, and Technical Education
Proposed Award Name Construction

Award Type - Please select only one

- ☒ Associate's Degree (including AAS degrees)
☐ Bachelor's Degree
☐ Master's Degree
☐ Doctor Degree

Will this proposal include emphases? (If no, leave unchecked and move to next item.)

- ☐ Yes, this proposal has emphases
☐ An emphasis is required to complete this program

----- For proposals with emphases, please note if any of the following attributes are different for a particular emphasis -----

Additional Departments

CIP Code (Provide a 6-digit CIP Code. Omit the period.): 460412

Award Acronym (ex. AAS, AA, BS, BA/BS, etc. Acronym field allows for 2 to 6 characters. Omit periods.) AS

Quantitative Literacy Course recommended for this program (for undergraduate programs only. Select one option.)

- ☐ MATH 1030 Quantitative Reasoning
☐ MATH/STAT 1040 Intro to Statistics
☐ MATH 1050 College Algebra
☒ Any QL course is acceptable
☐ Other (please list in Curriculum table)

Program Delivery Method(s)

How will students complete this program? Indicate all program delivery methods considered for this program:

- ☐ Entire program can be completed in person
☐ Entire program can be completed via Interactive Videoconferencing (EDNET)
☐ Entire program can be completed Online
☒ Students can take different courses through a variety of delivery methods

Minimum Credit Hours to Complete Program (including emphasis if applicable; use whole numbers) 60

Maximum Credit Hours to Complete Program (including emphasis if applicable; use whole numbers) 60

Expected First Semester Students May Enroll in Program Fall

Expected First Year Students May Enroll in Program 2026

SECTION II: INSTITUTIONAL ROLES & MISSION

Program Description

Present a brief program description. (1-2 paragraphs.)

The Department of Technology, Design, and Technical Education (TDTE) at Utah State University has received strong interest from industry partners and prospective students seeking advanced training in construction and the skilled trades. The proposed Associate of Science in Construction builds on existing technical certificates and training in plumbing, Heating, Ventilation, Air Conditioning and Refrigeration Technician, , construction, and electrical systems, preparing students for expanded responsibilities and increased career opportunities within the construction industry.

This program combines hands-on instruction with applied coursework to strengthen students' knowledge of construction methods, building systems, safety practices, and jobsite operations. Through labs and interdisciplinary learning, students gain practical experience working with residential and commercial systems while developing communication, critical thinking, and problem-solving skills. Graduates are prepared for employment with construction firms, contractors, and facilities operations, and are well positioned to pursue advanced certifications or further education in construction management or related bachelor's degree programs.

Consistency with Institutional Mission

Explain how the program is consistent with the institution's Board approved mission, roles, and goals (see Board policy R312 found at <https://ushe.edu> in the Board of Higher Education section under Policies) or, for "out of mission" program requests, the rationale for the request.

Utah State University, as both a land-grant institution and the region's community and technical college, is committed to expanding educational access and preparing students for Utah's growing construction and skilled trades workforce. Due to a rapidly rising population in Utah, there is a demand for qualified professionals in plumbing, Heating, Ventilation, Air Conditioning and Refrigeration Technician, electrical, and related construction fields, the Technology, Design, and Technical Education (TDTE) Department proposes an Associate of Science in Construction. This program delivers career-focused training that builds on students' prior technical education while providing a clear pathway into high-demand roles within residential, commercial, and industrial construction.

Through hands-on labs, applied coursework, and instruction from experienced industry professionals, students develop the technical competencies and workplace skills essential for success in the construction trades. The program emphasizes building systems, safety standards, code compliance, and professional communication, along with problem-solving and critical-thinking skills needed on modern job sites. Aligned with USU's mission of innovation, community engagement, and accessible education, the Construction Associate degree connects students with local and statewide industry partners for meaningful real-world experience. This approach supports student success,

SECTION III: NEEDS ASSESSMENT

Market Demand

Provide local, state, and/or national labor market data that speak to the need for this program. What business and industry sectors seek the knowledge base and skills graduates will offer? Are there known Utah employers? How many annual job openings are available? What wage will

graduates earn? How strong is the employment sector for graduates of the program? Are numbers of job openings increasing? How does the median wage for these jobs compare to statewide median wage for all workers and/or for workers with the same education level?

NOTE: Occupational demand, wage, and number of annual openings information may be found at sources such as Utah DWS Occupation Information Data Viewer (jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do) and the Occupation Outlook Handbook (www.bls.gov/oco). Utah DWS Firm Find also provides Utah employer data (<https://jobs.utah.gov/jsp/firmfind/#/>).

Local/Regional Market Demand (include a short description to clarify the geographic parameters for this data)

According to the Bureau of Labor Statistics (BLS), Southeast Utah, including Carbon, Emery, Grand, and San Juan counties, is a hotspot for trained workers in plumbing, Heating, Ventilation, Air Conditioning and Refrigeration Technician, and electrical trades with 970 jobs in 2025 alone. This is driven by residential and commercial construction activity, infrastructure maintenance, and the need to replace an aging workforce. These occupations consistently report wages at or above the regional median with earnings at \$49,362, highlighting the economic stability and long-term value of careers in the construction trades.

BLS data indicates that employment in construction-related occupations is expected to grow by 20.1% from 2025 to 2035, with particularly strong opportunities for individuals who possess formal technical training combined with postsecondary education. Graduates of the Construction Associate of Science degree gain added value through broader technical knowledge and problem-solving skills that enhance employability and earning potential. As demand for skilled construction professionals continues to rise across Southeast Utah, this program positions graduates to take advantage of expanding job opportunities, career advancement pathways, and further education in construction management or related fields.

State Market Demand

Utah's rapidly growing population is driving increased demand for skilled construction professionals across residential, commercial, and industrial sectors. As housing developments, infrastructure projects, and facility expansions continue statewide, opportunities are strengthening for workers trained in essential trades such as plumbing, Heating, Ventilation, Air Conditioning and Refrigeration Technician, and electrical systems. According to Bureau of Labor Statistics (BLS) data, employment in these construction-related occupations is projected to grow steadily through 2035 by 21.5%. This rising growth reflects a crucial need of workforce replacement with nearly 29.3% approaching retirement age.

Many construction trade occupations offer wages at or above Utah's median income, with a median salary of \$52,086, making them stable and economically rewarding career pathways. BLS data shows 77,903 jobs openings just from the year 2025. Employers are seeking construction and specialty trade roles, with consistent hiring by contractors, facilities operators, and service companies throughout the state. This sustained demand highlights a robust labor market and a long-term need for workers prepared with the applied skills and technical knowledge developed through a Construction Associate of Science degree. Graduates are well positioned for immediate employment, advancement within the trades, or continued education in construction management or related fields.

National Market Demand

National workforce data demonstrate sustained and growing demand for the skills developed through an Associate of Science in Construction. According to the U.S. Bureau of Labor Statistics (BLS), employment across key construction and specialty trade occupations, including plumbers, Heating, Ventilation, Air Conditioning and Refrigeration Technician technicians, and electricians is projected to grow by 7.3% from 2025 to 2035. This growth is driven by new residential and commercial construction, infrastructure investment, system modernization, and the replacement of retiring skilled workers. These occupations offer competitive a median salary of \$55,891, relative to the national median.

The United States had nearly five million jobs in the year 2025. These jobs spanned a wide range of employment settings, including residential and commercial construction firms, specialty trade contractors, facilities maintenance operations, and public infrastructure projects. Employers consistently seek candidates with hands-on technical training, demonstrated competency in building systems, knowledge of safety codes and regulatory standards, and strong problem-solving and communication skills. The Construction Associate of Science degree provides a structured pathway for developing these competencies, preparing graduates for immediate workforce entry and helping

Student Demand

Provide evidence of student interest and demand that supports potential program enrollment and your plan for attracting under-represented student groups. NOTE: Student enrollment projections will be called for in the finance section of this proposal.

This program is designed to meet increasing demand from technical college graduates and working trades professionals seeking to continue their education or advance within the construction industry. Students who have completed certificates or apprenticeships in plumbing, Heating, Ventilation, Air Conditioning and Refrigeration Technician, electrical, or related construction trades benefit from a clear and efficient pathway to degree completion without unnecessary duplication of coursework. The Construction Associate of Science builds on existing technical training while responding to BLS-reported growth and replacement demand across construction and specialty trade occupations nationwide.

The program supports students seeking to strengthen technical competencies, expand career opportunities, and gain applied experience in real-world construction environments. Its industry-aligned curriculum ensures graduates develop current, in-demand skills valued by employers, including building systems installation and maintenance, safety and code compliance, and problem-solving on the job site. The degree also serves working professionals returning to education to formalize their experience, pursue supervisory or advanced roles, or improve long-term earning potential. By aligning stackable educational pathways with documented workforce needs, the program promotes career mobility, strengthens the construction workforce, and supports regional economic development.

The Construction Associate of Science degree is intentionally designed to support access and participation among underrepresented student populations in the skilled trades, including women, first-generation college students, rural learners, and individuals from diverse backgrounds. Through stackable credentials, flexible scheduling, and clear pathways from technical certificates and apprenticeships to degree completion, the program reduces traditional barriers to entry and persistence. Partnerships with technical colleges, industry employers, and community organizations further support outreach, mentoring, and paid work-based learning opportunities, helping students

Similar Programs

List similar programs offered elsewhere in the USHE, the state, or Intermountain Region. In comments field, describe unique characteristics of proposed program to similar program(s), if any.

Institution	Award Type	Program Award Name	Link to Program	Comments
SLCC	Associate of Science	Construction Management: AS	https://www.slcc.edu/satts/programs/construction-management.aspx	USU's proposed program involves all construction aspects, including plumbing, HVACR, electrical, and construction.

Transfer Check

For transfer associate degrees, provide information on bachelor degrees that graduates can transfer into; at end of proposal form, attach at

least one draft articulation agreements with a 4-year program. For 4-year degrees, list 2-year degrees that may transfer into the degree, if any. Use comments field to unique transfer requirements such as minimum GPA, if any.

Institution	Award Type	Program Award Name	Link to Program	Comments

Collaboration with and Impact on Other Degree-granting or Technical College USHE Institutions

Assess the impact the new program will have on other USHE institutions. Describe any discussions with other institutions pertaining to this program. Include any collaborative efforts that have taken place. Indicate if the program will be delivered outside of designated service area; provide justification. Service areas are defined in Board policy R315 found at <https://ushe.edu> in the Board of Higher Education section under Policies.

Statewide alignment efforts have been established to support student mobility across Utah's technical colleges. These agreements enable students from other USHE institutions to transfer technical coursework seamlessly into this program, ensuring continuity in education and clear pathways for degree completion.

Accreditation

If the program will seek special professional program-level accreditation, identify the accrediting body, and project timeline and anticipated costs for initial approval, and a date for accreditation review cycle.

N/A

External Review

Describe how external consultants, program advisory committee members, industry experts, or other non-institutional stakeholders were involved in the development of the proposed program. For programs that address specific industry or occupational needs, indicate the extent to which the applicable industry representatives have provided input.

Development of the Associate of Science in Construction involved meaningful input from external stakeholders to ensure the program aligns with current industry and workforce needs. Industry professionals representing construction, electrical, plumbing, and Heating, Ventilation, Air Conditioning and Refrigeration Technician sectors provided guidance on essential skills, workforce expectations, and emerging trends. Their feedback helped shape program learning outcomes, technical emphasis areas, and the balance between academic foundations and hands-on training.

SECTION IV: PROGRAM DETAILS

Program Curriculum

Provide a list of courses required to complete the program. List all courses, including college-level prerequisites (and pre-major placements or condition) and new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). Indicate new courses with an X in the appropriate columns. The total number of credit hours should reflect the number of credits required to be

awarded for the degree. For variable credits, please enter the minimum value in the table for credit hours. To explain variable credit in detail as well as any additional information, use the Program Curriculum Narrative text field.

INSERT ROWS IN TABLE BELOW AS NEEDED

College Level Prerequisite Courses (list courses students commonly must take to be able to enroll in the program's courses listed below)

Course Prefix & Number	New Course?	Course Title	Credit Hours

General Education Courses (list specific courses if recommended for program; otherwise, list "any QL" of "any Humanities")

Course Prefix & Number	New Course?	Course Title	Credit Hours
Any CL1	N		3
Any CL2	N		3
Any QL	N		3-5
Any American Institutions	N		3
Any Life Science	N		3
Any Social Science	N		3
Any Humanities	N		3
Any Creative Arts	N		3
Any Physical Science	N		3

Program Required Courses (list "and/or" conditions and reflect such conditions in credit hours)

Course Prefix & Number	New Course?	Course Title	Credit Hours

Program Elective Courses (list "and/or" conditions and reflect such conditions in credit hours)

Course Prefix & Number	New Course?	Course Title	Credit Hours
Any TEPL Course	N		
Any TEEL Course	N		
Any TEAC Course	N		
Any TECO Course	Y		

Emphasis Courses (duplicate this table if there are multiple emphases)

Name of Emphasis

Course Prefix & Number	New Course?	Course Title	Credit Hours

Degree Map

Provide a program Degree Map, also referred to as a graduation plan (for undergraduate programs ONLY). This map provides a suggested semester-by-semester class schedule for a full-time student that includes prefix, number, title, and semester hours.

Enter the degree map in the table below. If a specific general education course is required, list course and include GE fulfilled. If the program does not require a specific general education, write "Any Fine Art" or "Any QL" and check GE fulfilled.

INSERT ROWS IN TABLE BELOW AS NEEDED

For General Education courses, use the following acronyms or leave blank if not GE:

C Written Communication / QL Quantitative Literacy / AI American Institutions /
FA Fine Art / H Humanities / LS Life Science / PS Physical Science / SS Social Science

First Year Fall			First Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
Any CL1	3	C	Any CL2	3	C
Any QL	3	QL	Any Breadth Creative Arts	3	FA
Any Breadth American Institutions	3	AI	Any Breadth Humanities	3	H
TECO 1010	2		TECO 1030	3	
TECO 1020	4		TECO 1040	4	
Second Year Fall			Second Year Spring		
Course	Cr Hr	GE	Course	Cr Hr	GE
Any Breadth Life Sciences	3	LS	TECO 1100	3	
Any Breadth Physical Sciences	3	PS	TECO 1600	2	
Any Breadth Social Science	3	SS	TECO 1610	2	
TECO 1050	4		TECO 1700	2	
TECO 1060	4		TECO 1710	2	
			TECO 1720	2	

Program Curriculum Narrative

Describe any variable credits as well as internships, clinicals, or other external learning experiences. Include additional curriculum information that differentiates this program's curriculum such as mandatory summer terms, accelerated schedule options or paths for part-time students.

Students can take any QL math, making it a variable credit of 3-5 depending on which math course they take. Students may also take an internship course as an elective, which is a variable of 1-3 depending on how many hours they wish to intern. Depending on which variation of technical courses students take, their construction electives could vary, but will be a minimum of 33.

Program Admission Requirements

List selective admission requirements specific to the proposed program. Describe cohort-driven admissions, if applicable.

No admission requirements.

Program Graduation Standards and Number of Credits

Provide graduation standards. Include standards specific to the program that are beyond the institution's standard graduation requirements. Provide justification if number of credits exceeds credit limit for this program type described in R402-6 Table 1, which can be found at <https://ushe.edu> in the Board of Higher Education section under Policies.

Students will need to stick the Utah State University's graduation standards of a 2.0 GPA and a minimum of 60 credit hours.

SECTION V: INSTITUTION, FACULTY, AND STAFF SUPPORT

Institutional Readiness

How do existing administrative structures support the proposed program? Identify new organizational structures that may be needed to deliver the program. Will the proposed program impact the delivery of undergraduate and/or lower-division education? If yes, describe how?

The Associate of Science in Construction is designed to align closely with existing technical college and apprenticeship curricula by incorporating shared foundational and technical coursework in plumbing, Heating, Ventilation, Air Conditioning and Refrigeration Technician, and electrical systems. This alignment allows students to complete the degree efficiently while building on industry-recognized certificates and prior technical training. All required general education and elective courses are currently offered within the university, ensuring students develop well-rounded skills in communication, problem-solving, and applied mathematics while strengthening the technical competencies identified by the Bureau of Labor Statistics (BLS) as essential for construction and specialty trade occupations.

Some challenges may arise related to faculty workload, adjunct availability, or instructional coordination for courses shared with certificate programs. However, the Construction AS is intentionally structured as a streamlined and flexible pathway that maximizes existing instructional resources, minimizes duplication of coursework, and supports timely degree completion. By leveraging current facilities, faculty expertise, and industry-aligned curricula, the program effectively responds to documented BLS demand for skilled construction professionals while supporting student success and regional workforce needs.

Student Advisement for this Program

Describe how prospective and current students in the proposed program will be advised. Does the sponsoring department have advisors or are students referred to campus advising? Are there advisements for part-time student participants?

The Department of Technology, Design, and Technical Education (TDTE) has designated advisors throughout the regional campus system and within the S.J. & Jessie E. Quinney College of Agriculture & Natural Resources. The advisors for this program will be the same individuals who advise students in their plumbing, Heating, Ventilation, Air Conditioning and Refrigeration Technician, electrical apprentice, and construction certificate programs.

Professional Licensure

Will graduates of this program need to seek certification or licensure to be employed in the field? If no, type N/A. If yes, describe how the program meets the educational requirements of the license both in Utah and in other states. Reference specialty accreditation and compact or reciprocity agreements, if applicable.

Students may be eligible for licensing in plumbing, electrical apprentice, OSHA 10 and OSHA 30. If students complete for the full coursework for their desired focus area, they will have met all the requirements to be licensed in these disciplines.

Library and Information Resources

Describe library resources students will need to complete this program, if any. Describe the library resources the institution already possesses. Describe new library resources to be acquired. Identify additional costs to support library and information resources needs in the finance table.

No additional library resources will be needed to support this program. Key journals and readings are already available through USU's library system to support the Construction AS degree.

Facility (Space) / Material Needs

Describe special space or equipment needs for program, if any. Describe the space and technology needs the institution already possesses. Describe new space or technology to be acquired.

No special space or equipment will be needed for the Construction associate degree. All needed coursework, labs, and materials are already on hand and functioning from the current programs.

Current and New Department Faculty / Staff Information

Identify current # of department faculty / staff (headcount) to be involved with the program and faculty / staff to be hired along with their qualifications and tenure status. Include additional cost for these faculty / staff members in budget narrative and table.

In the Expense Narrative field later in the proposal, please indicate when new faculty and staff hires will occur in year 1 or a subsequent year of the program.

Current Faculty/Staff					Faculty/Staff to be Hired				
For faculty: academic or industry credential held:	# Fulltime	# Parttime	# Tenure or Tenure-Track	# Non-Tenure Track	# Fulltime	# Parttime	Est. % of time committed to new program	# Tenure-Track	# Non-Tenure Track
Doctorate Degrees									
Masters Degrees									
Bachelor Degrees									
Associates Degrees									
Industry Credential	5								
Staff									
Teaching/Grad Assistants									
TOTAL	5	0			0	0			

Faculty

Describe faculty development activities that will support this program. Will existing faculty/instructors, including teaching/graduate assistants, be sufficient to instruct the program or will additional faculty be recruited? If needed, provide plans and resources to secure qualified faculty. The narrative should be consistent with the budget and faculty tables.

For the elective courses, they will come from the Department of Technology, Design, and Technical Education faculty. Additional courses offered in programs outside the department (e.g., the Schools of Math, English, Science) will be applied to this degree with minimal student impact. By restructuring and reallocating teaching assignments, the faculty can accommodate the student demand of the proposed program. Additional faculty will be considered as the enrollment in the program grows or industry partners sponsor such additions.

Staff

Describe the staff development activities that will support this program. Will existing staff such as administrative, secretarial/clerical, laboratory aides, advisors, be sufficient to support the program or will additional staff need to be hired? If needed, describe the circumstances such as growth in students in the program, that will signal the additional hires. Provide plans and resources to secure qualified staff, as needed.

Current staff and resources are sufficient for the needs of this new program. As the program grows or industry partners sponsor such additions, additional staff will be considered.

SECTION VI: PROGRAM EVALUATION

Program Assessment

Describe program academic and professional goals. Identify program performance goals. Describe the system of assessment to be used to evaluate program success in meeting performance goals.

The academic and professional goals of the program focus on delivering industry-aligned education that prepares students for immediate employment while supporting continued academic advancement. Curriculum will be regularly informed and updated through collaboration with industry experts to ensure alignment with current workforce needs, technologies, and practices. The program emphasizes practical, transferable skills that support strong completion and job placement outcomes, while also reducing redundancy for students who pursue additional certificates or degrees, resulting in measurable time and cost savings in future study.

Program performance will be evaluated through student completion rates, industry placement percentages, and documented efficiencies in academic progression. A comprehensive assessment system will incorporate industry advisory input, course-level and performance-based evaluations, and feedback from graduates and employers. This data will be reviewed regularly to guide continuous improvement, ensuring the program remains responsive to industry expectations and maintains strong academic and workforce outcomes.

Student Standards of Performance

List the program learning outcomes including standards, competencies, and marketable skills students will have achieved at the time of graduation. How will student attainment of program learning outcomes be assessed/evaluated? How will student attainment of professional competencies be assessed/evaluated?

Graduates of the Associate Degree in Construction will demonstrate achievement of industry-recognized standards, technical competencies, and marketable skills required for employment and advancement in the construction industry. Program learning outcomes include the ability to interpret a multitude of skills in their focus area of construction, electrical, plumbing, or Heating, Ventilation, Air Conditioning and Refrigeration Technician systems, and comply with applicable building codes, safety regulations, and quality standards. Students will also develop essential professional skills such as problem solving, teamwork, communication, time management, and jobsite professionalism. To graduate, students must maintain an overall performance level equal to or greater than 75% across all required coursework and competency-based evaluations.

Student attainment of program learning outcomes will be assessed through written exams, hands-on laboratory and shop assessments, project-based assignments, and cumulative evaluations aligned with construction industry standards. Professional competencies will be evaluated using performance rubrics informed by industry expectations, instructor observation, and applied assessments that simulate real-world jobsite conditions. When applicable, employer or work-based learning feedback will also be used to assess workforce readiness. Assessment data will be reviewed regularly to ensure students meet or exceed the 75% performance requirement and to support continuous program improvement and alignment with construction workforce needs.

SECTION VII: PROJECTED PROGRAM ENROLLMENTS & FINANCE

Three Year Projection Student Participation

Provide projected enrollment and information on related operating expenses and funding sources. Project the number of students who will be attracted to the proposed program as well as increased expenses, if any. Include new faculty and staff as described in the faculty section of this proposal. Project five years' enrollments and graduates. Note: If the proposed program is an expansion of an existing program, present several years enrollment trends by headcount and/or by student credit hours that justify expansion.

NOTE: Highlighting blue cells in the table below and pressing f9 on your keyboard will auto calculate the cell's value.

Three Year Projection: Program Participation and Department Budget						
	Year Preceding Implementation	New Program				
		Year 1	Year 2	Year 3	Year 4	Year 5
Student Data						
# Majors in Department	58	65				
# Majors in Proposed Program		4				
# Graduates from Department	366	400				
# Graduates in New Program		5				
Department Financial Data						
Project additional expenses associated with offering new program. Account for new hires as stated in "Current and New Department Faculty / Staff" table.	Department Budget					
	Year Preceding Implementation (base budget)	Year 1	Year 2	Year 3		
		Addition to base budget for new program(s)				
EXPENSES - nature of additional costs required for proposed program(s)						
List salary and benefits for additional faculty and staff each year the positions will be filled. Ex: if hiring faculty in year 2, include expense in years 2 and 3. List one-time operating expenses only in the one year.						
Personnel (1)	\$417,722.24	\$417,722.24				
Operating Expense (2)	\$70,000	\$70,000				

Space Needs and Utilization				
Other				
TOTAL Program Expenses		\$ 70,000.00	\$ 0.00	\$ 0.00
TOTAL EXPENSES	\$494,722.24	\$494,722.24	\$ 0.00	\$ 0.00
FUNDING - source of funding to cover additional costs generated by proposed program(s)				
<i>Describe internal reallocation using "Existing Funding Source Narrative" following this table. Describe new sources of funding using "New Revenue Narrative" on the following page.</i>				
Internal Reallocation				
Appropriation				
Special Legislative Appropriation				
Grants and Contracts				
Special Fees				
Tuition	\$13,015.73			
Differential Tuition (3)				
PROPOSED PROG FUNDING		\$ 0.00	\$ 0.00	\$ 0.00
TOTAL DEPT FUNDING	\$13,015.73	\$ 0.00	\$ 0.00	\$ 0.00
DIFFERENCE				
Funding - Expense	\$ 0.00	\$ 0.00	\$ 0.00	(\$ 0.00)

(1) faculty and staff salary and benefits

(2) equipment, travel, resources

(3) requires UBHE approval

Expense Narrative

Describe expenses associated specifically with the proposed program. Please indicate in which year(s) new faculty and staff hires for the program will occur.

The proposed program will be delivered using existing institutional resources and current instructional capacity. The department has five qualified faculty members who will support the technical portion of the program, and no additional faculty or staff hires are required for implementation or ongoing operation. Established instructors for general education are also in place. Instruction, advising, and administrative support will be provided within existing workloads and facilities.

As a result, there are no new expenses associated specifically with faculty or staff for the proposed program, and no new hires are anticipated in any year. The program will utilize existing classrooms, laboratories, equipment, and instructional materials, allowing it to be implemented without additional personnel costs or significant new expenditures.

Existing Funding Sources Narrative

Describe what internal reallocations, if applicable, are available and any impact to existing programs or services.

The proposed associate degree will be delivered through existing general education courses and established technical emphasis areas in Heating, Ventilation, Air Conditioning and Refrigeration Technician, plumbing, electrical, and construction. As a result, the program will rely on current instructional resources, facilities, and faculty, requiring no internal reallocation of funds. General education coursework is already offered on a regular schedule, and the technical emphasis areas are supported by existing programs with dedicated labs, equipment, and instructional staff.

Any internal reallocations will be limited to minor administrative coordination and scheduling adjustments to support program advising and pathway alignment. These adjustments are not expected to negatively impact existing programs or services. Instead, the associate degree will leverage and strengthen current offerings by increasing enrollment efficiency, improving course utilization, and creating clearer academic pathways for students. Overall, the program can be implemented using existing funding sources without reducing the quality or availability of current programs.

New Revenue Narrative

Describe new funding sources and plans to acquire the funds. Does the institution anticipate assessing students course-fees or program-based fees?

The Construction Associate of Science degree does not require new funding sources. The program is designed to utilize existing general education courses and established technical emphasis areas, allowing it to be delivered within current institutional resources, facilities, and instructional capacity. As a result, no new revenue streams are necessary to support program implementation or ongoing operation.

The technical programs in the associate degree have no course fees. All required coursework will be offered within existing fee structures, ensuring affordability for students while maintaining the quality and sustainability of the program.

SECTION VIII: ADDITIONAL DOCUMENTATION

Feedback and discussion

Add a comment in the discussion of this proposal:

Provide draft articulation agreement for transfer associate degrees and/or additional documentation such as letters of support from advisory groups, employers, or published studies as separate documents. Please include institution acronym and name of proposed program in the title of the document.



*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: David T. Cowley, Vice President for Finance and Administrative Services
DATE: August 7, 2026
RE: Revised USU Policy 1220: General Expenditure Policy

USU Policy 1220: General Expenditure Policy establishes standards and responsibilities for the appropriate and transparent expenditure of University funds.

This policy was drafted and adopted in November 2025. To address the recent legislative audit, An Audit of Governance and Oversight of Presidential Spending, additional revisions were needed. Section 2.3, President's Expenditures, was revised to:

- clarify the type of details included in the President's Office quarterly report;
- list examples of transactions to be reported;
- clarify the process to review expenditures; and
- align with the Notification Parameters established by the Audit, Risk, and Compliance Committee.

USU Policy 1220: General Expenditure Policy has been developed by the processes outlined in USU Policy 1001: University Policy System. The President and Vice President for Finance and Administrative Services recommend that the Board of Trustees approve the revisions to USU Policy 1220: General Expenditure Policy.

ATTACHMENTS USU Policy 1220: General Expenditure Policy (revised version)
USU Policy 1220: General Expenditure Policy (red-lined version)
USU Policy 1220: General Expenditure Policy (current version)
1220-PR1: Notification Parameters for President's Expenditures



University Policy 1220: General Expenditure Policy

Category: Governance & Administration

Subcategory: Budget & Expenditures

Covered Individuals: Employees, students, and volunteers

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Controller's Office, Controller

Last Revised: 2026/MM/DD

Previous USU Policy Number: 5007

1220.1. PURPOSE AND SCOPE

This Policy establishes standards and responsibilities for the appropriate and transparent expenditure of University funds.

1220.2 POLICY

As a major public institution, Utah State University is held to a high level of accountability for its business practices. Numerous constituencies, including students, donors, taxpayers, alumni, the State of Utah, and the federal government, have an interest in how the University spends its money. Accordingly, every reasonable effort should be made to ensure that funds are used responsibly and appropriately to achieve the maximum benefit from university resources.

2.1 University expenditures must:

- Have a legitimate business purpose. An expenditure is considered business-related if it reflects an ordinary and necessary transaction incurred to conduct University business and is made to further the institution's mission.
- Be reasonable and appropriate, and the amount involved reflects what a prudent person would purchase under the circumstances.
- Comply with applicable state and federal laws, regulations, and university policies and procedures.
- Be supported by appropriate documentation.

2.2 USU Expenditure-related Policies

The following USU policies provide guidelines and requirements relating to expenditures of funds and the appropriate use of university resources and should be referenced as needed for a deeper understanding of specific expenditure policy details.

2.2.1 Policy 3311: Employee Gifts and Awards

Key Policy Provisions

Department heads may authorize the purchase of gifts and awards for employees using University funds to acknowledge:

- Years of service.
- Retirement/separation.

- Other special occasions (See Policy 3311 for examples).

Depending on the frequency, value, and form, gifts to employees are classified as non-taxable or taxable. De minimis gifts and awards are non-taxable to the employee when the gift or award does not exceed \$100, is given on an occasional basis, and is tangible personal property (gift may not be in the form of cash, cash equivalent, or non-USU gift card).

Cash, cash equivalents, and non-USU gift cards are taxable to the employee.

Gifts for employees' personal life events (e.g., birthdays, showers, weddings, graduations) may not be purchased with University funds. However, the purchase of greeting cards for acknowledgment is allowable.

The full policy can be accessed online at: [Policy 3311: Employee Gifts and Awards](#).

2.2.2 Policy 1221: Procurement

Key Policy Provisions

The Standard Competitive Bid Threshold can be found here: Bid Thresholds.

For purchases **less than** the "Standard Competitive Bid Threshold" (as defined in the Purchasing and Contract Service Procedures), departments may select a specific vendor that best fulfills the business need without the requirement of a competitive selection process. The primary procurement methods for purchases under this threshold are P-Cards and EZ-Buy.

For purchases **greater than** the Standard Competitive Bid Threshold, Purchasing participates in the procurement process to facilitate vendor selection. In these cases, departments should contact Purchasing as early as possible in the process to allow timely vendor selection in an efficient and compliant manner.

The full policy can be accessed online at: [Policy 1221: Procurement](#)

2.2.3 Policy 1225: Charitable Contributions

Key Policy Provisions

Utah State University is a public tax-exempt institution of higher education and, therefore, as a general rule, does not make charitable contributions.

However, in rare circumstances, donations can be made, with approval from the appropriate Dean or Vice President, where the expenditure serves a legitimate purpose that advances the mission of the University. In such cases, justification must be documented that supports the business purpose of the donation.

The full policy can be accessed online at: [Policy 1225: Charitable Contributions](#)

2.2.4 Policy 1222: Travel

Key Policy Provisions

USU operates an IRS Accountable Plan that makes reimbursements for travel expenditures non-taxable to employees when appropriate criteria are met:

- Reimbursements are limited to approved rates for common travel expenses.
- Commercial airfare costs are limited to fares less than first class/business class or their equivalent.
- Domestic lodging is typically reimbursed at the standard room rate. If the standard or best available rate averages more than \$450 per night, justification must be documented.
- International lodging is typically reimbursed at actual costs not exceeding the maximum allowable

federal lodging per diem rate. If reasonable accommodations cannot be secured within that rate, reimbursement may be requested for actual expenses not to exceed 300 percent of the federal lodging per diem allowance.

- A meal per diem is allowed for any trip requiring an overnight stay. The current per diem rates can be found at travel.usu.edu/travel_procedures.
- Parking at airports or off-site parking vendors will be reimbursed at the economy parking rate of the departure airport.

The full policy can be accessed online at: [Policy 1222: Travel](#)

2.2.5 Policy 1223: Meals and Entertainment

Key Policy Provisions

The University will pay for meals and entertainment when costs are reasonable and necessary for the conduct of university business. Expenses must be:

- directly related to the active conduct of University business;
- associated with the active conduct of University business; or
- de minimis under Internal Revenue Service (IRS) guidelines. (See Policy 1223 for examples)

Meals will not be reimbursed when two or more employees choose to voluntarily participate together regardless of whether business is conducted is considered an unallowable cost.

Meals will not be reimbursed when the meeting could have been scheduled during the normal course of business, except when employees from multiple departments can only meet during a meal period. Exceptions must not occur on a regular or routine basis, or be reciprocal (e.g.; monthly, weekly, etc.).

The full policy can be accessed online at: [Policy 1223: Meals and Entertainment](#)

2.3 President's Expenditures

The role of the President is unique within the University. This position requires a high level of trust and is subject to high ethical expectations. Expenditures under the discretion of the President must be made with prudence and integrity and reinforce the characteristics of sound judgment, moderation, and appropriate use of university funds.

The President may not grant self-exceptions to this Policy or to other applicable university spending, travel, or procurement policies.

2.3.1 Annual Budget

The President's Office shall annually submit a proposed budget for the upcoming fiscal year, with reasonable detail, encompassing funds available to the President for expenditure for review and approval by the Board of Trustees.

2.3.2 Reports of Expenditures

The President's Office shall provide a quarterly report summarizing expenditures by category and identifying any transactions reviewed throughout the quarter under the notification parameters that complement this Policy. The report should be provided to the Board of Trustees Audit, Risk, and Compliance Committee of the expenditures made by, or for the benefit of, the President.

2.3.3 Audits

Per USHE policy, Internal Audit Services (IAS) will conduct an annual audit of presidential and partner out-of-state travel expenditures and Institutional Discretionary Funds. In conducting these audits, IAS may review in-state travel, purchasing card transactions, and other expenditures made by or for the benefit of

the President.

2.3.4 Notification Parameters

The President's Office shall inform the Board Chair of intent to enter certain transactions within parameters established by the Board. Expenditures made by, or for the benefit of, the President shall be reviewed through the University's established financial review processes, administered by the Division of Finance and Administrative Services, for compliance with applicable laws, regulations, and University Policy. Transactions meeting the Notification Parameters established by the Audit, Risk, and Compliance Committee require additional review by the Board Chair in accordance with this Policy

The parameters for notification will be reviewed and updated annually by the Audit, Risk, and Compliance Committee. These specific parameters are established to protect the President and the University and support the good judgment, moderation, and appropriate use of funds. While this is not designed to be all-inclusive, generally, areas covered may include transactions that, due to their size, sensitivity, or impact to the University, notification and review with the Board Chair is deemed prudent.

1220.3 RESPONSIBILITIES

Responsibilities for key individuals have been established within each of the USU expenditure-related policies.

3.1 Board of Trustees Audit, Risk, and Compliance Committee

Reviews quarterly reports on expenditures made by, or for the benefit of, the President. Establishes appropriate parameters for when the President notifies the Board of Trustees about financial transactions.

3.2 Internal Audit Services

Conducts an annual audit of the President's travel expenses and expenditures of Institutional Discretionary Funds.

3.3 University President

Utilizes University funds for a legitimate business purpose in alignment with federal, state, and local laws and USU policies. Provides a quarterly report of expenditures to the Board of Trustees Audit, Risk, and Compliance Committee. Participates in annual audit by Internal Audit Services. Informs the Board of Trustees of intent to enter certain transactions based on parameters set by the Audit, Risk and Compliance Committee.

1220.4 RELATED USU POLICIES

- [Policy 1221: Procurement](#)
- [Policy 1222: Travel](#)
- [Policy 1223: Meals and Entertainment](#)
- [Policy 1225: Charitable Contributions](#)
- [Policy 3311: Employee Gifts and Awards](#)

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

- 1220-PR1: Notification Parameters for President's Expenditures

Contacts

- [Vice President for Finance and Administrative Services](#)

POLICY HISTORY

Original issue date: 2025/11/07

Last revision date: 2026/MM/DD

Next scheduled review date: 2026/10/01

Previous revision dates: 2025/11/07

University Policy 1220: General Expenditure Policy

Category: Governance & Administration

Subcategory: Budget & Expenditures

Covered Individuals: Employees, students, and volunteers

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Controller's Office, Controller

Last Revised: 2026/MM/DD

Previous USU Policy Number: 5007

1220.1. PURPOSE AND SCOPE

This Policy establishes standards and responsibilities for the appropriate and transparent expenditure of University funds.

1220.2 POLICY

As a major public institution, Utah State University is held to a high level of accountability for its business practices. Numerous constituencies, including students, donors, taxpayers, alumni, the State of Utah, and the federal government, have an interest in how the University spends its money. Accordingly, every reasonable effort should be made to ensure that funds are used responsibly and appropriately to achieve the maximum benefit from university resources.

2.1 University expenditures must:

- Have a legitimate business purpose. An expenditure is considered business-related if it reflects an ordinary and necessary transaction incurred to conduct University business and is made to further the institution's mission.
- Be reasonable and appropriate, and the amount involved reflects what a prudent person would purchase under the circumstances.
- Comply with applicable state and federal laws, regulations, and university policies and procedures.
- Be supported by appropriate documentation.

2.2 USU Expenditure-related Policies

The following USU policies provide guidelines and requirements relating to expenditures of funds and the appropriate use of university resources and should be referenced as needed for a deeper understanding of specific expenditure policy details.

2.2.1 Policy 3311: Employee Gifts and Awards

Key Policy Provisions

Department heads may authorize the purchase of gifts and awards for employees using University funds to acknowledge:

- Years of service.
- Retirement/separation.
- Other special occasions (See Policy 3311 for examples).

Depending on the frequency, value, and form, gifts to employees are classified as non-taxable or taxable. De minimis gifts and awards are non-taxable to the employee when the gift or award does not exceed \$100, is given on an occasional basis, and is tangible personal property (gift may not be in the form of cash, cash equivalent, or non-USU gift card).

Cash, cash equivalents, and non-USU gift cards are taxable to the employee.

Gifts for ~~employee's~~ employees' personal life events (e.g., birthdays, showers, weddings, graduations) may not be purchased with University funds. However, the purchase of greeting cards for acknowledgment is allowable.

The full policy can be accessed online at: [Policy 3311: Employee Gifts and Awards](#).

2.2.2 Policy 1221: Procurement

Key Policy Provisions

The Standard Competitive Bid Threshold can be found here: Bid Thresholds.

For purchases **less than** the "Standard Competitive Bid Threshold" (as defined in the Purchasing and Contract Service Procedures), departments may select a specific vendor that best fulfills the business need without the requirement of a competitive selection process. The primary procurement methods for purchases under this threshold are P-Cards and EZ-Buy.

For purchases **greater than** the Standard Competitive Bid Threshold, Purchasing participates in the procurement process to facilitate vendor selection. In these cases, departments should contact Purchasing as early as possible in the process to allow timely vendor selection in an efficient and compliant manner.

The full policy can be accessed online at: [Policy 1221: Procurement](#)

2.2.3 Policy 1225: Charitable Contributions

Key Policy Provisions

Utah State University is a public tax-exempt institution of higher education and, therefore, as a general rule, does not make charitable contributions.

However, in rare circumstances, donations can be made, with approval from the appropriate Dean or Vice President, where the expenditure serves a legitimate purpose that advances the mission of the University. In such cases, justification must be documented that supports the business purpose of the donation.

The full policy can be accessed online at: [Policy 1225: Charitable Contributions](#)

2.2.4 Policy 1222: Travel

Key Policy Provisions

USU operates an IRS Accountable Plan that makes reimbursements for travel expenditures non-taxable to employees when appropriate criteria are met:

- [Reimbursements are limited to a](#)Approved rates for common travel expenses.
- Commercial airfare costs are limited to fares less than first class/business class or their equivalent.
- Domestic lodging ~~will~~is typically ~~be~~ reimbursed at the standard room rate. If the standard or best

available rate averages more than \$450 per night, justification must be documented.

- International lodging ~~will~~ is typically ~~be~~ reimbursed at actual costs not ~~to~~ exceeding the maximum allowable ~~f~~ederal lodging per diem rate. If reasonable accommodations cannot be secured within that rate, reimbursement may be requested for actual expenses not to exceed 300 percent of the ~~f~~ederal lodging per diem allowance.
- A meal per diem is allowed for any trip requiring an overnight stay. The current per diem rates can be found at travel.usu.edu/travel_procedures.
- Parking at airports or off-site parking vendors will be reimbursed at the economy parking rate of the departure airport.

The full policy can be accessed online at: [Policy 1222: Travel](#)

2.2.5 Policy 1223: Meals and Entertainment

Key Policy Provisions

The University will pay for meals and entertainment when costs are reasonable and necessary for the conduct of university business. Expenses must be:

- directly related to the active conduct of University business; ~~i~~
- associated with the active conduct of University business; ~~or~~
- de minimis under Internal Revenue Service (IRS) guidelines. (See Policy 1223 for examples)

Meals will not be reimbursed when two or more employees choose to voluntarily participate together regardless of whether business is conducted is considered an unallowable cost.

Meals will not be reimbursed when the meeting could have been scheduled during the normal course of business, except when employees from multiple departments can only meet during a meal period. Exceptions must not occur on a regular or routine basis, or be reciprocal (e.g.; monthly, weekly, etc.).

The full policy can be accessed online at: [Policy 1223: Meals and Entertainment](#)

2.3 President's Expenditures

The role of the President is unique within the University. This position requires a high level of trust and is subject to high ethical expectations. Expenditures under the discretion of the President must be made with prudence and integrity and reinforce the characteristics of sound judgement, moderation, and appropriate use of university funds.

The President may not grant self-exceptions to this ~~p~~olicy or to other applicable university spending, travel, or procurement policies.

2.3.1 Annual Budget

The President's Office shall annually submit a proposed budget for the upcoming fiscal year, with reasonable detail, encompassing funds available to the President for expenditure for review and approval by the Board of Trustees.

2.3.2 Reports of Expenditures

The President's Office shall provide a quarterly report summarizing expenditures by category and identifying any transactions reviewed throughout the quarter under the notification parameters that complement this Ppolicy. The report should be provided to the Board of Trustees Audit, ~~and~~ Risk, and Compliance Committee of the expenditures made by, or for the benefit of, the President.

2.3.3 Audits

Per USHE policy, Internal Audit Services (IAS) will conduct an annual audit of ~~the President's travel expenses and presidential and partner out-of-state travel~~ expenditures, ~~including travel, of and~~ Institutional Discretionary Funds. In conducting these audits, IAS may review in-state travel, purchasing card transactions, and other expenditures made by or for the benefit of the President.

2.3.4 Notification Parameters

The President's Office shall inform the Board Chair of intent to enter certain transactions within parameters established by the Board. Expenditures made by, or for the benefit of, the President shall be reviewed through the University's established financial review processes, administered by the Division of Finance and Administrative Services, for compliance with applicable laws, regulations, and University Policy. Transactions meeting the Notification Parameters established by the Audit, ~~and Risk, and~~ Compliance Committee require additional review by the Board Chair in accordance with this ~~P~~olicy

The parameters for notification will be reviewed and updated annually by the Audit, ~~and Risk, and~~ Compliance Committee. These specific parameters are established to protect the President and the University and support the good judgment, moderation and appropriate use of funds. While this is not designed to be all inclusive, generally, areas covered may include transactions that, due to their size, sensitivity, or impact to the University, notification and review with the Board Chair is deemed prudent.

1220.3 RESPONSIBILITIES

Responsibilities for key individuals have been established within each of the USU expenditure-related policies.

3.1 Board of Trustees Audit, ~~and Risk, and~~ Compliance Committee

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1220.4 RELATED USU POLICIES

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- [Policy 1222: Travel](#)
- [Policy 1223: Meals and Entertainment](#)
- [Policy 1225: Charitable Contributions](#)
- [Policy 3311: Employee Gifts and Awards](#)

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RESOURCES

[Procedures](#)

- [1220-PR1: Notification Parameters for President's Expenditures](#)

Contacts

- [Vice President for Finance and Administrative Services](#)

POLICY HISTORY

Original issue date: 2025/11/07

Last revision date: 2026/MM/DD

Next scheduled review date: 2026/10/01

Previous revision dates: 2025/11/07

University Policy 1220: General Expenditure Policy

Category: Governance & Administration

Subcategory: Budget & Expenditures

Covered Individuals: All employees, students, and volunteers

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Controller's Office, Controller

Last Revised: 2025/11/07

Previous USU Policy #: N/A

1220.1. PURPOSE AND SCOPE

This policy establishes standards and responsibilities for the appropriate and transparent expenditure of University funds.

1220.2 POLICY

As a major public institution, Utah State University is held to a high level of accountability for its business practices. Numerous constituencies, including students, donors, taxpayers, alumni, the State of Utah, and the federal government, have an interest in how the University spends its money. Accordingly, every reasonable effort should be made to ensure that funds are used responsibly and appropriately to achieve the maximum benefit from university resources.

2.1 University expenditures must:

1. Have a legitimate business purpose. An expenditure is considered business-related if it reflects an ordinary and necessary transaction incurred to conduct University business and is made to further the institution's mission.
2. Be reasonable and appropriate, and the amount involved reflects what a prudent person would purchase under the circumstances.
3. Comply with applicable state and federal laws, regulations, and university policies and procedures.
4. Be supported by appropriate documentation.

2.2 USU Expenditure-related Policies

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Key Policy Provisions

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- Retirement/separation.
- Other special occasions (See Policy 3311 for examples)

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Cash, cash equivalents, and non-USU gift cards are taxable to the employee.

Gifts for employee's personal life events (e.g., birthdays, showers, weddings, graduations) may not be purchased with University funds. However, the purchase of greeting cards for acknowledgement is allowable.

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Key Policy Provisions

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The full policy can be accessed online at: [Policy 1221: Procurement](#)

2.2.3 Policy 1225: Charitable Contributions

Key Policy Provisions

Utah State University is a public tax-exempt institution of higher education and therefore, as a general rule, does not make charitable contributions.

However, in rare circumstances, donations can be made, with approval from the appropriate Dean or Vice President, where the expenditure serves a legitimate purpose that advances the mission of the University. In such cases, justification must be documented that supports the business purpose of the donation.

The full policy can be accessed online at: [Policy 1225: Charitable Contributions](#)

2.2.4 Policy 1222: Travel

Key Policy Provisions

USU operates an IRS Accountable Plan that makes reimbursements for travel expenditures non-taxable to employees when appropriate criteria are met:

- Approved rates for common travel expenses.
- Commercial airfare costs are limited to fares less than first class/business class or their equivalent.
- Domestic lodging will typically be reimbursed at the standard room rate. If the standard or best available rate averages more than \$450 per night, justification must be documented.

- International lodging will typically be reimbursed at actual costs not to exceed the maximum allowable Federal lodging per diem rate. If reasonable accommodations cannot be secured within that rate, reimbursement may be requested for actual expenses not to exceed 300 percent of the Federal lodging per diem allowance.
- A meal per diem is allowed for any trip requiring an overnight stay. The current per diem rates can be found at travel.usu.edu/travel_procedures.
- Parking at airports or off-site parking vendors will be reimbursed at the economy parking rate of the departure airport.

The full policy can be accessed online at: [Policy 1222: Travel](#)

2.2.5 Policy 1223: Meals and Entertainment

Key Policy Provisions

The University will pay for meals and entertainment when costs are reasonable and necessary for the conduct of university business. Expenses must be:

1. directly related to the active conduct of University business.
2. associated with the active conduct of University business.
3. de minimis under Internal Revenue Service (IRS) guidelines. (See Policy 1223 for examples)

Meals will not be reimbursed when two or more employees choose to voluntarily participate together regardless of whether business is conducted is considered an unallowable cost.

Meals will not be reimbursed when the meeting could have been scheduled during the normal course of business, except when employees from multiple departments can only meet during a meal period. Exceptions must not occur on a regular or routine basis, or be reciprocal (e.g.; monthly, weekly, etc.).

The full policy can be accessed online at: [Policy 1223: Meals and Entertainment](#)

2.3 President's Expenditures

The role of the President is unique within the University. This position requires a high level of trust and is subject to high ethical expectations. Expenditures under the discretion of the President must be made with prudence and integrity and reinforce the characteristics of sound judgement, moderation, and appropriate use of university funds.

The President may not grant self-exceptions to this policy or to other applicable university spending, travel, or procurement policies.

2.3.1 Annual Budget

The President's Office shall annually submit a proposed budget for the upcoming fiscal year, with reasonable detail, encompassing funds available to the President for expenditure for review and approval by the Board of Trustees.

2.3.2 Reports of Expenditures

The President's Office shall provide a quarterly report to the Board of Trustees Audit and Risk Committee of the expenditures made by, or for the benefit of, the President.

2.3.3 Audits

Per USHE policy, Internal Audit Services (IAS) will conduct an annual audit of the President's travel expenses and expenditures of Institutional Discretionary Funds.

2.3.4 Notification Parameters

The President's Office shall inform the Board Chair of intent to enter certain transactions within parameters established by the Board.

The parameters for notification will be reviewed and updated annually by the Audit and Risk Committee. These specific parameters are established to protect the President and the University and support the good judgement, moderation and appropriate use of funds. While this is not designed to be all inclusive, generally, areas covered may include transactions that, due to their size, sensitivity, or impact to the University, notification and review with the Board Chair is deemed prudent.

1220.3 RESPONSIBILITIES

Responsibilities for key individuals have been established within each of the USU expenditure-related policies.

3.1 Board of Trustees Audit and Risk Committee

Responsible for reviewing a quarterly report on expenditures made by, or for the benefit of, the President. Establish appropriate parameters for when the President to notifies the Board of Trustees about financial transactions.

3.2 Internal Audit Services

Responsible for conducting an annual audit of the President's travel expenses and expenditures of Institutional Discretionary Funds.

3.3 University President

Responsible for utilizing University funds for a legitimate business purpose in alignment with federal, state, and local laws and USU policies. Provides a quarterly report of expenditures to the Board of Trustees Audit and Risk Committee. Participates in annual audit by Internal Audit Services. Informs the Board of Trustees of intent to enter certain transactions based on parameters set by the Audit and Risk Committee.

1220.4 RELATED USU POLICIES

- [Policy 1221: Procurement](#)
- [Policy 1222: Travel](#)
- [Policy 1223: Meals and Entertainment](#)
- [Policy 1225: Charitable Contributions](#)
- [Policy 3311: Employee Gifts and Awards](#)

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

- [Vice President for Finance and Administrative Services](#)

POLICY HISTORY

Original issue date: 2025/11/07

Last revision date: 2025/11/07

Next scheduled review date: 2026/10/01

Previous revision dates: N/A

1220-PR1: Notification Parameters for President's Expenditures

Associated Policy: 1220: General Expenditures

Covered Individuals: Employees, students, and volunteers

Effective Date: 2025/12/05

Latest Revision: 2026/07/10

PURPOSE

In compliance with Section 2.3: President's Expenditures, and specifically Section 2.3.4: Notification Parameters, of USU Policy 1220: General Expenditures, the President's Office shall inform the Board Chair of intent to enter transactions within the following parameters:

1. Employment contracts for senior administration positions that bind the university to multi-year arrangements, exceeding \$200,000 per year (note: for Athletics this would be limited to the Athletic Director and Head Coaches), and

Termination of employment contracts as described above,
2. Significant expenditures that are deemed to be exclusively for the benefit of the president or Office of the President that exceed \$25,000 individually or in the aggregate for a single purpose,
3. Construction and renovation projects for the benefit of the president or Office of the President with an estimated cost exceeding \$150,000, regardless of funding source, or
4. Other expenditures that either due to their size, political sensitivity, or university impact will be best to review with the Board Chair prior to executing the transaction, generally following the threshold set in number (2) above.

ADDITIONAL INFORMATION

Related USU Policies, USHE Rules, or Regulations

- [USU Policy 1220: General Expenditures](#)



*Tessa White, Chair | Gina Gagon, Vice Chair
Ryan Dent | Brett Hugie | David H. Huntsman
Luke Johnson | Kacie Malouf | David A. Petersen
Jacey Skinner | Max Alder | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Jessica Oyler, Vice President and Chief of Staff
CC: Doug Bullock, Sr. Associate Vice President for Human
DATE: Resources August 7, 2026
RE: Revised USU Policy 3207: Wage & Salary Administration

BACKGROUND: USU Policy 3207: Wage & Salary Administration was approved on an interim basis in May 2025 to comply with an audit conducted by Huron Consulting for FY22-24. In accordance with USU Policy 1001: University Policy System, this policy is now available to the university community for review.

The audit of Extra Service Compensation (ESC) practices flagged that USU lacked a policy clearly defining the components included in and excluded from Institutional Base Salary (IBS). This is essential for allocating salaries to sponsored awards. Key provisions of the revised policy include:

- Defining Institutional Base Salary
- Adding clarification that a requesting department should first coordinate buyout of an employee's time from the primary department before paying ESC
- Clarifying that employees may not use vacation leave to perform ESC for the university

IMPLEMENTATION: The Associate Vice President & Chief Process Improvement Officer collaborated with campus stakeholders to implement a new process within ServiceNow to address the issues found in the audit. As of July 1, 2025, anyone requesting ESC must complete training prior to requesting ESC.

ACTION: USU Policy 3207: Wage & Salary Administration has been developed by the processes outlined in USU Policy 1001: University Policy System. The University Leadership Council approved this policy during the May 13, 2026, meeting. The President and Vice President and Chief of Staff recommend that the Board of Trustees approve the revisions to USU Policy 3207: Wage and Salary Administration.

ATTACHMENTS: Policy 3207: Wage & Salary Administration (revisions)
Policy 3207: Wage & Salary Administration (red-lined version)
Policy 3207: Wage & Salary Administration (current version)



University Policy 3207: Wage and Salary Administration

Category: Human Resources

Subcategory: Compensation

Covered Individuals: Benefited Employees

Responsible Executive: Vice President and Chief of Staff

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

Last Revised: 2026/MM/DD

Previous USU Policy Number: 384

3207.1 PURPOSE AND SCOPE

The Utah State University (USU) employee compensation program strives for a level of compensation that is externally competitive and internally equitable for all employees, tempered with the economic realities of compensation. The compensation program is implemented in compliance with all legal and regulatory objectives.

3207.2 POLICY

2.1 Institutional Base Salary (IBS)

For purposes of wage and salary administration, IBS is the base compensation for an individual's appointment (either a 9-month academic year (August-May) or a 12-month fiscal year (July-June)), which may be adjusted by full-time equivalent (FTE) (e.g., 1.00 = full-time, .75 = 3/4 time, and .50 = 1/2 time).

IBS includes instruction/teaching, research, service, administration, or other duties as defined in the employee's current job description.

IBS does not include:

- extra service compensation;
- fringe benefit payments;
- reimbursed expenses;
- summer months (applicable only to 9-month academic year appointments);
- supplemental payments (one-time or recurring), or payments from third parties for work performed outside of institutional responsibilities (such as consulting, which must be approved by the supervisor and declared in the employee's conflict of interest disclosure).

IBS may not be increased or decreased because of replacing or supplementing salary funds with sponsored award funds.

2.2 New Fiscal Year Salary Adjustments

As part of USU's annual salary budget-setting process, the Office of the Vice President for Finance and Administrative Services will develop and distribute annual salary allocation guidelines.

Following issuance of the annual salary allocation guidelines, Department Heads or Directors may recommend salary adjustments to the respective Dean or Vice President. If such adjustments exceed the percentage increase specified in the annual salary allocation guidelines, the Dean or Vice President shall consult with the Office of Human Resources before approving them. Affected employees are to be notified of salary adjustments only after necessary approvals have been obtained.

Merit and equity adjustments proposed for employees already at a [Red-Circle Rate](#), or that would create a Red-Circle Rate, will only be allowed in unusually meritorious cases as approved by the respective Dean or Vice President in consultation with Human Resources.

2.2.1 Types of New Fiscal Year Salary Adjustments

Subject to funding, salary adjustments will be made using one of the following:

a. General Adjustment (including faculty)

An employee must meet expectations to be eligible for a general adjustment. This type of adjustment is based on legislative appropriations and university funds.

b. Merit Adjustment (including faculty)

An employee may be given a merit adjustment based on job performance.

c. Equity Adjustment (including faculty)

An employee may be given an equity adjustment when there is a significant difference between the employee's current salary and internal and/or external salary comparisons.

d. Promotion and Tenure (faculty only)

The process for faculty [Promotions](#) and tenure is found in [USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention](#).

2.3 Salary Adjustments Outside of New Fiscal Year Adjustments

2.3.1 Types of Salary Adjustments Outside of New Fiscal Year

Subject to funding, salary adjustments outside of new fiscal-year adjustments may be made using one of the following:

a. Merit Adjustment (excluding faculty)

An employee may be given a merit adjustment based on job performance.

b. Equity Adjustment (including faculty)

An employee may be given an equity adjustment when there is a significant difference between the employee's current salary and internal and/or external salary comparisons.

c. Promotional Adjustment (including faculty)

An employee may receive a promotional adjustment based on assignment to a higher [Salary Grade](#) for staff, advancement in faculty rank, or acceptance of an administrative assignment for faculty.

The amount of the promotional adjustment should take into consideration the following:

- the promoted employee's current rate in relation to the new Salary Grade,

- the employee's qualifications to perform the new job,
- the rate of pay and performance level of other employees occupying the same job classification, and
- the established amount for rank advancement (for faculty).

The promoted employee's new salary should be at least the minimum of the new Salary Grade.

d. Skill-based Program Pay Adjustment (excluding faculty)

When an employee in a department with a skill-based pay program achieves a skill level previously agreed upon by the supervisor and the employee, the employee may receive a salary adjustment, subject to the same approval process as other salary adjustments.

e. Job Reclassification Adjustment (excluding faculty)

When an employee's position is reclassified to an equal or lower Salary Grade, salary adjustments may be made based on equity in consultation with Human Resources. If a [Reclassification](#) results in a higher Salary Grade, the employee may receive a salary adjustment at the discretion of the Department Head/Director. The new salary should be at least the minimum of the new Salary Grade.

f. Demotion Adjustment (excluding faculty)

[Demotion](#) adjustments are generally limited to reductions-in-force or Demotions for cause. Department Heads or Supervisors must consult the Office of Human Resources regarding plans to demote an employee, regardless of whether or not a wage or salary decrease is intended.

If demoted, an employee's base salary may be reduced to the Salary Grade of the lower position. The employee's salary must fall within the minimum and maximum pay range of the new Salary Grade. Further decreases should be based on an assessment of the demoted employee's qualifications compared to the pay and performance of other employees in the same job classification.

All types of proposed salary adjustments as provided in section 2.2 for employees at a Red-Circle Rate, or that would create a Red-Circle Rate, will only be allowed in unusually meritorious cases as approved by the Dean or Vice President in consultation with Human Resources.

2.4 Salary program information (excluding faculty)

Staff Salary Grades and ranges are established to provide administrators with competitive compensation information when making salary decisions. The Office of Human Resources participates in periodic salary surveys. Salary Grade and range assignments and adjustments will be based on the objective analysis of salary survey data, internal equity, the relevant labor market, job evaluation, and the economic reality of university funding.

2.5 Starting salaries (excluding faculty)

New staff employees are typically hired at a salary within the first quartile of the appropriate Salary Grade. Departments may set starting salaries up to and including the midpoint of the Salary Grade without prior approval. For starting salaries above the midpoint of the Salary Grade, departments must obtain prior approval from the Office of Human Resources. Criteria for higher starting salaries may include significant experience above minimum qualifications, exceptional skills, and extreme market conditions.

3207.3 RESPONSIBILITIES

3.1 Department Heads/Directors and Supervisors

Assign job duties to positions. When changes in duties are significant enough to consider Reclassification, departments should contact the Office of Human Resources to initiate the process.

3.2 Office of Human Resources

Participate in periodic salary surveys and analyze current labor market salaries to determine appropriate Salary Grades. Provide consultation and advice regarding compensation administration and appropriate job classification. Determine the classification of each non-faculty job by performing job evaluations and assigning job titles and Salary Grades. Work with departmental administrators to ensure each position is properly classified. Conduct periodic job classification audits.

3207.4 RELATED USU POLICIES

- [Policy 3201: Extra Service Compensation](#)
- [Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention](#)

3207.5 DEFINITIONS

- **Demotion.** A reassignment of an employee to a job title with a lower Salary Grade. Demotion may be voluntary or involuntary.
- **Promotion.** Staff employees—an assignment of an employee to a job with a higher Salary Grade. Faculty—an advancement in rank or accepting an administrative assignment.
- **Reclassification.** The assignment of a new job title to an existing position, either filled or vacant. Human Resources bases this change on an evaluation of the role, responsibilities, and minimum qualifications of the position.
- **Red-Circle Rate.** A rate of pay that exceeds the maximum rate for the assigned Salary Grade.
- **Salary Grade.** A letter assigned to a particular salary range, which has a defined minimum and maximum rate of pay and is divided into quartiles.

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

- [Senior Associate Vice President of Human Resources](#)

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2026/DD/MM

Next scheduled review date: 2029/03/01

Previous revision dates: 1997/01/24, 2020/01/10, 2022/06/23, 2025/05/28

University Policy 3207: Wage and Salary Administration

Category: Human Resources

Subcategory: Compensation

Covered Individuals: Benefited Employees

Responsible Executive: Vice President ~~for Finance and Administrative Services~~ and Chief of Staff

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

Last Revised: ~~2022/06/23~~ 2026/MM/DD

Previous USU Policy Number: 384: ~~Wage and Salary Administration~~

3207.1 __PURPOSE AND SCOPE

The Utah State University (USU) employee compensation program ~~works toward~~ strives for a level of compensation that is externally competitive and internally equitable for all employees. ~~The compensation program recognizes the role of programming priorities,~~ tempered with the economic realities of compensation. The compensation program is implemented in compliance with all legal and regulatory objectives.

3207.2 __POLICY

2.1 Institutional Base Salary (IBS)

For purposes of wage and salary administration, IBS is the base compensation for an individual's appointment (either a 9-month academic year (August-May) or a 12-month fiscal year (July-June)), which may be adjusted by full-time equivalent (FTE) (e.g., 1.00 = full-time, .75 = 3/4 time, and .50 = 1/2 time).

IBS includes instruction/teaching, research, service, administration, or other duties as defined in the employee's current job description.

IBS does not include:

- ~~summer months (applicable only to 9-month academic year appointments),~~ extra service compensation;
- fringe benefit payments;
- reimbursed expenses;
- summer months (applicable only to 9-month academic year appointments);
- supplemental payments (~~one-time~~ one-time or recurring), or payments from third parties for work performed outside of ~~their~~ institutional responsibilities (such as consulting, which must be approved by the supervisor and declared in the employee's conflict of interest disclosure).

IBS may not be increased or decreased because of replacing or supplementing salary funds with sponsored award funds.

2.2 ~~New Fiscal Year Salary~~ Adjustments

2.2.1 ~~Annual Salary Allocation Guidelines~~

As part of ~~the University's~~ USU's annual salary budget-setting process, ~~annual salary allocation guidelines will be developed and distributed by the Office of the Vice President for Finance and Administrative Services~~ the Office of the Vice President for Finance and Administrative Services will develop and distribute annual salary allocation guidelines.

2.2.2 ~~Salary Adjustments~~

Following issuance of the annual salary allocation guidelines, Department Heads or Directors may recommend salary adjustments to the respective Dean or Vice President. If such adjustments exceed the percentage increase specified in the annual salary allocation guidelines, the Dean or Vice President shall consult with the Office of Human Resources ~~prior to approving said salary adjustments~~ before approving them. Affected employees are to be notified of salary adjustments only after ~~approvals have occurred~~ the necessary approvals have been obtained.

2.2.3 ~~Merit and Equity Adjustments~~

Merit and equity adjustments proposed for employees already at a ~~Red-Circle Rate~~ Rate, or that would create a ~~Red-Circle Rate~~ Rate, will only be allowed in unusually meritorious cases as approved by the respective Dean or Vice President in consultation with Human Resources.

2.2.4 ~~Types of New Fiscal Year Salary Adjustments~~

2.2.1 ~~Types of New Fiscal Year Salary Adjustments~~

Subject to funding, salary adjustments will be made using one of the following:

a. General ~~Adjustment~~ Adjustment ~~for employees meeting expectations~~ (includes ing faculty):

An employee must be meeting expectations to be eligible for a general adjustment.
This type of adjustment is based on legislative appropriations and ~~U~~ university funds.

b. ~~Merit~~ Merit ~~Adjustment~~ (includes ing faculty):

~~An employee may be given a merit adjustment based on job performance, and exceeding expectations.~~

b. ~~Equity~~ Equity ~~Adjustment~~ (includes ing faculty):

c.

An employee may be given an equity adjustment when there is a significant difference between the employee's current salary and internal and/or external salary comparisons.

c.d. ~~Promotion and Tenure~~ Promotion and Tenure (faculty only):

The process for faculty ~~Promotions~~ Promotions and tenure is found in USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention.

2.3 ~~Salary~~ Adjustments ~~Outside of a New Fiscal Year~~ Adjustments

2.3.1 ~~Types of Salary Adjustments Outside of New Fiscal Year~~

Subject to funding, salary adjustments outside of new fiscal-year adjustments may be made using one of the following:

a. Merit ~~a~~Adjustment (excludes ~~ing~~ faculty)

An employee may be given a merit adjustment based on job performance.

b. Equity ~~a~~Adjustment (includes ~~ing~~ faculty)

An employee may be given an equity adjustment when there is a significant difference between the employee's current salary and internal and/or external salary comparisons.

c. Promotional ~~a~~Adjustment (includes ~~ing~~ faculty)

An employee may receive a promotional adjustment based on ~~an assignment to a higher salary grade for staff, an advancement in faculty rank for faculty, or accepting~~ assignment to a higher Salary Grade for staff, advancement in faculty rank, or acceptance of an administrative assignment for faculty.

The amount of the promotional adjustment should take into consideration the following:

- the promoted employee's current rate in relation to the new ~~S~~salary ~~G~~grade,
- the employee's qualifications to perform the new job,
- the rate of pay and performance level of other employees occupying the same job classification, and
- the established amount for rank advancement (for faculty).

The promoted employee's new salary should be at least the minimum of the new ~~salary-grade~~ Salary Grade.

d. Skill-based ~~p~~Program ~~p~~Pay ~~a~~Adjustment (excludes ~~ing~~ faculty)

When an employee ~~who works~~ in a department with a skill-based pay program achieves a skill level previously agreed upon by the supervisor and the employee, the employee may receive a salary adjustment, subject to the same approval process as other salary adjustments.

e. Job Reclassification ~~a~~Adjustment (excludes ~~ing~~ faculty)

When an employee's position is reclassified to an equal or lower ~~salary-grade~~ Salary Grade, salary adjustments may be made based on equity in consultation with Human Resources. If a ~~R~~eclassification results in a higher ~~salary-grade~~ Salary Grade, the employee may receive a salary adjustment, at the discretion of the Department Head/Director. The new salary should be at least the minimum of the new ~~salary-grade~~ Salary Grade.

f. Demotion ~~a~~Adjustment (excludes ~~ing~~ faculty)

Demotion adjustments are generally limited to reductions-in-force or ~~D~~emotions for cause. Department Heads or Supervisors must consult the Office of Human Resources regarding plans to demote an employee, regardless of whether or not a wage or salary decrease is intended.

If demoted, An employee's ~~may be given a base salary may be decrease~~ reduced to the Salary Grade of the lower position. if he/she is demoted. The employee's salary must fall within the minimum and maximum pay range of the new Salary Grade. If the employee's rate is above the maximum rate of the lower job, the decrease should be at least equal to the salary-grade maximum of the lower classification. Further decreases should be based on an assessment of the demoted employee's qualifications compared to the pay and performance of other employees in the same job classification.

2.3.2-

All types of proposed salary adjustments as provided in section 2.2-~~13~~ for employees at a ~~R~~ed-~~C~~ircle ~~R~~ate, or that would create a ~~R~~ed-~~C~~ircle ~~R~~ate, will only be allowed in unusually meritorious cases as approved by the Dean or Vice President in consultation with Human Resources.

2.4 Salary program information (excludes ~~ing~~ faculty)

Staff ~~salary-grade~~ Salary Grades and ranges are established to provide ~~competitive compensation information to administrators who make~~ administrators with competitive compensation information when making salary decisions. The Office of Human Resources participates in periodic salary surveys. ~~Salary-grade~~ Salary Grade and range assignments and adjustments will be based on the objective analysis of salary survey data, internal equity, the relevant labor market, job evaluation, and the economic reality of ~~U~~niversity funding.

2.5 Starting salaries (excludes ~~ing~~ faculty)

New staff employees are typically hired at a salary within the first quartile of the appropriate ~~salary-grade~~ Salary Grade. Departments may set starting salaries up to and including the midpoint of the ~~salary-grade~~ Salary Grade without prior approval. For starting salaries above the midpoint of the ~~salary-grade~~ Salary Grade, departments must obtain prior approval from the Office of Human Resources. Criteria for higher starting salaries may include significant experience above minimum qualifications, exceptional skills, and extreme market conditions.

3207.3 RESPONSIBILITIES

3.1 Department Heads/Directors and Supervisors

~~Responsible to a~~ Assign job duties to positions. When changes in duties are significant enough to consider ~~R~~eclassification, departments should contact the Office of Human Resources to initiate the process.

~~3.13.2~~ -Office of Human Resources

Participates in periodic salary surveys and analyzes ~~s~~ current labor market salaries to determine appropriate ~~salary-grade~~ Salary Grades. Provides ~~s~~ consultation and advice regarding compensation administration and appropriate job classification. Determines ~~s~~ the classification of each non-faculty job by performing job evaluations and assigning job titles and ~~salary-grade~~ Salary Grades. Works ~~s~~ with departmental administrators to ensure ~~the proper classification of each position~~ each position is properly classified. Conducts ~~s~~ periodic job classification audits.

3207.4 REFERENCES

• ~~None~~

3207.~~45~~ RELATED USU POLICIES

- Policy 3201: Extra Service Compensation
- Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention

3207.4 REFERENCES

— ~~None~~

3207.~~56~~ DEFINITIONS

6.1 Demotion

Demotion.

A reassignment of an employee to a job title with a lower ~~salary grade~~ Salary Grade. Demotions may be voluntary or involuntary.

6.2 Promotion

Promotion.

~~For s~~Staff employees, ~~an~~ an assignment of an employee to a job with a higher ~~salary grade~~ Salary Grade. ~~For f~~Faculty, ~~an~~ an advancement in rank or accepting an administrative assignment.

6.3 Reclassification

Reclassification.

The assignment of a new job title to an existing position, either filled or vacant. Human Resources/~~Compensation~~ bases this change on an evaluation of the role, responsibilities, and minimum qualifications of the position.

6.4 Red Circle Rate

Red-Circle Rate.

A rate of pay ~~which~~ that exceeds the maximum rate for the assigned ~~salary grade~~ Salary Grade.

6.5 Salary Grade

Salary Grade.

A letter assigned to a particular salary range, which has a defined minimum and maximum rate of pay and is divided into quartiles.

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

RESOURCES

~~Procedures~~

- ~~None~~

~~Guidance~~

- ~~None~~

~~Related Forms and Tools~~

- ~~None~~

~~Contacts~~

- Senior Associate Vice President of Human Resources

None

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: ~~2020/01/10~~ [2026/DD/MM](#)

-Next scheduled review date: ~~N/A~~ [2029/03/01](#)

Previous revision dates: 1997/01/24, 2020/01/10, [2022/06/23](#), [2025/05/28](#)

University Policy 3207: Wage and Salary Administration

Category: Human Resources

Subcategory: Compensation

Covered Individuals: Benefited Employees

Responsible Executive: Vice President for Finance and Administrative Services

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

Last Revised: 2022/06/23

Previous USU Policy Number: 384: Wage and Salary Administration

3207.1 PURPOSE AND SCOPE

The Utah State University employee compensation program works toward a level of compensation that is externally competitive and internally equitable for all employees. The compensation program recognizes the role of programming priorities, tempered with the economic realities of compensation. The compensation program is implemented in compliance with all legal and regulatory objectives.

3207.2 POLICY

2.1 New fiscal year salary adjustments

- 2.1.1 As part of the University's annual salary budget setting process, annual salary allocation guidelines will be developed and distributed by the Office of the Vice President for Finance and Administrative Services.
- 2.1.2 Following issuance of the annual salary allocation guidelines, Department Heads or Directors may recommend salary adjustments to the respective Dean or Vice President. If such adjustments exceed the percentage increase specified in the annual salary allocation guidelines, the Dean or Vice President shall consult with the Office of Human Resources prior to approving said salary adjustments. Affected employees are to be notified of salary adjustments only after approvals have occurred.
- 2.1.3 Merit and equity adjustments proposed for employees already at a red-circle rate, or that would create a red-circle rate, will only be allowed in unusually meritorious cases as approved by the respective Dean or Vice President in consultation with Human Resources.
- 2.1.4 Subject to funding, salary adjustments will be made using one of the following:
 - a. General adjustment for employees meeting expectations (includes faculty)

This type of adjustment is based on legislative appropriations and University funds.
 - b. Merit adjustment (includes faculty)

An employee may be given a merit adjustment based on job performance.
 - c. Equity adjustment (includes faculty)

An employee may be given an equity adjustment when there is a significant difference between the employee's current salary and internal and/or external salary comparisons.
 - d. Promotion and tenure (faculty only)

The process for faculty promotions and tenure is found in USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention.

2.2 Salary adjustments outside of new fiscal year adjustments

2.2.1 Subject to funding, salary adjustments outside of new fiscal year adjustments may be made using one of the following:

a. Merit adjustment (excludes faculty)

An employee may be given a merit adjustment based on job performance.

b. Equity adjustment (includes faculty)

An employee may be given an equity adjustment when there is a significant difference between the employee's current salary and internal and/or external salary comparisons.

c. Promotional adjustment (includes faculty)

An employee may receive a promotional adjustment based on an assignment to a higher salary grade for staff, an advancement in faculty rank for faculty, or accepting an administrative assignment for faculty.

The amount of the promotional adjustment should take into consideration the following:

- the promoted employee's current rate in relation to the new salary grade,
- the employee's qualifications to perform the new job,
- the rate of pay and performance level of other employees occupying the same job classification, and
- the established amount for rank advancement (for faculty).

The promoted employee's new salary should be at least the minimum of the new salary grade.

d. Skill-based program pay adjustment (excludes faculty)

When an employee who works in a department with a skill-based pay program achieves a skill level previously agreed upon by the supervisor and the employee, the employee may receive a salary adjustment subject to the same approval process as other salary adjustments.

e. Job reclassification adjustment (excludes faculty)

When an employee's position is reclassified to an equal or lower salary grade, salary adjustments may be made based on equity in consultation with Human Resources. If a reclassification results in a higher salary grade, the employee may receive a salary adjustment, at the discretion of the Department Head/Director. The new salary should be at least the minimum of the new salary grade.

f. Demotion adjustment (excludes faculty)

Demotion adjustments are generally limited to reductions-in-force or demotions for cause. Department Heads or Supervisors must consult the Office of Human Resources regarding plans to demote an employee regardless of whether or not a wage or salary decrease is intended.

An employee may be given a base salary decrease if he/she is demoted. If the employee's rate is above the maximum rate of the lower job, the decrease should be at least equal to the salary

grade maximum of the lower classification. Further decreases should be based on an assessment of the demoted employee's qualifications compared to the pay and performance of other employees in the same job classification.

- 2.2.2 All types of proposed salary adjustments as provided in section 2.2.1 for employees at a red-circle rate, or that would create a red-circle rate, will only be allowed in unusually meritorious cases as approved by the Dean or Vice President in consultation with Human Resources.

2.3 Salary program information (excludes faculty)

Staff salary grades and ranges are established to provide competitive compensation information to administrators who make salary decisions. The Office of Human Resources participates in periodic salary surveys. Salary grade and range assignments and adjustments will be based on the objective analysis of salary survey data, internal equity, the relevant labor market, job evaluation, and the economic reality of University funding.

2.4 Starting salaries (excludes faculty)

New staff employees are typically hired at a salary within the first quartile of the appropriate salary grade. Departments may set starting salaries up to and including the midpoint of the salary grade without prior approval. For starting salaries above the midpoint of the salary grade, departments must obtain prior approval from the Office of Human Resources. Criteria for higher starting salaries may include significant experience above minimum qualifications, exceptional skills, and extreme market conditions.

3207.3 RESPONSIBILITIES

3.1 Department Heads/Directors and Supervisors

Responsible to assign job duties to positions. When changes in duties are significant enough to consider reclassification, departments should contact the Office of Human Resources to initiate the process.

3.2 Office of Human Resources

Participates in periodic salary surveys and analyzes current labor market salaries to determine appropriate salary grades. Provides consultation and advice regarding compensation administration and appropriate job classification. Determines the classification of each non-faculty job by performing job evaluations and assigning job titles and salary grades. Works with departmental administrators to ensure the proper classification of each position. Conducts periodic job classification audits.

3207.4 REFERENCES

- None

3207.5 RELATED USU POLICIES

- Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention

3207.6 DEFINITIONS

6.1 Demotion

A reassignment of an employee to a job title with a lower salary grade. Demotions may be voluntary or involuntary.

6.2 Promotion

For staff employees, an assignment of an employee to a job with a higher salary grade. For faculty, an advancement in rank or accepting an administrative assignment.

6.3 Reclassification

The assignment of a new job title to an existing position, either filled or vacant. Human Resources/Compensation bases this change on an evaluation of the role, responsibilities, and minimum qualifications of the position.

6.4 Red-Circle Rate

A rate of pay which exceeds the maximum rate for the assigned salary grade.

6.5 Salary Grade

A letter assigned to a particular salary range which has a defined minimum and maximum rate of pay and is divided into quartiles.

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

Procedures

- None

Guidance

- None

Related Forms and Tools

- None

Contacts

- None

POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2020/01/10

Next scheduled review date: N/A

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*Tessa White, Chair | Gina Gagon, Vice Chair
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Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Jessica Oyler, Vice President & Chief of Staff;
Doug Bullock, Sr. Associate Vice President for Human Resources
DATE: August 7, 2026
RE: Revisions to Policy 3301: Criminal Background Check

FOR INFORMATION PURPOSES ONLY. NO ACTION REQUIRED.

Policy 3301: Criminal Background Checks establishes a consistent, centralized process for conducting Criminal Background Checks at Utah State University. It ensures compliance with state and federal laws while promoting a safe and secure environment across all university programs, positions, and functions.

This policy was approved at the University Leadership Council meeting on June 10, 2026.

ATTACHMENTS:

Executive Summary
Proposed policy revisions
Red-lined policy
Current policy







USU Policy 3301: Criminal Background Checks

Category: Human Resources

Subcategory: Employment

Covered Individuals: Employees and Volunteers

Responsible Executive: Vice President and Chief of Staff

Policy Custodian: Sr. Associate Vice President of Human Resources

For each section below, summarize the highlights of the new policy using the suggested questions as guidelines.

BACKGROUND:

We are centralizing background checks. We have an obligation to protect our campus community and students by ensuring those on campus have successfully completed a criminal background check.

Reviewed policy with Legal.

KEY PROVISIONS OF THE NEW/REVISED POLICY:

Centralizing background check with HR to ensure compliance with applicable laws.

Legal, HR, Office of the President were consulted. All feedback is part of redline.

IMPLEMENTATION PLAN:

Procedures will follow applicable laws and processes, particularly the Fair Credit Reporting Act (FCRA). They are currently in development and will be released shortly.

Publication of the revised Policy 3301 will adhere to the structured policy lifecycle defined in USU Policy 1001 and its associated procedures to promote consistency, transparency, and principles of shared governance. Upon final approval, Policy 3301 will be published in the USU Policy Library to ensure accessibility to all University stakeholders. The Policy Office will disseminate announcements through official University channels, including an email listserv and the MyUSU portal. The Office of Human Resources will utilize current channels of communication (e.g. the Memo, training, website).

As outlined in USU Policy 1001, this policy will be reviewed on a 3-year cycle to continue to ensure USU remains in compliance. Additionally, feedback on Policy 3301 may be submitted on the USU Policy Office website at any time, regardless of the review cycle.

University Policy 3301: Criminal Background Checks

Category: Human Resources

Subcategory: Employment

Covered Individuals: Employees and Volunteers

Responsible Executive: Vice President and Chief of Staff

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

Last Revised: 2026/MM/DD

Previous USU Policy Number: 386

3301.1 PURPOSE AND SCOPE

This Policy establishes a consistent, centralized process for conducting [Criminal Background Checks](#) at Utah State University (USU or University). It ensures compliance with state and federal laws while promoting a safe and secure environment across all university programs, positions, and functions. This policy provides specific requirements for conducting Criminal Background Checks (hereinafter referred to as “background checks”) of certain prospective and existing Employees and [Volunteers](#) of Utah State University.

3301.2 POLICY

All background checks for faculty, staff, student employees, and Volunteers at USU must be initiated by Business Services and administered exclusively through the centralized Human Resources (HR) process. All required background checks must be completed and settled prior to the start of employment or Voluntary service, as applicable. Employment offers and Volunteer appointments are contingent upon successful completion of a background check, when required.

2.1 Individuals Subject to a Background Check:

The following individuals must be subject to completion of a Background Check:

- All benefit-eligible employees and applicants with a conditional offer of employment.
- All non-benefit-eligible employees, applicants with a conditional offer of employment, and Volunteers who serve in a [Security-Sensitive Position](#) or a position with contact with [Minors](#), including those in staff roles and research, instructional, or teaching roles, including but not limited to, adjunct, temporary, and concurrent enrollment faculty (see Section 3301.2.6), professors, instructors, lecturers, graduate teachers, graduate research, or traineeship assistants.

2.2 Self-Disclosure Requirements

Employees subject to this Policy must notify Human Resources within five business days if they are arrested for, charged with, or convicted of a felony or serious misdemeanor, or if a professional or occupational license required for university duties is suspended, revoked, or restricted.

For purposes of this Policy, “serious misdemeanor” includes offenses involving violence, sexual misconduct, abuse or neglect, theft or fraud, controlled substances, or weapons.

Reported information will be reviewed on an individualized basis. An arrest or criminal charge alone will not automatically result in disciplinary action.

Failure to timely report required information or knowingly providing false or incomplete information may result in disciplinary action, up to and including termination of employment.

For positions that do not require a background check, individuals must self-disclose to Human Resources any felony and serious misdemeanor convictions that have occurred within the past seven years. For positions that require driving for USU, employees must also disclose traffic infractions that occurred within the past seven years. Self-disclosures are requested after a conditional offer of employment has been accepted. They are completed during the onboarding process or requested through Business Services and are kept confidential in accordance with HR procedures. Failure to disclose such information may result in disciplinary actions, up to and including termination of employment or withdrawal of Volunteer service ([USU Policy 3017: Volunteer Services](#)).

2.3 Timing and Circumstances Requiring a Background Check

A background check will be conducted under the following circumstances:

- **Security-Sensitive Position**

Anticipation that an employee, an applicant with a conditional offer of employment, or a Volunteer will serve in a Security-Sensitive Position (as defined in Section 3301.6).

- **Contact with Minors**

Anticipation that an employee, an applicant with a conditional offer of employment, or a Volunteer will serve in a position with contact with Minors, such as when there is a reasonable expectation that during the normal and routine responsibilities of the position, the employee or Volunteer and a Minor would interact on a one-on-one basis either in person or virtually.

- **Upon Reasonable Cause**

Reasonable Cause may exist with respect to a position or an individual.

For a position, reasonable cause exists when a periodic background check is warranted based on the position being classified as a Security-Sensitive Position.

For an individual, reasonable cause exists when known facts or circumstances are sufficient to warrant by a person of reasonable prudence that the employee or Volunteer poses an unreasonable risk to persons or property and/or that a history or report of crime will be found.

Supervisors wishing to request a background check for Reasonable Cause must coordinate with the Office of Human Resources.

- **Self-Disclosure**

Disclosure of a felony conviction, serious misdemeanor conviction, or traffic violation(s) for a position that requires regular driving for USU.

2.4 Adverse Action and Individual Review

Having a criminal history does not automatically preclude employment at USU. The following steps are taken when background check information may lead to an adverse employment action:

- **Pre-Adverse Action Written Notice**

Applicants with a conditional offer of employment, employees, or Volunteers will receive a written

pre-adverse action notice indicating that information obtained through a background check may negatively impact their employment or Volunteer status. The notice will include information required by applicable law, including access to the background check report and a summary of rights.

- **Opportunity to Respond**

Individuals will be provided five business days from the date of the pre-adverse action notice to review the information and respond. This may include submitting additional information, clarification, evidence of rehabilitation, or documentation of inaccuracies.

- **Individualized Risk Assessment**

At the discretion of the Sr. Associate Vice President of HR, a Background Review Committee ("Committee") will be formed to conduct an individualized risk assessment based on the information obtained through the background check, additional information provided by the individual, and the position's duties and responsibilities.

- **Final Decision and Notice**

Final employment or Volunteer decisions will be made in accordance with applicable state and federal laws and university procedures. Individuals will receive written notice of the reasons for the final decision.

2.5 External Standards: Utah Childcare Licensing Requirements

In alignment with state requirements, individuals whose roles necessitate clearance through the [Utah Childcare Licensing](#) Program will complete the background check process mandated by that program. Clearance through the Utah Childcare Licensing Program fulfills the University's background check requirements. Background checks conducted under this provision must be coordinated with the Office of Human Resources to ensure that documentation and compliance are maintained within the centralized system.

2.6 Concurrent Enrollment Faculty

USU employees and applicants with a conditional offer of employment, whether in faculty positions or other academic positions, who serve or will serve as concurrent enrollment instructors with unsupervised access to K-12 students must complete a Criminal Background Check consistent with [Utah Code §53G-11-402](#). USU will determine the need for the Criminal Background Check consistent with the law to satisfy this requirement and will maintain appropriate documentation.

3301.3 RESPONSIBILITIES

3.1 Human Resources

Oversee and administer the background check screening process, including self-disclosures, for all applicants with a conditional offer of employment, employees, and Volunteers. Ensure compliance with state and federal laws, policies, and confidentiality requirements. Review initial background check results and refer cases to the Sr. Associate Vice President of HR, who will determine if a committee review is necessary. Communicate final outcomes to the hiring department. Ensure required notices and opportunities to respond are provided for final adverse employment actions. Bill departments for background checks, as applicable.

3.2 Background Review Committee

Upon direction from the Sr. Associate Vice President of HR, the Committee will convene to review cases that require additional consideration. The Committee will make recommendations based on individualized risk assessments to promote a fair process.

3.3 Hiring Departments

Submit requests for background checks, as applicable.

3301.4 REFERENCES

- [Utah Code 53H-3-402](#)
- [Utah Code § 34-52-101, et. seq.](#)
- Utah Board of Higher Education [Policy R165, Concurrent Enrollment](#)
- [Utah Code § 53G-11-402 – 403](#)
- [Fair Credit Reporting Act \(FCRA\)](#)
- [Equal Employment Opportunity Commission \(EEOC\) guidelines](#)

3301.5 RELATED USU POLICIES

- [Policy 3017: Volunteer Services](#)

3301.6 DEFINITIONS

- **Criminal Background Check.** A commercial or governmental process of searching public records to determine whether an individual has been convicted of criminal conduct within a minimum of the last seven years.
- **Minor.** For the purposes of this policy, [Utah Code §53H-3-402\(b\)](#) defines a minor as a person younger than 21 years of age.
- **Security Sensitive Positions.** Positions whose duties require, provide for, or encompass the potential to incur human, financial, or property loss or harm to the University and its constituents. A security-sensitive position includes at least one of the following elements:
 - Access to Minors, including childcare in a childcare center or to diminished capacity adults (individuals who lack decision-making capacity).
 - Relationships with students where exceptional trust and responsibility are involved, such as instructors, counselors, healthcare providers, coaches, and residence hall personnel.
 - Responsibility for providing direct medical care, treatment, or counseling and/or access to pharmaceuticals, toxins, hazardous, or controlled substances.
 - Direct access to laboratory materials and other property which have the potential of being diverted from their proper use either for financial gain or for harmful, dangerous, or illegal purposes.
 - Decision-making authority for committing university funds or financial resources through contracts and commitments and/or direct access to or responsibility for handling cash, checks, credit/debit cards, or cash equivalents, university property, disbursements, or receipts.
 - Access to building and residence hall master control and key systems.
 - Access to confidential information or sensitive personal information such as employment, health, donor, financial, and other records, including data that could facilitate identity theft.
 - Access to and responsibility for the maintenance, upgrading, and repair of the University's computer networks and/or information technology systems.
 - Responsibility for police, security guards, and other health or safety issues.
- **Volunteer.** An individual providing volunteer service to USU as defined in USU Policy 3017: Volunteer Services.

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

- Doug Bullock
[Senior Associate Vice President of Human Resources](#)

POLICY HISTORY

Original issue date: 2008/10/17

Last revision date: 2026/MM/DD

Next scheduled review date: 2029/03/01

Previous revision dates: 2008/10/17, 2009/05/01, 2019/09/27, 2020/01/10, 2022/06/24, 2025/11/03

University Policy 3301: Criminal Background Checks

Category: Human Resources

Sub-Category~~Subcategory~~: Employment

Covered Individuals: ~~All~~ ~~USU~~ Employees and Volunteers

Responsible Executive: Vice President ~~for Finance~~ and ~~Administrative Services~~ Chief of Staff

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

Last Revised: ~~2025/11/03~~ 2026/MM/DD

Previous USU Policy Number: 386

3301.1 PURPOSE AND SCOPE

This Policy establishes a consistent, centralized process for conducting Criminal Background Checks~~promotes a safe environment by providing~~ at Utah State University (USU or University). It ensures compliance with state and federal laws while promoting a safe and secure environment across all university programs, positions, and functions. This policy provides specific requirements for conducting Criminal Background Checks (hereinafter referred to as "background checks") of certain prospective and existing Employees and Volunteers of Utah State University.

3301.2 POLICY

All background checks for faculty, staff, student employees, and Volunteers at USU must be initiated by Business Services and administered exclusively through the centralized Human Resources (HR) process. All required background checks must be completed and settled prior to the start of employment or Voluntary service, as applicable. Employment offers and Volunteer appointments are contingent upon successful completion of a background check, when required.

2.1 ~~Criminal~~ Individuals Subject to a Background Checks will be performed Check:

The following individuals must be subject to completion of a Background Check:

- All benefit-eligible employees and applicants with a conditional offer of employment ~~After an has been accepted;~~

~~When a current employee/volunteer moves into a~~ All non-benefit-eligible employees, applicants with a conditional offer of employment, and Volunteers who serve in a Security-Sensitive Position or a position with significant contact with Minors, including those in staff roles and research, instructional, or teaching roles, including but not limited to, adjunct, temporary, and concurrent enrollment faculty (see Section 3301.2.6), professors, instructors, lecturers, graduate teachers, graduate research, or traineeship assistants.

- ~~For Reasonable Cause~~

~~2.1~~ Section 2.1 applies to the following groups or individuals:

- ~~All benefit eligible employees;~~
- ~~All persons employed by USU in a teaching capacity including, those in staff roles and research, instructional, or teaching roles, including but not limited to, adjunct, temporary, and concurrent enrollment faculty, (see Section 3301.2.6), professors, instructors, and lecturers;~~
- ~~Graduate students acting as teaching, laboratory, and/or research assistants;~~
- ~~Any employees/volunteers with significant contact with minors; and~~
- ~~Any employees/volunteers in security sensitive positions. Any employee/volunteer in a security sensitive position with financial responsibility over funds of the University may also be required to submit to a financial/credit check.~~

2.2 Self-Disclosure Requirements

Employees subject to this Policy must notify Human Resources within five business days if they are arrested for, charged with, or convicted of a felony or serious misdemeanor, or if a professional or occupational license required for university duties is suspended, revoked, or restricted.

For purposes of this Policy, “serious misdemeanor” includes offenses involving violence, sexual misconduct, abuse or neglect, theft or fraud, controlled substances, or weapons.

Reported information will be reviewed on an individualized basis. An arrest or criminal charge alone will not automatically result in disciplinary action.

Failure to timely report required information or knowingly providing false or incomplete information may result in disciplinary action, up to and including termination of employment.

For positions that do not require a background check, individuals must self-disclose to Human Resources any felony and serious misdemeanor convictions that have occurred within the past seven years. For positions that require driving for USU, employees must also disclose traffic infractions that occurred within the past seven years. Self-disclosures are requested after a conditional offer of employment has been accepted. They are completed during the onboarding process or requested through Business Services and are kept confidential in accordance with HR procedures. Failure to disclose such information may result in disciplinary actions, up to and including termination of employment or withdrawal of Volunteer service (USU Policy 3017: Volunteer Services).

2.3 Timing and Circumstances Requiring a Background Check

A background check will be conducted under the following circumstances:

- **Security-Sensitive Position**

Anticipation that an employee, an applicant with a conditional offer of employment, or a Volunteer will serve in a Security-Sensitive Position (as defined in Section 3301.6).

- **Contact with Minors**

Anticipation that an employee, an applicant with a conditional offer of employment, or a Volunteer will serve in a position with contact with Minors, such as when there is a reasonable expectation that during the normal and routine responsibilities of the position, the employee or Volunteer and a Minor would interact on a one-on-one basis either in person or virtually.

- **Upon Reasonable Cause**

Reasonable Cause may exist with respect to a position or an individual.

For a position, reasonable cause exists when a periodic background check is warranted based on the position being classified as a Security-Sensitive Position.

For an individual, reasonable cause exists when known facts or circumstances are sufficient to

warrant by a person of reasonable prudence that the employee or Volunteer poses an unreasonable risk to persons or property and/or that a history or report of crime will be found.

Supervisors wishing to request a background check for Reasonable Cause must coordinate with the Office of Human Resources.

- **Self-Disclosure**

Disclosure of a felony conviction, serious misdemeanor conviction, or traffic violation(s) for a position that requires regular driving for USU.

2.4 Adverse Action and Individual Review

Having a criminal history does not automatically preclude employment at USU. The following steps are taken when background check information may lead to an adverse employment action:

- **Pre-Adverse Action Written Notice**

Applicants with a conditional offer of employment, employees, or Volunteers will receive a written pre-adverse action notice indicating that information obtained through a background check may negatively impact their employment or Volunteer status. The notice will include information required by applicable law, including access to the background check report and a summary of rights.

- **Opportunity to Respond**

Individuals will be provided five business days from the date of the pre-adverse action notice to review the information and respond. This may include submitting additional information, clarification, evidence of rehabilitation, or documentation of inaccuracies.

- **Individualized Risk Assessment**

At the discretion of the Sr. Associate Vice President of HR, a Background Review Committee ("Committee") will be formed to conduct an individualized risk assessment based on the information obtained through the background check, additional information provided by the individual, and the position's duties and responsibilities.

- **Final Decision and Notice**

Final employment or Volunteer decisions will be made in accordance with applicable state and federal laws and university procedures. Individuals will receive written notice of the reasons for the final decision.

2.5 External Standards: Utah Childcare Licensing Requirements

In alignment with state requirements, individuals whose roles necessitate clearance through the [Utah Childcare Licensing](#) Program will complete the background check process mandated by that program. Clearance through the Utah Childcare Licensing Program fulfills the University's background check requirements. Background checks conducted under this provision must be coordinated with the Office of Human Resources to ensure that documentation and compliance are maintained within the centralized system.

2.6 Concurrent Enrollment Faculty

USU employees and applicants with a conditional offer of employment, whether in faculty positions or other academic positions, who serve or will serve as concurrent enrollment instructors with unsupervised access to K-12 students must complete a Criminal Background Check consistent with [Utah Code §53G-11-402](#). USU will determine the need for the Criminal Background Check consistent with the law to satisfy

[this requirement and will maintain appropriate documentation.](#)

3301.3 RESPONSIBILITIES

3.1 Human Resources

~~Manages the background check process for all employees/volunteers.~~

[Oversee and administer the background check screening process, including self-disclosures, for all applicants with a conditional offer of employment, employees, and Volunteers. Ensure compliance with state and federal laws, policies, and confidentiality requirements. Review initial background check results and refer cases to the Sr. Associate Vice President of HR, who will determine if a committee review is necessary. Communicate final outcomes to the hiring department. Ensure required notices and opportunities to respond are provided for final adverse employment actions. Bill departments for background checks, as applicable.](#)

3.2 Background Review Committee

~~Reviews background checks with questionable results.~~

[Upon direction from the Sr. Associate Vice President of HR, the Committee will convene to review cases that require additional consideration. The Committee will make recommendations based on individualized risk assessments to promote a fair process.](#)

3.3 Hiring Departments

[Submit requests for background checks, as applicable.](#)

3301.4 REFERENCES

- [Utah Code 53H-3-402](#)
- [Utah Code § 34-52-101, et. seq.](#)
- [Utah Board of Higher Education Policy R165, Concurrent Enrollment](#)
- [Utah Code § 53G-11-402 – 403](#)
- [Fair Credit Reporting Act \(FCRA\)](#)
- [Equal Employment Opportunity Commission \(EEOC\) guidelines](#)

3301.5 RELATED USU POLICIES

- ~~Policy 2403: Protection of Minors~~
- [Policy 3017: Volunteer Services](#)

3301.6 DEFINITIONS

~~Background Review Committee~~

~~This committee consists of representation from General Counsel, Human Resources, and Public Safety. The committee reviews the results of criminal background checks where prior convictions exist, assesses the risk to the University, and determines whether an individual should be considered eligible to obtain or retain a position.~~

~~The Background Review Committee may delegate initial review, where appropriate.~~

Criminal Background Check. A commercial or governmental process of searching public records to determine whether an individual has been convicted of criminal conduct within a minimum of the last seven years.

~~Diminished Capacity Adult~~

~~A person who lacks decision-making capacity, which requires: (1) possession of a set of values and goals; (2) the ability to communicate and to understand information; and (3) the ability to reason and to deliberate about one's choices.~~

Employee

~~An individual who has received and accepted a legitimate offer of employment from an appropriate hiring authority.~~

Minor. For the purposes of this policy, [Utah Code §53H-3-402\(b\)](#) ~~Utah Code §53H-3-402 (1)~~ defines a minor as a person younger than 21 years of age.

~~• Positions with Significant Contact with Minors~~

~~Any position which involves working with a Covered Program as defined in USU Policy 2403: Protection of Minors.~~

~~6.1 Reasonable Cause~~

~~May exist with respect to a position or with respect to an individual. As to a position, reasonable cause exists such that a periodic criminal background check for any employee holding a security-sensitive position is warranted. As to an individual, reasonable cause exists where the known facts or circumstances about a particular employee are sufficient to warrant, by a person of reasonable prudence, that the employee poses an unreasonable risk to persons or property and/or that a history or report of crime will be found.~~

- **Security Sensitive Positions.** Positions whose duties require, provide for, or encompass the potential to incur human, financial, or property loss or harm to the University and its constituents. A security-sensitive position includes at least one of the following elements:
 - Access to Minors, including ~~child care~~[childcare](#) in a ~~child care~~[childcare](#) center or to [diminished capacity adults \(individuals who lack decision-making capacity\)](#).
 - Relationships with students where exceptional trust and responsibility are involved, such as instructors, counselors, ~~health care~~[healthcare](#) providers, coaches, and residence hall personnel;.
 - Responsibility for providing direct medical care, treatment, or counseling and/or access to pharmaceuticals, toxins, hazardous, or controlled substances;.
 - Direct access to laboratory materials and other property ~~that~~[which](#) have the potential of being diverted from their proper use either for financial gain or for harmful, dangerous, or illegal purposes;.
 - Decision-making authority for committing university funds or financial resources through contracts and commitments and/or direct access to or responsibility for handling cash, checks, credit/debit cards, or cash equivalents, university property, disbursements, or receipts;.
 - Access to building and residence hall master control and key systems;.
 - Access to confidential information or sensitive personal information such as employment, health, donor, financial, and other records, including data that could facilitate identity theft;.
 - Access to and responsibility for the maintenance, upgrading, and repair of the University's computer networks and/or information technology systems; ~~and~~.
 - Responsibility for police, security guards, and other ~~significant~~ health or safety issues.

Volunteer. An individual providing volunteer service to USU as defined in USU Policy 3017: Volunteer Services.

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

- [Doug Bullock](#)
[Senior Associate Vice President of Human Resources](#)

POLICY HISTORY

Original issue date: 2008/10/17

Last revision date: ~~2025/11/03~~ 2026/MM/DD

Next scheduled review date: ~~2026/02~~ 2029/03/01

Previous revision dates: 2008/10/17, 2009/05/01, 2019/09/27, 2020/01/10, 2022/06/24, 2025/11/03

University Policy 3301: Criminal Background Checks

Category: Human Resources

Sub Category: Employment

Covered Individuals: All USU Employees and Volunteers

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Human Resources

Last Revised: 2025/11/03

Previous USU Policy Number: 386

3301.1 PURPOSE AND SCOPE

This policy promotes a safe environment by providing specific requirements for conducting [Criminal Background Checks](#) of certain prospective and existing [Employees](#) and [Volunteers](#) of Utah State University.

3301.2 POLICY

2.1 Criminal Background Checks will be performed:

- 2.1.1 After an offer of employment has been accepted;
- 2.1.2 When a current employee/volunteer moves into a [Security Sensitive Position](#) or a position with significant contact with [Minors](#);
- 2.1.3 For [Reasonable Cause](#).

2.2 Section 2.1 applies to the following groups or individuals:

- 2.2.1 All benefit eligible employees;
- 2.2.2 All persons employed by USU in a teaching capacity including, but not limited to, adjunct, temporary, and concurrent enrollment faculty, professors, instructors, and lecturers;
- 2.2.3 Graduate students acting as teaching, laboratory, and/or research assistants;
- 2.2.4 Any employees/volunteers with significant contact with minors; and
- 2.2.5 Any employees/volunteers in security sensitive positions. Any employee/volunteer in a security sensitive position with financial responsibility over funds of the University may also be required to submit to a financial/credit check.

3301.3 RESPONSIBILITIES

3.1 Human Resources

Manages the background check process for all employees/volunteers.

3.2 [Background Review Committee](#)

Reviews background checks with questionable results.

3301.4 REFERENCES

- [Utah Board of Higher Education Policy R165, Concurrent Enrollment](#)
- [Utah Code 53H-3-402 Higher Education Criminal Background Checks](#)

3301.5 RELATED USU POLICIES

- [Policy 2403: Protection of Minors](#)
- [Policy 3017: Volunteer Services](#)

3301.6 DEFINITIONS

6.1 Background Review Committee

This committee consists of representation from General Counsel, Human Resources, and Public Safety. The committee reviews the results of criminal background checks where prior convictions exist, assesses the risk to the University, and determines whether an individual should be considered eligible to obtain or retain a position.

The Background Review Committee may delegate initial review, where appropriate.

6.2 Criminal Background Check

A commercial or governmental process of searching public records to determine whether an individual has been convicted of criminal conduct within a minimum of the last seven years.

6.3 Diminished Capacity Adult

A person who lacks decision-making capacity, which requires: (1) possession of a set of values and goals; (2) the ability to communicate and to understand information; and (3) the ability to reason and to deliberate about one's choices.

6.4 Employee

An individual who has received and accepted a legitimate offer of employment from an appropriate hiring authority.

6.5 Minor

For the purposes of this policy, Utah Code §53H-3-402 (1) defines a minor as a person younger than 21 years of age.

6.6 Positions with Significant Contact with Minors

Any position which involves working with a Covered Program as defined in USU Policy 2403: Protection of Minors.

6.7 Reasonable Cause

May exist with respect to a position or with respect to an individual. As to a position, reasonable cause exists such that a periodic criminal background check for any employee holding a security sensitive position is warranted. As to an individual, reasonable cause exists where the known facts or circumstances about a particular employee are sufficient to warrant, by a person of reasonable prudence, that the employee poses an unreasonable risk to persons or property and/or that a history or

report of crime will be found.

6.8 Security Sensitive Positions

Positions whose duties require, provide for, or encompass the potential to incur human, financial, or property loss or harm to the University and its constituents. A security sensitive position includes at least one of the following elements:

- i. Access to minors, including child care in a child care center or to [Diminished Capacity Adults](#).
- ii. Relationships with students where exceptional trust and responsibility are involved, such as instructors, counselors, health care providers, coaches, and residence hall personnel;
- iii. Responsibility for providing direct medical care, treatment, or counseling and/or access to pharmaceuticals, toxins, hazardous, or controlled substances;
- iv. Direct access to laboratory materials and other property that have the potential of being diverted from their proper use either for financial gain or for harmful, dangerous, or illegal purposes;
- v. Decision-making authority for committing University funds or financial resources through contracts and commitments and/or direct access to or responsibility for handling cash, checks, credit/debit cards, or cash equivalents, University property, disbursements, or receipts;
- vi. Access to building and residence hall master control and key systems;
- vii. Access to confidential information or sensitive personal information such as employment, health, donor, financial, and other records, including data that could facilitate identity theft;
- viii. Access to and responsibility for the maintenance, upgrading, and repair of the University's computer networks and/or information technology systems; and
- ix. Responsibility for police, security guards, and other significant health or safety issues.

6.9 Volunteer

An individual providing volunteer service to USU as defined in USU Policy 3017: Volunteer Services.

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

- [Senior Associate Vice President of Human Resources](#)

POLICY HISTORY

Original issue date: 2008/10/17

Last revision date: 2025/11/03

Next scheduled review date: 2026/02/01

Previous revision dates: 2008/10/17, 2009/05/01, 2019/09/27, 2020/01/10, 2022/06/24



*Tessa White, Chair | Gina Gagon, Vice Chair
Ryan Dent | Brett Hugie | David H. Huntsman
Luke Johnson | Kacie Malouf | David A. Petersen
Jacey Skinner | Max Alder | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: David T. Cowley, Vice President for Finance and Administrative Services
CC: Wendy Keller, Controller
DATE: August 7, 2026
RE: Revised USU Policy 3311 Employee Gifts & Awards

USU Policy 3311: Employee Gifts and Awards provides guidelines regarding the value and type of gifts or awards that may be given to employees and the characteristics that make them non-taxable or taxable.

This policy was recently revised in November 2025. These minor changes resulted from feedback received from Advancement, the Controller's Office, and the public comment period. Additional clarification was added to 2.1.4.2 Non-Employees to include students and add flexibility for deans and vice presidents to determine a reasonable and appropriate value for the gift based on the occasion. Additionally, new information is included about USU employees not offering gifts to non-employees to secure special privileges. To keep the policy nimble, references to specific technology (e.g. ServiceNow) were also removed.

USU Policy 3311: Employee Gifts and Awards has been developed by the processes outlined in Policy 1001: University Policy System. The University Leadership Council approved this policy during the May 13, 2026, meeting. The President and Vice President for Finance and Administrative Services recommend that the Board of Trustees approve the revisions to USU Policy 3311: Employee Gifts and Awards.

ATTACHMENTS Policy 3311: Employee Gifts & Awards (revised version)
Policy 3311: Employee Gifts & Awards (red-lined version)
Policy 3311: Employee Gifts & Awards (current version)



University Policy 3311: Employee Gifts and Awards

Category: Human Resources

Subcategory: Employment

Covered Individuals: All Employees

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Controller's Office, Controller

Last Revised: 2026/MM/DD

Previous USU Policy Number: 505

3311.1 PURPOSE AND SCOPE

The University understands the importance of creating and encouraging a supportive work environment. As such, departments may recognize employees with occasional gifts and awards. This policy provides guidelines regarding the value and type of gifts or awards that may be given to employees and the characteristics that make them non-taxable or taxable.

3311.2 POLICY

Department heads may authorize the purchase of gifts and awards to employees using University funds to acknowledge years of service, retirement, and other special occasions. Depending on the frequency, value, and form, gifts to employees are classified as non-taxable or taxable.

2.1 Events and Occasions

2.1.1 Length of Service

Employees may receive gifts and service awards to recognize length of service, which should be accompanied by a meaningful recognition event. The value of the gift should consider the number of years of service and should be given only after the employee has achieved at least five years of service.

2.1.2 Retirement/Separation

Employees may receive retirement/separation gifts to recognize their service to the University, which should be accompanied by a meaningful retirement/separation event. Gifts that do not exceed \$400 are non-taxable to the employee. For gifts valued over \$400, the amount exceeding \$400 is considered taxable to the employee and must be reported using the Taxable Gift and Award form in Service Now.

2.1.3 Other Special Occasions

2.1.3.1 Bereavement

Departments may purchase flowers, plants, cards, or mementos using University funds up to \$100 for the death of a current employee or [Immediate Family Member](#). In lieu of flowers, a donation may be made to a charitable organization or a purpose designated by the family, provided it is within the same \$100 limit and is appropriately documented.

2.1.3.2 Hospitalization

Departments may purchase flowers/plants using University funds up to \$100 for an employee who is hospitalized.

2.1.3.3 Holiday Events

Departments may purchase gifts using University funds for holiday events. The value of the gift should not exceed \$100 per employee.

2.1.3.4 Recognition Events

Departments may purchase gifts using University funds for employee recognition events. Gifts that do not exceed \$100 are non-taxable to the employee. Gifts valued over \$100 are taxable to the employee and must be reported using the [Taxable Gift and Award process](#).

2.1.4 Best Interest of the University

2.1.4.1 Employee

There may be other special occasions where it is in the best interest of the University to purchase a gift for an employee. In such cases, the value of the gift should not exceed \$100 and should be approved by the appropriate Department Head.

2.1.4.2 Non-Employee

There may be other special occasions where it is in the best interest of the University to send a gift to individuals (e.g., donors, governing board members, students, etc.). In such cases, the value of the gift should be reasonable and appropriate for the occasion and should be approved by the appropriate Dean or Vice President.

It is prohibited for a USU employee to offer gifts or incentives to non-employees to secure special privileges or exemptions for themselves or others.

2.1.5 Other

Gifts given to Immediate Family Members of current employees must be approved by the appropriate Dean or Vice President. The value of the gift is taxable to the employee and must be reported using the [Taxable Gift and Award process](#). See Section 2.2 for taxability.

2.2 Form of Gifts and Awards

[De minimis](#) gifts and awards are non-taxable to the employee when the gift or award is tangible personal property, is given on an occasional basis, and is valued at less than \$100.

Cash, cash equivalents, and non-USU gift cards are taxable to the employee, as defined by the Internal Revenue Service, and must be reported using the [Taxable Gift and Award process](#).

2.3. Unallowable

Gifts for employees' personal life events (e.g., birthdays, showers, weddings, graduations) may not be purchased with University funds. However, the purchase of greeting cards for acknowledgment is allowable.

3311.3 RESPONSIBILITIES

3.1 Transaction Coordinators

Verify that expenditures are consistent with policy requirements and documented.

3.2 Business Managers

Verify that expenditures are allowable and allocable. When a gift/award is taxable, ensure the 'Taxable Gift and Award' process is followed.

3.3 Department Heads

Authorize purchases of gifts and awards to employees.

3.4 Dean or Vice Presidents

Authorize purchases of gifts to non-employees and family members of employees.

3.5 Controller's Office

Monitor compliance with tax reporting requirements.

3311.4 REFERENCES

- [Internal Revenue Service Publication 5137, Fringe Benefit Guide](#)
- [Internal Revenue Service Publication 15-b, Employer's Tax Guide to Fringe Benefits](#)
- [Utah Public Officers' and Employee Ethics Act Section 4](#)

3311.5 RELATED USU POLICIES

- [Policy 1221: Procurement](#)

3311.6 DEFINITIONS

- **De minimis** - A de minimis gift is one for which, considering its value and the frequency with which it is provided, is so small as to make accounting for it unreasonable or impractical. USU has defined de minimis to be \$100 or less.
- **Immediate Family Member** – As defined in Policy 3105 Other Leave.

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

- [Direct Payments](#)
- [Gift Cards](#)

Related Forms and Tools

- [Taxable Gift and Award](#) form in ServiceNow

Contacts

- [Controller's Office](#)

POLICY HISTORY

Original issue date: 2006/08/15

Last review date: 2026/MM/DD

Next scheduled review date: 2029/06/01

Previous revision dates: 2025/11/07, 2024/11/01, 2018/07/11, 2006/08/15

University Policy 3311: Employee Gifts and Awards

Category: Human Resources

Subcategory: Employment

Covered Individuals: All Employees

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Controller's Office, Controller

Last Revised: ~~2025/11/07~~ 2026/MM/DD

Previous USU Policy Number: 505

3311.1 PURPOSE AND SCOPE

The University understands the importance of creating and encouraging a supportive work environment. As such, departments may recognize employees with occasional gifts and awards. This policy provides guidelines regarding the value and type of gifts or awards that may be given to employees and the characteristics that make them non-taxable or taxable.

3311.2 POLICY

Department heads may authorize the purchase of gifts and awards to employees using University funds to acknowledge years of service, retirement, and other special occasions. Depending on the frequency, value, and form, gifts to employees are classified as non-taxable or taxable.

2.1 Events and Occasions

2.1.1 Length of Service

Employees may receive gifts and service awards to recognize length of service, which should be accompanied by a meaningful recognition event. The value of the gift should consider the number of years of service and should be given only after the employee has achieved at least five years of service.

2.1.2 Retirement/Separation

Employees may receive retirement/separation gifts to recognize their service to the University, which should be accompanied by a meaningful retirement/separation event. Gifts that do not exceed \$400 are non-taxable to the employee. For gifts valued over \$400, the amount exceeding \$400 is considered taxable to the employee and must be reported using the Taxable Gift and Award form in Service Now.

2.1.3 Other Special Occasions

2.1.3.1 Bereavement

Departments may purchase flowers, plants, cards, or mementos using University funds up to \$100 for the death of a current employee or ~~immediate fFamily Mmember~~. In lieu of flowers, a donation may be made to a charitable organization or a purpose designated by the family, provided it is within the same \$100 limit and is appropriately documented.

2.1.3.2 Hospitalization

Departments may purchase flowers/plants using University funds up to \$100 for an employee ~~that~~who is hospitalized.

2.1.3.3 Holiday Events

Departments may purchase gifts using University funds for holiday events. The value of the gift should not exceed \$100 per employee.

2.1.3.4 Recognition Events

Departments may purchase gifts using University funds for employee recognition events. Gifts that do not exceed \$100 are non-taxable to the employee. Gifts valued over \$100 are taxable to the employee and must be reported using the [Taxable Gift and Award process](#). ~~Taxable Gift and Award form in Service Now.~~

2.1.4 Best Interest of the University

2.1.4.1 Employee

There may be other special occasions where it is in the best interest of the University to purchase a gift for an employee. In such cases, the value of the gift should not exceed \$100 and should be approved by the appropriate Department Head.

2.1.4.2 Non-Employee

There may be other special occasions where it is in the best interest of the University to send a gift to individuals (e.g. donors, governing board members, [students](#) etc.). In such cases, the value of the gift should [be reasonable and appropriate for the occasion](#) ~~not exceed \$100~~ and should be approved by the appropriate Dean or Vice President.

[It is prohibited for a USU employee to offer gifts or incentives to non-employees to secure special privileges or exemptions for themselves or others.](#)

2.1.5 Other

Gifts given to ~~l~~immEDIATE ~~F~~family ~~M~~members of current employees must be approved by the appropriate Dean or Vice President. The value of the gift is taxable to the employee ~~-~~ and must be reported using the [Taxable Gift and Award process](#). [See Section 2.2 for taxability.](#) ~~Taxable Gift and Award form in Service Now.~~

2.2 Form of Gifts and Awards

[De minimis](#) gifts and awards are non-taxable to the employee when the gift or award [is tangible personal property, is given on an occasional basis, and is valued at less than \\$100.](#) ~~does not exceed \$100, is given on an occasional basis, and is tangible personal property (gift may not be in the form of cash, cash equivalent, or non-USU gift card).~~

Cash, cash equivalents, and non-USU gift cards are taxable to the employee, as defined by the Internal Revenue Service, and must be reported using the [Taxable Gift and Award process](#). ~~Taxable Gift and Award form in Service Now~~

2.3. Unallowable

Gifts for employee~~'s'~~ personal life events (e.g., birthdays, showers, weddings, graduations) may not be purchased with University funds. However, the purchase of greeting cards for acknowledgement is allowable.

3311.3 RESPONSIBILITIES

3.1 Transaction Coordinators

Verify that expenditures are consistent with policy requirements and documented.

3.2 Business Managers

Verify that expenditures are allowable and allocable. When a gift/award is taxable, ensure the 'Taxable Gift and Award' process is followed ~~form is submitted in ServiceNow.~~

3.3 Department Heads

Authorize purchases of gifts and awards to employees.

3.4 Dean or Vice Presidents

Authorize purchases of gifts to non-employees and family members of employees.

3.5 Controller's Office

Monitor compliance with tax reporting requirements.

3311.4 REFERENCES

- [Internal Revenue Service Publication 5137, Fringe Benefit Guide](#)
- [Internal Revenue Service Publication 15-b, Employer's Tax Guide to Fringe Benefits](#)
- [Utah Public Officers' and Employee Ethics Act Section 4](#)

3311.5 RELATED USU POLICIES

- [Policy 1221: Procurement](#)

3311.~~5~~6 DEFINITIONS

- **De minimis** - A de minimis gift is one for which, considering its value and the frequency with which it is provided, is so small as to make accounting for it unreasonable or impractical. USU has defined de minimis to be \$100 or less.
- **Immediate Family Member** – As defined in Policy 3105 Other Leave.

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

- [Direct Payments](#)
- [Gift Cards](#)

Related Forms and Tools

- [Taxable Gift and Award](#) form in ServiceNow

Contacts

- [Controller's Office](#)

POLICY HISTORY

Original issue date: 2006/08/15 Last review date: ~~2025/11/07~~ [2026/MM/DD](#)

Next scheduled review date: ~~2027/11/1~~ [2029/06/01](#)

Previous revision dates: 2025/11/07, 2024/11/01, 2018/07/11, 2006/08/15

University Policy 3311: Employee Gifts and Awards

Category: Human Resources

Subcategory: Employment

Covered Individuals: All Employees

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Controller's Office, Controller

Last Revised: 2025/11/07

Previous USU Policy Number: 505

3311.1 PURPOSE AND SCOPE

The University understands the importance of creating and encouraging a supportive work environment. As such, departments may recognize employees with occasional gifts and awards. This policy provides guidelines regarding the value and type of gifts or awards that may be given to employees and the characteristics that make them non-taxable or taxable.

3311.2 POLICY

Department heads may authorize the purchase of gifts and awards to employees using University funds to acknowledge years of service, retirement, and other special occasions. Depending on the frequency, value, and form, gifts to employees are classified as non-taxable or taxable.

2.1 Events and Occasions

2.1.1 Length of Service

Employees may receive gifts and service awards to recognize length of service, which should be accompanied by a meaningful recognition event. The value of the gift should consider the number of years of service and should be given only after the employee has achieved at least five years of service.

2.1.2 Retirement/Separation

Employees may receive retirement/separation gifts to recognize their service to the University, which should be accompanied by a meaningful retirement/separation event. Gifts that do not exceed \$400 are non-taxable to the employee. For gifts valued over \$400, the amount exceeding \$400 is considered taxable to the employee and must be reported using the Taxable Gift and Award form in Service Now.

2.1.3 Other Special Occasions

2.1.3.1 Bereavement

Departments may purchase flowers, plants, cards, or mementos using University funds up to \$100 for the death of a current employee or [immediate family member](#). In lieu of flowers, a donation may be made to a charitable organization or a purpose designated by the family, provided it is within the same \$100 limit and is appropriately documented.

2.1.3.2 Hospitalization

Departments may purchase flowers/plants using University funds up to \$100 for an employee that is hospitalized.

2.1.3.3 Holiday Events

Departments may purchase gifts using University funds for holiday events. The value of the gift should not exceed \$100 per employee.

2.1.3.4 Recognition Events

Departments may purchase gifts using University funds for employee recognition events. Gifts that do not exceed \$100 are non-taxable to the employee. Gifts valued over \$100 are taxable to the employee and must be reported using the Taxable Gift and Award form in Service Now.

2.1.4 Best Interest of the University

2.1.4.1 Employee

There may be other special occasions where it is in the best interest of the University to purchase a gift for an employee. In such cases, the value of the gift should not exceed \$100 and should be approved by the appropriate Department Head.

2.1.4.2 Non-Employee

There may be other special occasions where it is in the best interest of the University to send a gift to individuals (e.g. donors, governing board members, etc.). In such cases, the value of the gift should not exceed \$100 and should be approved by the appropriate Dean or Vice President.

2.1.5 Other

Gifts given to family members of current employees must be approved by the appropriate Dean or Vice President. The value of the gift is taxable to the employee and must be reported using the Taxable Gift and Award form in Service Now.

2.2 Form of Gifts and Awards

De minimis gifts and awards are non-taxable to the employee when the gift or award does not exceed \$100, is given on an occasional basis, and is tangible personal property (gift may not be in the form of cash, cash equivalent, or non-USU gift card).

Cash, cash equivalents, and non-USU gift cards are taxable to the employee, as defined by the Internal Revenue Service, and must be reported using the Taxable Gift and Award form in Service Now

2.3. Unallowable

Gifts for employee's personal life events (e.g., birthdays, showers, weddings, graduations) may not be purchased with University funds. However, the purchase of greeting cards for acknowledgement is allowable.

3311.3 RESPONSIBILITIES

3.1 Transaction Coordinators

Verify that expenditures are consistent with policy requirements and documented.

3.2 Business Managers

Verify that expenditures are allowable and allocable. When gift/award is taxable, ensure 'Taxable Gift and Award' form is submitted in ServiceNow.

3.3 Department Heads

Authorize purchases of gifts and awards to employees.

3.4 Dean or Vice Presidents

Authorize purchases of gifts to non-employees and family members of employees.

3.5 Controller's Office

Monitor compliance with tax reporting requirements.

3311.4 REFERENCES

- [Internal Revenue Service Publication 5137, Fringe Benefit Guide](#)
- [Internal Revenue Service Publication 15-b, Employer's Tax Guide to Fringe Benefits](#)

3311.5 DEFINITIONS

- **De minimis** - A de minimis gift is one for which, considering its value and the frequency with which it is provided, is so small as to make accounting for it unreasonable or impractical. USU has defined de minimis to be \$100 or less.
- **Immediate Family Member** – As defined in Policy 3105 Other Leave.

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

- [Direct Payments](#)
- [Gift Cards](#)

Related Forms and Tools

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Contacts

- [Controller's Office](#)

POLICY HISTORY

Original issue date: 2006/08/15

Last review date: 2025/11/07

Next scheduled review date: 2027/11/1

Previous revision dates: 2024/11/01, 2018/07/11, 2006/08/15



*Tessa White, Chair | Gina Gagon, Vice Chair
Ryan Dent | Brett Hugie | David H. Huntsman
Luke Johnson | Kacie Malouf | David A. Petersen
Jacey Skinner | Max Alder | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Chris Corcoran, Provost & Executive Vice President
CC: Paul J. Barr, Executive Vice Provost
DATE: August 7, 2026
RE: Revised USU Policy 4000: Composition & Authority of the Faculty

BACKGROUND: USU Policy 4000: Composition & Authority of the Faculty describes the structure and jurisdiction of our academic community, specifically the faculty. Key revisions include:

- Four Distinct Faculty Categories: (1) tenured or tenure-eligible; (2) professional appointments; (3) limited appointments; and (4) emeriti appointments
- Minimum FTE Requirements: Appointments for both tenured/tenure-eligible and professional faculty categories cannot be made for less than 0.5 FTE
- Defining “academic units” and “academic departments”
- Establishing eight specific professional ranks, including Lecturer, Clinical, Research, Federal Cooperator, Federal Research, Professional Practice, State Cooperator, and Professional Practice Extension
- Formalizing the faculty's appellate power to review, modify, or repeal Faculty Senate actions through special meetings and establishes a quorum for binding votes

Section 2.8 has been revised to comply with the requirements of Utah Code § 53H-3-303, including:

- Language to specify that, in the event of a conflict between Policy 4000 and Utah law or UBHE regulations, state law and UBHE regulations will supersede the policy
- A distinction between the faculty's Statutory Authority over academic requirements and course curriculum, and the faculty's Institutional Authority (granted by the President) to participate in program modifications and faculty status matters like tenure and promotion, among other things

In revising Section 2.8, the Faculty Code Policy Development Committee considered principles promulgated by the American Association of University Professors regarding authority of faculty and benchmarked other Utah institutions' policies. Faculty were invited to provide comments and feedback during two different public comment periods. The comments and insights were carefully considered by the Faculty Code Policy Development Committee and have been instrumental in shaping this policy.

ACTION: USU Policy 4000: Composition and Authority of the Faculty has been developed by the processes outlined in USU Policy 1001: University Policy System. The University Leadership Council approved this policy during the May 13, 2026, meeting. The President and Provost recommend that the Board of Trustees approve the revisions to USU Policy 4000: Composition and Authority of the Faculty

ATTACHMENTS: Policy 4000: Composition & Authority of the Faculty (revisions)
Policy 4000: Composition & Authority of the Faculty (red-lined version)
Policy 4000: Composition & Authority of the Faculty (current version)



University Policy 4000: Composition and Authority of the Faculty

Category: Academic Affairs

Subcategory: Faculty Code

Covered Individuals: Faculty

Responsible Executive: President

Policy Custodian: Provost and Executive Vice President

Last Revised: 2026/MM/DD

Previous USU Policy Number: 401

4000.1 PURPOSE AND SCOPE

This policy explains the composition and authority of the University's faculty (the "Faculty"), including a description of ranks. It also describes certain general principles governing faculty and calling of faculty meetings.

4000.2 POLICY

2.1 Faculty Membership

Utah State University is an institution of higher education composed of multiple, geographically dispersed campuses, Extension offices, and other locations, each of which employs faculty. The Faculty is comprised of the President, the Provost, academic deans, and other members of the tenured and tenure-eligible faculty, faculty with professional appointments, faculty with limited appointments, and emeriti faculty as defined herein. All appointed faculty, without regard to which location they are assigned, are members of the Utah State University faculty.

While Faculty are afforded certain rights and responsibilities by nature of their Faculty status (see e.g., USU Policy 4001: The Faculty Senate and Its Committees; USU Policy 4002: Academic Freedom and Professional Responsibility; USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention, and USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures, etc.), they are employees of the University, and as such, are subject to and expected to comply with broader University policies, procedures, and state and federal law governing employment.

2.2 Definitions

2.2.1 Faculty Defined; Faculty Categories

The terms "Faculty" and "Faculty Members" mean University employees, as described under Policy 4000, that are 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, librarianship, service, community engagement, and other methods.

Faculty members receive appointments in one of the following four separate categories: (1) tenured or

tenure-eligible appointments, (2) professional appointments without eligibility for tenure, (3) limited appointments without eligibility for tenure, and (4) emeriti appointments.

2.2.2 Academic Units and Academic Departments Defined

An “academic unit” is a group of faculty with teaching, research, extension, or other academic functions and is led by a dean or vice president (or department head in the case of academic departments). 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, ratification of the Faculty Senate, and approval of the President, the Board of Trustees and notification of the Utah Board of Higher Education.

An “academic department” (a type of academic unit) is a group of faculty with teaching and/or research responsibilities, led by a department head. 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; and (d) be designated an academic department by decision of the Educational Policies Committee, ratification of the Faculty Senate, and approval of the President, the Board of Trustees and notification of the Utah Board of Higher Education. In 4000-level policies, the terms “academic department” and “department” are synonymous.

All academic departments are academic units. The Library and Extension are academic units, not academic departments.

The term “school” has been used in different ways at the University. In most cases, a “school” is the equivalent of an “academic department.” An exception is the Jon M. Huntsman School of Business, which is the equivalent of a “college.”

2.3 The Tenured and Tenure-Eligible Faculty

2.3.1 Description and Eligibility

Tenured and tenure-eligible faculty are individuals appointed to carry out the University's scholarly and educational functions and who have been or may be granted permanent status (See USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion and Retention). Tenured and tenure-eligible faculty receive their appointments within their respective academic unit. All faculty in this category either hold tenure or have entered 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: Professorial Faculty

Tenured and tenure-eligible faculty members appointed to an academic department hold one of the following professorial ranks: Instructor, Assistant Professor, Associate Professor, or Professor. See USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention and USU Policy 4003 Faculty 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 USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention and USU Policy 4003 Faculty Appointments, for a 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 USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention and USU Policy 4003: Faculty Appointments for a detailed discussion of the criteria for appointment or promotion for these ranks.

2.3.5 Exceptions

Under extraordinary circumstances, exceptions to USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention may be made to the qualifications for appointment to the various tenure-eligible academic ranks in order to fulfill the mission of the University. Such exceptions require a petition to and approval by the Provost and must specify a time period by which the appointed Faculty Member(s) will satisfy the usual qualifications for appointment.

2.4 Faculty with Professional Appointments

2.4.1 Description and Appointment Requirements

Faculty with professional appointments are 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.

Professional appointments are for one academic or fiscal year in duration and are automatically renewed based on: (1) satisfactory performance (See USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention, and USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures) and (2) availability of funding (See USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures). Notice of non-renewal of any professional appointment must be provided in accordance with USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures. Faculty members who hold a professional appointment have no claim to a de facto permanent appointment based on length of service. Professional appointments are established only in an academic unit.

Appointments for less than one academic or calendar year constitute appointment to the temporary, not professional appointment ranks (See Section 2.5.2.3). Professional faculty appointments will not be made for less than 0.5 FTE.

2.4.2 Academic Ranks

The academic ranks for faculty with professional appointments are (1) Lecturer, (2) Clinical, (3) Research, (4) Federal Cooperator, (5) Federal Research, (6) Professional Practice, (7) State Cooperator, and (8) Professional Practice Extension, each of which is described in detail below.

2.4.2.1 Lecturer Ranks

Faculty members whose primary function is to teach will hold one of the following ranks: Lecturer, Senior Lecturer, or Principal Lecturer. Lecturers are uniquely qualified for their appointment through educational attainment.

2.4.2.2 Clinical Ranks

Faculty members who supervise students in clinical practicum, residency, and intern programs and/or have responsibility for clinical practice or service will hold one of the following ranks: Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, or Clinical Professor.

2.4.2.3 Research Ranks

Faculty members whose primary function is research and whose source of funding is primarily extramural will hold one of the following ranks: Research Assistant Professor, Research Associate Professor, or Research Professor. Appointment to any research rank 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 professorial 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) will hold one of the following ranks: Instructor (FC), Assistant Professor (FC), Associate Professor (FC), or Professor (FC). 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) will hold one of the following ranks: Assistant Professor (FR), Associate Professor (FR), or Professor (FR). 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, research, or other responsibilities based on their professional experience will hold one of the following ranks: Professional Practice Instructor, Professional Practice Assistant Professor, Professional Practice Associate Professor, or Professional Practice Professor.

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 professorial faculty, and who serve as faculty under cooperative agreements between the University and state government (e.g., Utah Department of Natural Resources) will hold one of the following ranks: Instructor (SC), Assistant Professor (SC), Associate Professor (SC), or Professor (SC). 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 extension arena outside of academe, who contribute to an academic program by extension, teaching, mentoring, advising, service, research, or other responsibilities based on their professional experience will hold one of the following ranks: Professional Practice Extension Instructor, Professional Practice Extension Assistant Professor, Professional Practice Extension Associate Professor, or Professional Practice Extension Professor.

2.4.3 Limitations on Faculty with Professional Appointments

2.4.3.1 No Tenure

Faculty with professional 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

Faculty with professional appointments generally cannot change status from professional appointment faculty to faculty with tenure or tenure-eligibility. A change in faculty status may be granted under exceptional circumstances. The faculty member must have been originally appointed through a competitive search process and must demonstrate a sustained record of success in their current faculty role. Any proposed change in status must originate from the department head or supervisor, require input and support from the department faculty, and must be accompanied by a recommendation from the dean. Final approval of the change in status rests with the Provost.

Faculty with professional appointments may also apply for a tenure or tenure-eligible position as part of

an external search process.

2.4.3.3 *Leave*

Faculty with professional appointments are not eligible for sabbatical leave, but may be granted professional leave under appropriate conditions, as determined by the department head or supervisor.

2.4.3.4 *Professional Faculty Participation*

Faculty with professional appointments are eligible to (1) be elected to and vote as a member of the Faculty Senate; (2) participate and vote in department decisions unless limited by department policy; (3) serve as members of faculty committees, except for a Tenure Advisory Committee, Promotion Advisory Committee of tenured faculty, or as otherwise limited by code.

2.5 **Limited Faculty Appointments**

2.5.1 **Description and Appointment Requirements**

Faculty with limited appointments are individuals whose appointments confer a defined 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 limited appointments must possess qualifications and experience commensurate with those required for tenured and/or tenure-eligible or professional appointment faculty. Proposed limited appointments require consultation with the department faculty and approval from the department head, the dean, and the Provost. Periodic performance reviews of faculty members with limited appointments may be conducted. Faculty members with limited appointments are not eligible for tenure. Limited appointments may be removed at any time based on the recommendation of the department head and dean.

2.5.2 **Academic Ranks**

The academic ranks for the faculty with limited appointments are: (1) Adjunct; (2) Visiting; and (3) Temporary, each of which is described in detail below.

2.5.2.1 *Adjunct Ranks*

Individuals from a different department, institution, or organization, or with other professional expertise, can be appointed as adjunct faculty. The term “adjunct” may precede any faculty title in the tenure and professional appointment ranks. Adjunct appointments cannot exceed 50 percent time.

2.5.2.2 *Visiting Ranks*

Faculty members from another academic institution who are professionally interested in collaborating with or engaging in opportunities at USU for one or more semesters may be appointed as visiting faculty. The term “visiting” may precede any faculty title in the tenure and professional appointment ranks.

2.5.2.3 *Temporary Ranks*

Academic units may appoint faculty on a temporary basis. The temporary nature and duration of any such position must be clearly specified in the offer letter at the time of appointment. A temporary appointment is typically for one academic year and may be renewed up to two times. An exception may be made for a long-term international assignment. Temporary appointments will not be used as long-term strategies for accomplishing the duties of academic departments or academic units. The term “temporary” may precede any faculty title in the tenure and professional appointment ranks.

2.5.3 **Limitations on Faculty with Limited Appointments**

2.5.3.1 No Tenure Eligibility

Faculty members with limited appointments are ineligible for tenure.

2.5.3.2 Limited Appointment Faculty Participation

Faculty members holding adjunct, visiting, or temporary positions may (1) participate in the processes of setting policy within their departments only to the extent determined by their appointing departments; and (2) serve as members of faculty committees, with the exception of a Tenure Advisory, Promotion Advisory, Faculty Search Committee, or as otherwise limited by code. They may not be counted among the number of faculty members for purposes of apportioning the Faculty Senate members and may not be elected to and vote as members of the Faculty Senate.

2.6 List of Current Faculty

Each year, the University will publish lists of all current faculty in a readily accessible electronic format, stating each faculty member's category and the academic unit to which they are appointed.

2.7 Emeriti Faculty

At the time of retirement, a faculty member may be awarded the honorary rank of Emeritus/Emerita Faculty. Faculty members must apply for emeriti status. Emeriti applications shall be reviewed and approved by the department head, the dean, and the Provost, and are subject to final approval of the President.

Emeriti faculty members may continue to serve on existing tenure advisory, promotion advisory, and graduate student committees with the approval of the department head or supervisor. Emeriti faculty may continue to serve as Principal Investigators at the recommendation of the department head and approval of the dean. Emeriti faculty may be permitted to use department resources at the recommendation of the department head and with the approval of the dean. Emeriti faculty do not have voting rights at the University, with the exception of service on the above-mentioned committees.

Emeriti status is a privilege. Emeriti status, or any of the benefits associated with emeriti status, may be revoked at the discretion of the President. Emeriti faculty are not entitled to the process and procedures outlined in USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures. A list of emeriti faculty will be published annually by the Office of the Provost.

2.8 Authority of the Faculty

2.8.1 Policy Statement

2.8.1.1 American Association of University Professors Principles

The authority of faculty at USU may reflect principles promulgated by the American Association of University Professors while also complying with Utah law and Utah Board of Higher Education (UBHE) policies. The authority of the faculty and of the Faculty Senate is based on Utah law, UBHE regulations, and university regulations. In the event that language in this Policy conflicts with Utah law or UBHE regulations, such language will have no effect and will be superseded by Utah law and UBHE regulations.

2.8.1.2 Rights and Responsibilities in University Governance

Faculty members have the right and responsibility to participate in the governance of the University in accordance with Utah law, Utah Board of Higher Education policies, and University policies.

Methods for faculty participation in University governance should be established wherever faculty responsibility is statutorily or institutionally approved, as set forth below. This is most often achieved through the Faculty Senate (see Section 2.8.2), but may also include other methods, such as faculty

engagement within academic units.

2.8.1.3 Statutory Authority – Academic Requirements and Course Curriculum

Pursuant to Utah law, the faculty has primary jurisdiction in the following areas:

1. Academic requirements for admission, degrees, and certificates. This includes setting the requirements for degrees/certificates offered, determining when the requirements have been met, and recommending to the President that a degree/certificate be granted; and
2. Course curriculum and instruction.

2.8.1.4 Institutional Authority – Additional Academic-Related Matters

Pursuant to Utah law, and recognizing the importance of faculty involvement and expertise, the President expressly authorizes the faculty, subject to approval as required by Utah law, UBHE policy, and University policy, to:

1. Develop, create, and endorse new curricula, new courses of study, program assessment/modification, and/or program discontinuation, including stewardship of related proposals through any review process;
2. Develop and recommend academic policy which relates to the educational process;
3. Develop and recommend policy related to curricular matters between and among academic units;
4. Meaningfully participate in faculty status and related matters, such as appointments, reappointments, non-renewals of appointments, dismissals for academic reasons, promotions, and the granting of tenure;
5. Evaluate the work of their colleagues, recognizing that scholars in a particular field or activity are best positioned to judge work relevant to their field or activity;
6. Receive and consider reports from any council, department, division, administrative officer, library, college, or faculty committee and make recommendations to the President regarding academic and faculty matters; and
7. Respond to requests for advice on matters referred by the University President.

2.8.2 Faculty and Administration Communication

Suggested means of communication among the faculty and University administrators are (a) circulation of memoranda and reports; (b) joint ad hoc committees; (c) standing liaison committees; and (d) membership of faculty members on administrative councils, committees, and other bodies.

2.8.3 Delegation of Authority of the Faculty

The authority of the faculty, as outlined in this Section, is generally delegated to the Faculty Senate (see USU Policy 4001: The Faculty Senate and Its Committees).

2.8.4 Authority of the Faculty to Review and to Modify Faculty Senate Actions

Faculty who are eligible to vote in Faculty Senate elections will have the appellate power to review Faculty Senate actions by means of a special meeting. Upon the written petition of 10% of these faculty, or upon the written request of twenty-five Faculty 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, who serves as chair of the faculty. The University President must call a meeting consistent with the requirements of Section 2.9 below.

2.9 Meetings of the University Faculty

This section refers to meetings of the university faculty as a whole, which are separate from Faculty Senate meetings.

2.9.1 Calling Meetings

Upon receipt by the University President of a written request or a written petition under Section 2.8.3, the University 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.

The University President may call a faculty meeting for reasons other than those described in Sections 2.8.3 and 2.9.1.

2.9.2 Notice

Faculty must receive notice of the aforementioned meetings and the agenda a minimum of five days before the meeting unless the University President waives the notice requirement on the grounds of emergency.

2.9.3 Quorum

In cases where a binding vote is desired, a quorum must be present. Fifty percent of faculty eligible to vote in Faculty Senate elections plus one will constitute a quorum. A quorum being present, all actions will be by majority vote of those in attendance with voting power. Meeting procedures will be in accordance with Robert's Rules of Order.

2.9.4 Chair and Secretary of the University Faculty

The University President (and in the president's absence, the Executive Vice President and Provost) is the chair of the faculty and presides over all faculty meetings. The University President will appoint a faculty secretary (the "Secretary"). The Secretary will record all actions of the faculty when it meets and will preserve the records in a form convenient for reference.

2.10 Committees of the University Faculty

Faculty committees may be appointed at any time to advise on the work of the University and report back to the appropriate appointing body.

4000.3 REFERENCES

- [Utah Code § 53H-3-303](#)
- [Utah Board of Higher Education R223](#), Faculty and Staff Participation in Institutional Boards of Trustees Meetings

4000.4 RELATED USU POLICIES

- [Policy 4001: The Faculty Senate and Its Committees](#)
- [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.

RESOURCES

Contacts

- [Faculty Senate Website](#)
- [Executive Secretary: Michele Hillard](#)

POLICY HISTORY

Original issue date: 1997/07/01

Last review date: 2026/MM/DD

Next scheduled review date: 2029/05/01

Previous revision dates: 1999/07/01, 2009/03/06, 2010/08/13, 2011/07/08, 2016/03/04, 2019/01/11, 2020/01/10, 2020/05/2020, 2021/09/01

University Policy 4000: Composition and Authority of the Faculty

Category: Academic Affairs

~~Sub-Category~~ Subcategory: Faculty Code

Covered Individuals: ~~University~~ Faculty

Responsible Executive: President

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

Last Revised: ~~2021/09/01~~ 2026/MM/DD

Previous USU Policy Number: 401

4000.1 PURPOSE AND SCOPE

This policy explains the composition and authority of the University's faculty, ~~(the "Faculty")~~, including a description of ~~all~~ ranks. It also describes certain general principles governing ~~principles, faculty~~ and calling of faculty meetings.

4000.2 POLICY

2.1 Faculty Membership

Utah State University is an institution of higher education ~~comprising~~ composed of multiple, geographically dispersed campuses, Extension offices, and other locations, each of which employs faculty. The Faculty ~~consists~~ is comprised of the President, the Provost, academic deans, and other members of the tenured and tenure-eligible faculty, faculty with ~~term~~ professional appointments, faculty with ~~special~~ limited appointments, and emeritus faculty as defined herein. All appointed faculty, without regard to which ~~campus~~ location they are assigned, are members of the Utah State University faculty.

While Faculty are afforded certain rights and responsibilities by nature of their Faculty status (see e.g., USU Policy 4001: The Faculty Senate and Its Committees; USU Policy 4002: Academic Freedom and Professional Responsibility; USU Policy 4004: Tenured and Term Appointments: Evaluation, Promotion, and Retention, and USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures, etc.), they are employees of the University, and as such, are subject to and expected to comply with broader University policies, procedures, and state and federal law governing employment.

2.2 Definitions

2.2.1 Faculty Defined; Faculty Categories

The terms "Faculty" and "Faculty Members" ~~designate~~ mean University employees, as described under Policy 4000, that are 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, librarianship, service, community engagement, and other methods.

Faculty members receive appointments in one of the following four separate categories: (1) tenured or tenure-eligible appointments; (2) ~~term~~[professional](#) appointments without eligibility for tenure; (3) ~~special~~[limited](#) appointments without eligibility for tenure; and (4) emerit~~us~~[i](#) appointments.

~~2.2.1~~[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, [extension](#), or other academic ~~mission~~[functions](#) and is led by [a dean or vice president \(or department head in the case of academic departments\)](#). 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 approval of~~ the President, the Board of Trustees and [notification of the Utah Board of Regents Higher Education](#).

An "academic department" ([a type of academic unit](#)) is a group of faculty with ~~an identifiable~~ teaching, ~~and/or~~ research, ~~or other academic mission responsibilities, led by a department head~~. 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; ~~and~~ (d) be designated an academic department by decision of the Educational Policies Committee ~~and~~ ratification of the Faculty Senate, and ~~approved by approval of~~ the President, the Board of Trustees and [notification of the Utah Board of Regents Higher Education](#). [In 4000-level policies, the terms "academic department" and "department" are synonymous.](#)

All academic departments are academic units. ~~Two~~ [The Library and Extension are](#) academic units ~~are~~, not academic departments. ~~These are the Library and Extension.~~

[The term "school" has been used in different ways at the University. In most cases, a "school" is the equivalent of an "academic department." An exception is the Jon M. Huntsman School of Business, which is the equivalent of a "college."](#)

2.3 The Tenured and Tenure-Eligible Faculty

2.3.1 Description and Eligibility

~~The~~ Tenured and tenure-eligible faculty ~~consists of these~~[are](#) individuals appointed to carry out the University's scholarly and educational functions and who have been or may be granted permanent status ([See USU Policy 4004.1.2, Permanence of Appointment Conferred by Tenure](#)). ~~They:~~ [Tenured and Term Appointments: Evaluation, Promotion and Retention](#). Tenured and tenure-eligible faculty receive their appointments within [their respective](#) academic units. All faculty in this category either hold tenure or ~~enter~~[have entered](#) 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~~[Professorial](#) Faculty

Tenured and tenure-eligible faculty members appointed to an academic department ~~are the "core" faculty~~ ~~and~~ hold one of the following [professorial](#) ranks: Instructor, Assistant Professor, Associate Professor, or Professor. See [USU 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~~ ~~and~~ Term Appointments; [Evaluation, Promotion, and Retention and USU Policy 4003 Faculty 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 [USU Policy 4004.3, Tenure: Tenured](#) and [Term Appointments: Evaluation, Promotion: Criteria for Librarians](#), and [Retention and USU 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.](#)

2.3.4 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 [USU Policy 4004.4, Tenure: Tenured](#) and [Term Appointments: Evaluation, Promotion: Criteria for Faculty with Extension Ranks](#), and [Retention and USU 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.

2.3.6-2.3.5 Exceptions

Under extraordinary circumstances, exceptions to [USU Policy 4000.3, The 4004: Tenured and Tenure-Eligible Faculty, Term Appointments: Evaluation, Promotion, and Retention](#) may be made to the qualifications for appointment [into](#) the various [tenure-eligible academic](#) ranks in order to fulfill the mission of the University. [Such](#) exceptions require [a](#) petition to and approval by the [presidentProvost](#) and must specify a time period [for meetingby which](#) the [appointed Faculty Member\(s\) will satisfy the usual qualifications for appointment.](#)

2.4 THE FACULTY WITH TERM APPOINTMENTS

2.4 Faculty with Professional Appointments

2.4.1 Description and Appointment Requirements

~~The~~ Faculty with [termprofessional](#) appointments ~~consists of~~[are](#) 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~~[Professional](#) appointments are for one academic or fiscal year in duration and are automatically renewed based on: (1-) satisfactory performance (~~Policies-See USU Policy 4004.12.1, Annual Review of Faculty; Tenured~~ and ~~4006.6, Non-Renewal~~); [Term Appointments: Evaluation, Promotion, and 2.Retention, and USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures](#)) and (2) availability of funding (~~See USU Policy 4006.6, Non-Renewal~~); [Academic Due Process: Sanctions and Hearing Procedures](#)). Notice of non-renewal [of any professional appointment](#) must be provided in accordance with [USU Policy 4003.1.2.4, Professional Services. The faculty member4006: Academic Due Process: Sanctions and Hearing Procedures. Faculty members](#) who holds a [termprofessional](#)

appointment has ~~no~~ 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~~ Professional appointments are established only in an academic unit.

Appointments for less than one academic or calendar ~~year's duration are made~~ year constitute appointment to the temporary, not ~~term~~ professional appointment; ranks (~~Policy 4000-See Section 2.5.2.3, Temporary Ranks~~). Professional faculty appointments will not be made for less than 0.5 FTE.

2.4.2 Academic Ranks

The academic ranks for ~~the~~ faculty with ~~term~~ professional appointments ~~follow~~ are (1) Lecturer, (2) Clinical, (3) Research, (4) Federal Cooperator, (5) Federal Research, (6) Professional Practice, (7) State Cooperator, and (8) Professional Practice Extension, each of which is described in detail below.

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.~~

Faculty members whose primary function is to teach will hold one of the following ranks: Lecturer, Senior Lecturer, or Principal Lecturer. Lecturers are uniquely qualified for their appointment through educational attainment.

2.4.2.2 Clinical Ranks

~~Faculty members the supervision of~~ who supervise students in clinical practicum, residency, and intern programs ~~may be appointed to~~ and/or have responsibility for clinical practice or service will hold 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 primarily extramural ~~may be appointed to~~ will hold 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~~ any 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~~ professorial 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~~ will hold 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~~will hold 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, research, or other responsibilities based on their professional experience ~~may be appointed to~~will hold 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~~professorial 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~~will hold 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 extension arena outside of academe, who contribute to ~~USU's extension mission~~an academic program by ~~administration~~extension, teaching, mentoring, advising, service, research, or other responsibilities based on their professional experience ~~may be appointed to~~will hold 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~~Professional Appointments

2.4.3.1 No Tenure-

Faculty with ~~term~~professional 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~~ Faculty with professional appointments generally cannot change status from ~~term~~professional appointment faculty to faculty with tenure or tenure-eligibility. A change in faculty status may be granted under exceptional circumstances. The faculty member must have been originally appointed through a competitive search process and must demonstrate a sustained record of success in their current faculty role. Any proposed change in status must originate from the department head or supervisor, require input and support from the department faculty, and must be accompanied by a recommendation from the dean. Final approval of the change in status rests with the Provost. Faculty with professional appointments may also apply for a tenure or tenure-eligible position as part of an external search process.

2.4.3.3 Leave-

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

~~administrator~~ department head or supervisor.

2.4.3.4 ~~Limitations on~~ Professional Faculty Participation-

Faculty with ~~term~~ professional appointments are eligible to (1) be elected to and ~~to vote for members as a member~~ 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; (2) participate in the processes of setting and vote in department decisions unless limited by department policy within their academic units only to the extent determined by their appointing departments, colleges, or other academic units; (b) they may; (3) serve as members of appointed faculty committees and may vote on all matters, except those relating to appointment, retention, tenure, or promotion for a Tenure Advisory Committee, Promotion Advisory Committee 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. faculty, or as otherwise limited by code.~~

2.5 ~~FACULTY WITH SPECIAL~~ Limited Faculty Appointments

2.5.1 Description and Appointment Requirements

~~The~~ Faculty with ~~special~~ limited appointments ~~consists of those are~~ individuals whose appointments confer a ~~limited~~ defined 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~~ limited 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~~ professional appointment faculty. Proposed limited appointments require consultation with the department faculty and approval from the department head, the dean, and the Provost. Periodic performance reviews of faculty members with limited appointments may be conducted. Faculty members with limited appointments are not eligible for tenure. Limited appointments may be removed at any time based on the recommendation of the department head and dean.

~~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 Ranks

The academic ranks for the faculty with ~~special~~ limited appointments ~~follow are: (1) Adjunct Ranks. Faculty members whose association with an academic department; (2) Visiting; and (3) Temporary, each of which is secondary to an appointment within~~ described in detail below.

2.5.2.1 Adjunct Ranks

Individuals from a different department, institution, or organization, or with other ~~personal and~~ professional ~~interests~~ expertise, can be appointed as adjunct faculty. The term “adjunct” may precede any faculty title in the tenure and ~~term~~ professional appointment ranks. Adjunct appointments ~~are made for less than~~ cannot exceed 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 who are professionally interested in collaborating with or engaging in opportunities at USU for one or more semesters may be~~ appointed ~~to one of the following ranks: as~~ visiting instructor, visiting assistant professor, visiting associate professor, or visiting

~~professor, faculty.~~ The term “~~temporary~~visiting” may precede ~~all any faculty title in the~~ tenure-eligible academic ranks. ~~In extraordinary circumstances,~~ and professional appointment ranks.

2.5.2.3 Temporary Ranks

Academic units may fill~~appoint~~ faculty ~~appointments~~ on a temporary basis. The temporary nature and ~~the~~ length~~duration~~ of the ~~term of any~~ such a position must be clearly specified in advance. ~~The term cannot exceed the offer letter at the time of appointment. A temporary appointment is typically for one academic year and is renewable may be renewed up to an additional two years times.~~ An exception may be made for a long-term international assignment. Temporary appointments ~~shall~~will not be used as long-term strategies for accomplishing the duties of academic departments or academic units. The term “temporary” may precede any faculty title in the tenure and professional appointment ranks.

~~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~~Limited Appointments

2.5.3.1 No Tenure Eligibility

~~-~~Faculty members with ~~special~~limited appointments are ineligible for tenure.

2.5.3.2 Limitations ~~on Appointment~~ Faculty ~~P~~participation.

~~The participation of~~ Faculty members holding adjunct, visiting, or temporary, ~~or visiting~~ positions ~~is subject to the following limitations: (a) they may~~may (1) 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; and (2) serve as members of faculty committees, with the exception of a Tenure Advisory, Promotion Advisory, Faculty Search Committee, or as otherwise limited by code. They may not be counted among the number of faculty members for purposes of apportioning the Faculty Senate members and may not be elected to and vote as members of the Faculty Senate. (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~~

2.6 List of Current Faculty

Each year, the University ~~shall~~will publish ~~a list~~lists of all current faculty in ~~an~~ a readily accessible electronic format ~~that is readily accessible, which states the, stating each~~ faculty member's category

and the academic unit to which they are appointed.

2.7 Emeriti Faculty

At the time of retirement, a faculty member may be awarded the honorary rank of Emeritus/Emerita Faculty. Faculty members must apply for emeriti status. Emeriti applications shall be reviewed and approved by the department head, the dean, and the Provost, and are subject to final approval of the President.

Emeriti faculty members may continue to serve on existing tenure advisory, promotion advisory, and graduate student committees with the approval of the department head or supervisor. Emeriti faculty may continue to serve as Principal Investigators at the recommendation of the department head and approval of the dean. Emeriti faculty may be permitted to use department resources at the recommendation of the department head and with the approval of the dean. Emeriti faculty do not have voting rights at the University, with the exception of service on the above-mentioned committees.

Emeriti status is a privilege. Emeriti status, or any of the benefits associated with emeriti status, may be revoked at the discretion of the President. Emeriti faculty are not entitled to the process and procedures outlined in USU Policy 4006: Academic Due Process: Sanctions and Hearing Procedures. A list of emeriti faculty will be published annually by the Office of the Provost.

2.62.8 Authority of the Faculty

2.8.1 Policy Statement

2.8.1.1 American Association of University Professors ~~Joint Statement~~ Principles

~~Although this policy statement~~ The authority of faculty at USU may ~~contain some provisions that are the same or similar to certain~~ reflect principles promulgated by the American Association of University Professors (AAUP), ~~this policy statement is not intended to incorporate AAUP principles while also complying with Utah law and interpretations, and any such incorporation by reference is expressly disclaimed.~~ Utah Board of Higher Education (UBHE) policies. The authority of the faculty and of the Faculty Senate is based on Utah law, UBHE regulations, and university regulations. In the event that language in this Policy conflicts with Utah law or UBHE regulations, such language will have no effect and will be superseded by Utah law and UBHE regulations.

2.8.1.2 ~~Faculty Rights and Responsibilities for Educational Process in University Governance~~

~~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.~~

Faculty members have the right and responsibility to participate in the governance of the University in accordance with Utah law, Utah Board of Higher Education policies, and University policies.

Methods for faculty participation in University governance should be established wherever faculty responsibility is statutorily or institutionally approved, as set forth below. This is most often achieved through the Faculty Senate (see Section 2.8.2), but may also include other methods, such as faculty engagement within academic units.

2.8.1.3 ~~Faculty Status and Related Matters~~ – Statutory Authority – Academic Requirements and Course Curriculum

~~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.~~

Pursuant to Utah law, the faculty has primary jurisdiction in the following areas:

1. Academic requirements for admission, degrees, and certificates. This includes setting the requirements for degrees/certificates offered, determining when the requirements have been met, and recommending to the President that a degree/certificate be granted; and
- 4.2. Course curriculum and instruction.

~~2.8.1.4 Collegial Governance of the University~~Institutional Authority – Additional Academic-Related Matters

~~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.~~

Pursuant to Utah law, and recognizing the importance of faculty involvement and expertise, the President expressly authorizes the faculty, subject to approval as required by Utah law, UBHE policy, and University policy, to:

1. Develop, create, and endorse new curricula, new courses of study, program assessment/modification, and/or program discontinuation, including stewardship of related proposals through any review process;
2. Develop and recommend academic policy which relates to the educational process;
- 4.3. Develop and recommend policy related to curricular matters between and among academic units;
4. Meaningfully participate in faculty status and related matters, such as appointments, reappointments, non-renewals of appointments, dismissals for academic reasons, promotions, and the granting of tenure;
5. Evaluate the work of their colleagues, recognizing that scholars in a particular field or activity are best positioned to judge work relevant to their field or activity;
6. Receive and consider reports from any council, department, division, administrative officer, library, college, or faculty committee and make recommendations to the President regarding academic and faculty matters; and
7. Respond to requests for advice on matters referred by the University President.

2.8.2 Faculty and Administration Communications

Suggested means of communication among the faculty and 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 **2.8.3 Delegation of 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.~~

The authority of the faculty, as outlined in this Section, is generally delegated to the Faculty Senate (see USU Policy 4001: The Faculty Senate and Its Committees).

2.8.4 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~~will 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~~twenty-five Faculty ~~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 P~~resident, ~~who serves~~ as chair of the faculty. The University President must call a meeting consistent with the requirements of Section 2.9 below.

2.9 Meetings of the University Faculty

This section refers to meetings of the university faculty as a whole, which are separate from Faculty Senate meetings.

2.9.1 Calling Meetings

~~Meetings of the faculty may be convened upon the call of the university president. Upon receipt by the University President of a written request or a written petition as provided in Policy 4000 under Section 2.8.3, Appellate the University 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.~~

The University President may call a faculty meeting for reasons other than those described in Sections 2.8.3 and 2.9.1.

2.9.2 Notice

Faculty must receive ~~individual~~ notice of the ~~meeting~~ aforementioned meetings and ~~its~~the 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 ~~u~~University President waives the notice requirement on the grounds of emergency.

2.9.3 Quorum

~~Any number over ten In cases where a binding vote is desired, a quorum must be present. Fifty 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~~will constitute a quorum. A quorum being present, all actions ~~shall~~will be by majority vote of those in attendance with voting power. Meeting procedures ~~shall~~will be ~~governed by the most recent edition of~~in accordance with Robert's Rules of Order.

2.10 CHAIR OF THE FACULTY; SECRETARY OF THE FACULTY **2.9.4 Chair and Secretary of the University Faculty**

The University 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 faculty meetings ~~of the~~

faculty. The ~~University President of the university shall~~ will appoint a faculty secretary (the "Secretary") ~~for the faculty who will also be ex officio Executive Secretary of the Faculty Senate.~~ The ~~Secretary will~~ shall record all actions of the faculty when it meets and ~~will~~ shall preserve the records in a form convenient for reference.

2.10 Committees of the University Faculty

~~The faculty Faculty committees may appoint, be appointed at any time, such committees as to advise on the work of the University may require. These committees must and report to the faculty and back to the Faculty Senate the progress of their work and the action they have taken.~~ appropriate appointing body.

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 4000.3 REFERENCES

- [Utah Code § 53H-3-303](#)
- [Utah Board of Higher Education R223, Faculty and Staff Participation in Institutional Boards of Trustees Meetings](#)

4000.5 4000.4 RELATED USU POLICIES

- [Policy 4001: The Faculty Senate and Its Committees](#)
- [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](#)
- [Executive Secretary: Michele Hillard](#)

POLICY HISTORY

Original issue date: 1997/07/01

Last review date: ~~2020/09/01~~ 2026/MM/DD

Next scheduled review date: ~~YYYY/MM/DD~~ 2029/05/01

Previous revision dates: 1999/07/01, 2009/03/06, 2010/08/13, 2011/07/08, 2016/03/04, 2019/01/11, 2020/01/10, 2020/05/~~20~~ 2020, 2021/09/01

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

Last Revised: 2021/09/01

Previous USU Policy Number: 401

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

Original issue date: 1997/07/01

Last review date: 2020/09/01

Next scheduled review date: YYYY/MM/DD

Previous revision dates: 1999/07/01, 2009/03/06, 2010/08/13, 2011/07/08, 2016/03/04, 2019/01/11, 2020/01/10, 2020/05/20



*Tessa White, Chair | Gina Gagon, Vice Chair
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David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Chris Corcoran, Provost & Executive Vice President
Paul J. Barr, Executive Vice Provost
DATE: August 7, 2026
RE: Revisions to Policy 4002: Academic Freedom & Professional Responsibility

BACKGROUND: USU Policy 4002 defines principles of academic freedom, enumerates professional obligations and responsibilities of faculty, and details standards by which faculty must conduct themselves with respect to the institution and to students.

The revisions are aimed at updating and reorganizing the policy for clarity, simplicity, and consistency with actual practice and to bring certain sections of the policy into alignment with Utah Code 53H-1-504. These revisions were drafted and reviewed by a Policy Development Team which included Paul Barr, Maureen Hearn, Nikki Kendrick, Gretchen Peacock, Claudia Radel, Larry Smith, and Rebekah Watts.

KEY PROVISIONS:

- Reinforces that academic freedom is essential to the common good and applies across all faculty roles, including teaching, research, extension, librarianship, and service.
- Identifies the essential freedoms of the university to determine who may teach, what is taught, how it is taught, and who is admitted.
- Acknowledges that students may seek alternative course requirements if course materials conflict with their sincerely held core beliefs
- Sets expectations for faculty to deliver high-quality instruction and mentorship and teach the course via the assigned modality
- Refines expectations for faculty to thoroughly prepare and attend all scheduled classes and when it is appropriate to cancel classes or meetings
- Sets expectations for syllabi to include clear learning outcomes, evaluation criteria, course content and materials.
- Requires faculty to be reasonably responsive to student communication and maintain regular office hours
- Affirms faculty are responsible for evaluating student work promptly and without prejudice and how to attribute credit to students when collaborating on a project
- Outlines how controversial material may be included when relevant to the course
- Updates and clarifies that faculty must not speak for the institution when acting as private citizens and reinforces compliance with related institutional policies



- Reinforces protections for student confidentiality, prohibits harassment, discrimination, and disrespectful behavior including soliciting uncompensated labor or favors
- Lists prohibited behaviors such as plagiarism, falsification of data, claiming ownership of others' work, and misusing confidential information or institutional property
- Affirms standards for professional conduct and prohibits interference with expressive activities on campus
- Clarifies that faculty are expected to follow state and federal law and may face disciplinary proceedings if violations adversely impact the university's mission.

Faculty were invited to provide comments and feedback during two different public comment periods. The comments and insights were carefully considered by the Policy Development Team.

ACTION:

USU Policy 4002: Academic Freedom & Professional Responsibility has been developed by the processes outlined in USU Policy 1001: University Policy System. The University Leadership Council approved this policy during the June 10, 2026, meeting. The President and Provost recommend that the Board of Trustees approve the revisions to USU Policy 4002: Academic Freedom & Professional Responsibility.

ATTACHMENTS:

Policy 4002 proposed revisions
Policy 4002 red-lined version
Policy 4002 current version



University Policy 4002: Academic Freedom and Professional Responsibility

Category: Academic Affairs

Subcategory: Faculty Code

Covered Individuals: Faculty

Responsible Executive: President

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

Last Revised: 2026/MM/DD

Previous USU Policy Number: 403

4002.1 PURPOSE AND SCOPE

This policy defines principles of academic freedom, enumerates professional obligations and responsibilities of faculty, and details standards by which faculty must conduct themselves with respect to the institution and to students.

4002.2 POLICY

2.1 Introduction

The university is operated for the common good which depends upon the free search for truth and its free exposition. Academic freedom is essential to these purposes and applies to teaching, research, extension librarianship, and service. (See Policy 4000.2.8.1.1). The University affirms that principles articulated in widely recognized national statements on academic freedom and shared governance—such as those promulgated by the American Association of University Professors—may be used as persuasive guidance where consistent with applicable law and University policy.

The university is a community dedicated, through promulgation of thought, truth, and understanding, to teaching, research, extension, librarianship, and service. It must therefore be a place where innovative ideas, original experiments, creative activities, and independence of thought are not merely tolerated but actively encouraged. Thought and understanding flourish only in a climate of academic freedom and integrity, expressed collectively by colleges and departments as well as individually through faculty roles and as they exist within the wider context of advanced study as commonly understood by all universities. The community also values intellectual diversity and mutual respect, without which there can be no collegiality among faculty and students. In addition, the university community values individual rights and freedoms, including the right of each community member to adhere to individual systems of conscience, religion, and ethics. Finally, the university recognizes that with all rights come responsibilities.

Because the pursuit of truth is fundamentally a personal enterprise, a statement of faculty responsibility must be strongly anchored to principles of academic freedom, as defined below, and personal autonomy. While faculty must abide by standards of professional responsibility, the university must provide and safeguard a climate of academic freedom. Relationships within the university should

consist of shared confidence, mutual loyalty, and trust. Dealings should be conducted with courtesy, civility, decency, and a concern for personal dignity. Such an atmosphere can be achieved only when all concerned behave responsibly. While the right of academic freedom is respected, the exercise of the right cannot be through disruptive actions or physical force. The university works to uphold its collective values by fostering free speech, broadening fields of inquiry, and encouraging the generation of new knowledge that challenges, shapes, and enriches our collective and individual understandings.

2.2 Academic Freedom

Academic freedom is the right to teach, study, discuss, investigate, discover, learn, create, and publish freely. Academic freedom protects the rights of faculty members in teaching and of students in learning. Freedom in research is fundamental to the advancement of knowledge and innovation. Faculty members are entitled to full freedom in their academic roles, including in teaching, extension, librarianship, research and creative activities, subject to the limitations imposed by professional responsibility, as outlined in this Policy, and any other applicable laws and requirements.

2.2.1. Academic Freedom and Responsibilities of the University

Subject to the power and authority of the Utah Board of Higher Education to control, manage, and supervise the Utah System of Higher Education, and Utah State University as a member institution, the university has the freedom to pursue its ends without interference from government. Included therein are the four essential freedoms of the university to determine for itself on academic grounds: (1) who may teach; (2) what may be taught; (3) how it will be taught; and (4) who may be admitted to study. Consistent with principles of academic freedom, the faculty, individually and collectively, has the responsibility for determining the content of curriculum.

The university consists of many components, all of which support the interactive, collegial enterprise that exists in the quest for knowledge and its transmittal. The university has the general responsibility to protect the academic freedom of every faculty member and the freedom of every student to learn. The university itself will not violate the academic freedom of any faculty member or the freedom of any student to learn and will use its powers and resources to defend its faculty and students from unjustified attempts to compromise or restrict those freedoms, even should the exercise of those freedoms generate hostility. If faculty believe their academic freedom has been violated, they may follow appropriate grievance procedures (see Policy 4006.5: Grievances).

2.2.2. Academic Freedom and Educational Requirements

Students are expected to engage in educational experiences that will challenge them intellectually and personally. Students must understand and be able to articulate the ideas and theories that are important to the discourse within and among academic disciplines. The University recognizes that students' sincerely held core beliefs may make it difficult for students to fulfill some requirements of some courses, majors, or other educational experiences. In such cases, students may seek alternative course requirements consistent with the procedures identified in Section 4002.3.1.7 below. Personal disagreement with ideas and theories or their implications is not sufficient grounds for requesting an alternative course. The University assumes no obligation to ensure that all students will be able to complete any course or major.

2.3 Professional Responsibility; Standards of Conduct

The concept of academic freedom is accompanied by an equally demanding concept of professional responsibility. The standards for professional responsibility listed in the following subsections are standards to which faculty members are expected to adhere. University faculty members are citizens, members of learned professions, and officers of an educational institution. When speaking or writing as citizens, faculty members are free from institutional censorship or discipline, but their special position in the community imposes special obligations. As individuals of learning and as educational officers, faculty should understand that the public may judge their profession and their institution by their individual communications. Hence, they should at all times strive to be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that they are not speaking for

the institution.

Academic freedom or constitutional rights must not be violated.

2.3.1. Faculty Responsibilities to Students

2.3.1.1 Faculty members will deliver high-quality instruction, mentorship, and supervision to students.

2.3.1.2 Faculty members will prepare thoroughly and responsibly for the teaching of their courses, mentoring, and supervision.

2.3.1.3 Faculty members will attend all scheduled instructional and supervisory commitments. For courses or activities without scheduled meeting times (e.g., asynchronous instruction), faculty will maintain regular and substantive engagement, including timely interaction, feedback, and course oversight. Individual class sessions are canceled or adjusted only for valid reasons, and adequate notice is given to students and the department head. Individual meetings with students are canceled only for valid reasons and with adequate notice to the student(s). Failure to attend a class session or an individual meeting without prior notice to students is excusable only for reasons beyond the control of the faculty member.

2.3.1.4 Faculty members will teach courses as scheduled and via the assigned modality. Requests for course schedule and modality changes must be submitted to the department head.

2.3.1.5 Faculty members with teaching, mentoring, and supervising responsibilities will: (1) communicate with students in a manner that is timely and predictable; (2) establish and clearly communicate expectations regarding appropriate communication channels, including response times and general availability in their courses and supervisor relationships; and (3) maintain regular office hours for consultation with students or otherwise ensure accessibility to students.

2.3.1.6 Faculty members will design courses based on the legitimate pedagogical goals of the program. Faculty members will establish and inform students of the general content, learning outcomes, and course evaluation criteria in a course syllabus. Course syllabi will be posted consistent with USHE requirements. Course syllabi should include, to the extent possible, details on course materials (e.g., the readings, lectures, films, presentations, performances, or other course requirements) to allow the student to identify the content and requirements of the course.

2.3.1.7 If a student identifies course content or requirements that conflict with the student's sincerely held core beliefs, the student and course instructor must follow the Procedures for Alternative Course Requirements.

2.3.1.8 Faculty members evaluate student course work promptly, conscientiously, without prejudice or favoritism, and consistent with the criteria stated in course materials and related to the legitimate pedagogical goals of the course.

2.3.1.9 Faculty members will responsibly supervise students outside of the classroom in a variety of ways (e.g., theses, dissertations, clinical practica, and research experiences). Faculty members will design and communicate reasonable expectations for supervised activities. Faculty members evaluate student work promptly, conscientiously, without prejudice or favoritism, and consistent with previously determined expectations.

2.3.1.10 Faculty will treat students fairly and responsibly with respect to dissemination of student work. When faculty members and students work together, appropriate credit is given to all parties. What constitutes appropriate credit will be defined prior to the student's contribution. This includes specifying how the level of contribution relates to the type of credit given (e.g. authorship order). If the student's actual contribution differs in scope from what was originally anticipated, credit must be adjusted accordingly.

2.3.1.11 Faculty members will provide students the opportunity to engage in original thinking, research,

creative work, and writing.

2.3.1.12 Faculty may present any controversial material relevant to their course of instruction. However, faculty will not misuse the classroom by preempting class time for the presentation of views on controversial topics unrelated to the subject matter of the course. Faculty members do not reward agreement or penalize disagreement with their views on controversial topics.

2.3.2. Responsibilities to the Institution

2.3.2.1 Faculty members keep informed and knowledgeable about developments in their fields.

2.3.2.2 Faculty are employees of the University, and as such, are subject to and expected to comply with broader University policies, procedures, and state and federal law governing their employment.

2.3.2.3 Faculty members may engage in professional activities beyond their designated role; however, faculty members must comply with Policies 3201, Extra-Service Compensation, and 3202, Consulting Service, restricting the amount of time spent on non-institutional commitments, including outside consulting and other non-institutional employment. They also must comply with state law and institutional policies and procedures regulations relating to conflicts of interest (see USU Policy 2301: Individual Conflicts of Interest and Procedure 2301-PR3: Conflicts of Commitment).

2.3.2.4 Faculty do not exploit the institution's name or their relationship to the institution for personal reasons unrelated to their legitimate academic or professional activities. Faculty do not create the impression that they represent the institution in public appearances or statements, unless in fact they do (see USU Policy 2105: Free Expression and Assembly; Policy 2106: Political Activity; and USU's Statement on Institutional Neutrality).

2.3.2.5 Faculty will engage with their department head or supervisor in the course of discharging their professional responsibilities, including activities designed to evaluate and improve their performance.

2.3.2.6 Faculty will engage with University processes when appropriate or required.

2.4 Faculty Professional Conduct

2.4.1. Professional Conduct of Faculty Toward Students

2.4.1.1 Faculty members do not use their positions and authority to obtain uncompensated labor or to solicit gifts or favors from students. Faculty members do not ask students to perform services unrelated to legitimate requirements of a course unless the student is adequately compensated for such services.

2.4.1.2 Faculty members do not reveal matters told to them in confidence by students except as required by law, and then only to persons entitled to such information by law or institutional policy. Faculty members may, however, report their assessment of a student's performance and ability to persons logically and legitimately entitled to receive such reports.

2.4.1.3 Faculty members do not engage in the sexual harassment of students, or any other forms of harassment, prohibited by USU Policies (see USU Interim Policy 2101: Discrimination based on Protected Characteristics and USU Interim Policy 2102: Title IX Sexual Misconduct in an Employment or Education Program or Activity). Allegations of faculty misconduct involving sexual harassment, or any other form of harassment, of students will be handled under the policies and procedures outlined in USU Interim Policy 2101: Discrimination based on Protected Characteristics and USU Interim Policy 2102: Title IX Sexual Misconduct in an Employment or Education Program or Activity; USU Interim Policy 2103: Non-Title IX Sexual Misconduct.

2.4.1.4 Faculty members do not engage in discrimination against students. This includes discrimination based on protected characteristics (see USU Policy 2101: Discrimination based on Protected Characteristics). Allegations of faculty misconduct involving discrimination against students based on protected characteristics will be handled under the policies and procedures outlined in USU Interim Policy

2101: Discrimination based on Protected Characteristics.

2.4.1.5 Faculty members do not engage in disrespectful behavior toward students, including but not limited to, intimidation, humiliation, or abusive conduct. Allegations of faculty misconduct related to intimidation, disrespectful behavior, humiliation, or abuse of students will be handled under USU Policy 3002: Respectful Workplace.

2.4.2. Professional Conduct of Faculty Toward the Institution

2.4.2.1 Faculty members exercise Reasonable Care (see section 4002.6 of this Policy) in meeting their professional obligations.

2.4.2.2 Faculty members do not plagiarize nor do they permit the appearance that they are the author of work done by others.

2.4.2.3 Faculty members do not falsify, fabricate, or plagiarize data.

2.4.2.4 Faculty members do not claim ownership of others' ideas or creative works, including that of students.

2.4.2.5 Faculty do not misuse privileged or otherwise confidential information.

2.4.2.6 Faculty members do not exploit their positions for personal or financial gain when supervising the professional work of others. Research for financial return should be conditional upon disclosure to and consent of the Vice President for Research.

2.4.2.7 Faculty members do not purposely destroy institutional property, disrupt institutional activities, inflict physical injury or threaten such injury to other persons on campus, or interfere with the Expressive Activity of other persons on the University Campus, or unlawfully incite others to engage in such destruction, disruption, injury, or interference. Faculty members comply with USU Policy 2105: Free Expression and Assembly. Faculty do not misappropriate institutional property or knowingly use it in violation of state or federal law.

2.4.2.8 Faculty members adhere to the drug- and alcohol-free workplace policy (Policy 3003, Drug and Alcohol-Free Workplace, Drug and Alcohol Testing).

2.4.2.9 Faculty conduct themselves in an open, fair, civil, and humane manner in the course of all their professional duties. Faculty members do not harass or discriminate as outlined in USU's Notice of Non-Discrimination.

2.4.2.10 Faculty members do not engage in the sexual harassment, or any other form of harassment, of other faculty members or any employee of the University (see USU Interim Policy 2101: Discrimination based on Protected Characteristics and USU Interim Policy 2102: Title IX Sexual Misconduct in an Employment or Education Program or Activity). Allegations of faculty misconduct involving sexual harassment, or any other form of harassment, of other faculty members or any employee of the University, will be handled under the policies and procedures outlined in USU Interim Policy 2101: Discrimination based on Protected Characteristics and USU Interim Policy 2102: Title IX Sexual Misconduct in an Employment or Education Program or Activity; USU Interim Policy 2103: Non-Title IX Sexual Misconduct.

2.4.2.11 Faculty members do not engage in discrimination against other faculty members or any other employee of the University (see USU Policy 2101: Discrimination based on Protected Characteristics). Allegations of faculty misconduct involving discrimination against other faculty members or other employees of the University based on protected characteristics will be handled under the policies and procedures outlined in USU Interim Policy 2101: Discrimination based on Protected Characteristics.

2.4.2.12 Faculty members do not engage in disrespectful behavior toward other faculty members or any other employee of the University, including but not limited to intimidation, humiliation, or abusive conduct.

Allegations of faculty misconduct related to intimidation, disrespectful behavior, humiliation, or abuse of students will be handled under USU Policy 3002: Respectful Workplace.

2.4.2.13 Faculty members do not engage in Research Misconduct. Allegations of Research Misconduct will be handled under the policies and procedures outlined in USU Policy 4110: Research Misconduct.

2.4.2.14 Faculty are expected to follow state and federal law. Faculty who violate state or federal law may expect no immunity or special protection by reason of faculty status. Breaches of legal duty by faculty are matters for disposition by the legal system. The University will not commence disciplinary proceedings for violations of law unless such violations directly relate to the University or adversely impact the University's purposes and mission. The University reserves the right to bring disciplinary proceedings against faculty members who are charged with unlawful conduct which also constitutes a violation of standard of conduct of this Policy or broader University policies governing employment.

4002.3 REFERENCES

- [Utah Code § 53H-1-504](#)
- [UBHE R481: Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review](#)

4002.5 RELATED USU POLICIES

- Policy [4000: Composition and Authority of the Faculty](#)

4002.6 DEFINITIONS

- **Reasonable Care** means the level of performance required of a faculty member that is recognized in the profession as reasonable in the light of the obligations which the faculty member has assumed, competing demands upon their energy and time, nature and quality of their work, and all other circumstances which the academic community would properly take into account in determining whether the faculty member was discharging their responsibilities at an acceptable level.
- **Expressive Activity** has the same meaning as defined in USU Policy 2105: Free Expression and Assembly.
- **University Campus** has the same meaning as defined in USU Policy 2105: Free Expression and Assembly.

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

- Procedures for seeking Alternative Course Requirements

Contacts

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

POLICY HISTORY

Original issue date: 1997/07/01

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University Policy 4002: Academic Freedom and Professional Responsibility

Category: Academic Affairs

Subcategory: Faculty Code

Covered Individuals: ~~University~~ Faculty

Responsible Executive: ~~Provost~~ President

Policy Custodian: ~~Chair of Professional Responsibilities and Procedures Committee~~ Office of the Provost and Executive Vice President, Provost and Executive Vice President

Last Revised: ~~2022/02/01~~ 2026/MM/DD

Previous USU Policy Number: 403

4002.1 PURPOSE AND SCOPE

This policy defines principles of academic freedom, enumerates professional obligations and ~~citizenship~~ responsibilities of faculty, and details standards ~~of conduct for by which~~ faculty must conduct themselves with respect to the institution and to students.

4002.2 POLICY

2.1 Introduction

The university is operated for the common good which depends upon the free search for truth and its free exposition. Academic freedom is essential to these purposes and applies to teaching, research, extension librarianship, and service. (See Policy 4000.2.8.1.1, ~~American Association of University Professors Joint Statement, regarding provisions which are the same or similar to certain statements of the American Association of University Professors~~). The University affirms that principles articulated in widely recognized national statements on academic freedom and shared governance—such as those promulgated by the American Association of University Professors—may be used as persuasive guidance where consistent with applicable law and University policy.

The university is a community dedicated, through promulgation of thought, truth, and understanding, to teaching, research, extension, librarianship, and service. It must therefore, be a place where innovative ideas, original experiments, creative activities, and independence of thought are not merely tolerated but actively encouraged. Thought and understanding flourish only in a climate of academic freedom and integrity, expressed collectively by colleges and departments as well as individually through ~~research and teaching faculty roles~~ and as they exist within the wider context of advanced study as commonly understood by all universities. The community also values ~~viewpoint~~ intellectual diversity and mutual respect, without which there can be no collegiality among faculty and students. In addition, the university community values individual rights and freedoms, including the right of each community member to adhere to individual systems of conscience, religion, and ethics. Finally, the university recognizes that with all rights come responsibilities.

Because the pursuit of truth is fundamentally a personal enterprise, a statement of faculty responsibility must be strongly anchored to principles of ~~intellectual~~ academic freedom, as defined below, and

personal autonomy. While faculty must abide by standards of professional responsibility, the university must provide and safeguard a climate of ~~intellectual~~ [academic](#) freedom. Relationships within the university should consist of shared confidence, mutual loyalty, and trust. Dealings should be conducted with courtesy, civility, decency, and a concern for personal dignity. Such an atmosphere can be achieved only when all concerned behave responsibly. While the right of academic freedom is respected, the exercise of the right cannot be through disruptive actions or physical force. The university works to uphold its collective values by fostering free speech, broadening fields of inquiry, and encouraging the generation of new knowledge that challenges, shapes, and enriches our collective and individual understandings.

2.2 Academic Freedom

Academic freedom is the right to teach, study, discuss, investigate, discover, [learn](#), create, and publish freely. Academic freedom protects the rights of faculty members in teaching and of students in learning. Freedom in research is fundamental to the advancement of ~~truth~~ [knowledge and innovation](#). ~~The faculty member is~~ [Faculty members are](#) entitled to full freedom in [their academic roles, including in their role-statements](#) teaching, [extension, librarianship](#), research, and creative activities, subject to the limitations imposed by professional responsibility, [as outlined in this Policy, and any other applicable laws and requirements](#).

2.2.1. [Academic](#) Freedom and Responsibilities of the University

Subject to the power and authority of the ~~Board of Regents~~ [Utah Board of Higher Education](#) to control, manage, and supervise the Utah System of Higher Education, and Utah State University as a member institution, the university has the freedom to pursue its ends without interference from government. Included therein are the four essential freedoms of the university to determine for itself on academic grounds: (1) who may teach; (2) what may be taught; (3) how it will be taught; and (4) who may be admitted to study. Consistent with principles of academic freedom, the faculty, individually and collectively, has the responsibility for determining the content of ~~the~~ curriculum.

The university consists of many components all of which support the interactive, collegial enterprise that exists in the quest for knowledge and its transmittal. The university has the general responsibility to protect the academic freedom of every faculty member and the freedom of every student to learn. The university itself will not violate the academic freedom of any faculty member or the freedom of any student to learn and will use its powers and resources to defend its faculty and students from unjustified attempts to compromise or restrict those freedoms, even should the exercise of those freedoms generate hostility. [If faculty believe their academic freedom has been violated, they may follow appropriate grievance procedures \(see Policy 4006.5: Grievances\).](#)

2.2.2. [Academic](#) Freedom and ~~Course~~ [Educational](#) Requirements

Students are expected to ~~take courses~~ [engage in educational experiences](#) that will challenge them intellectually and personally. Students must understand and be able to articulate the ideas and theories that are important to the discourse within and among academic disciplines. ~~Personal disagreement with these ideas and theories or their implications is not sufficient grounds for requesting an alternative course requirement. Alternative requirements requested on such grounds will not necessarily be granted.~~ The [University](#) recognizes that students' sincerely held core beliefs may make it difficult for students to fulfill some requirements of some courses, ~~or majors, or other educational experiences.~~ [In such cases, students may seek alternative course requirements consistent with the procedures outlined identified in \(Policy Section 4002.3.1.7.4 below. Personal disagreement with ideas and theories or their implications is not sufficient grounds for requesting an alternative course, Procedures for Alternative Course Requirements due to Conflicts with Sincerely Held Core Beliefs\).](#) The [uUniversity](#) assumes no obligation to ensure that all students will be able to complete any course or major.

~~2.2.4. Violations of Academic Freedom or Standards and Regulations~~

~~Persons having a formal association with the university will not be involved in acts which violate the academic freedom or constitutional rights of others or the standards and regulations of the university or the State Board of Regents.~~

2.3 Professional Responsibility; Standards of Conduct

The concept of academic freedom is accompanied by an equally demanding concept of professional responsibility. The standards for professional responsibility listed in the following subsections are standards to which faculty members are expected to adhere. University faculty members are citizens, members of learned professions, and officers of an educational institution. When speaking or writing as citizens, faculty members are free from institutional censorship or discipline, but their special position in the community imposes special obligations. As individuals of learning and as educational officers, ~~they~~ faculty should understand that the public may judge their profession and their institution by their individual ~~utterances~~ communications. Hence, they should at all times strive to be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that they are not speaking for the institution.

~~No one at the University will violate the~~ Academic freedom or constitutional rights of others must not be violated.

2.3.1. ~~Standards of Conduct~~—Faculty Responsibilities to Students

2.3.1.1 Faculty members will deliver high-quality instruction, mentorship, and supervision to students.

2.3.1.12 Faculty members ~~will engage in reasonable and substantial preparation thoroughly and responsibly~~ for the updating and teaching of their courses, mentoring/ship/advisement, and supervision. of assistantships/internships/practica appropriate to the educational objectives to be achieved and consistent with the standards of the discipline.

2.3.1.23 Faculty members ~~meet~~ will attend all scheduled instructional and supervisory commitments. For courses or activities without scheduled meeting times (e.g., asynchronous instruction), faculty will maintain regular and substantive engagement, including timely interaction, feedback, and course oversight. classes and delivery modalities and meetings related to mentorship/advisement, and or supervision of assistantships/internships/practica. Schedules are altered or classes Individual class sessions are canceled or adjusted only for valid reasons and ~~only after~~ adequate notice is given to students and the ~~faculty member's direct academic supervisor.~~ department head. Individual meetings with students are canceled only for valid reasons and adequate notice to the student(s). Failure to ~~meet~~ attend a class session or an individual meeting without prior notice to students is excusable only for reasons beyond the control of the faculty member.

2.3.1.4 Faculty members will teach courses as scheduled and via the assigned modality. Requests for course schedule and modality changes must be submitted to the department head.

2.3.1.4-2.3.1.5 Faculty members with teaching, mentoring, and supervising responsibilities will: (1) communicate with students in a manner that is timely and predictable; (2) establish and clearly communicate expectations regarding appropriate communication channels, including response times and general availability in their courses and supervisor relationships; and (3) maintain regular office hours for consultation with students or otherwise ensure accessibility to students.

2.3.1.36 Faculty members will ~~select design~~ courses ~~requirements~~ based on the legitimate pedagogical goals of the ~~program.~~ course and discipline ~~Faculty members will establish~~ and inform students of the general content, learning outcomes, and course evaluation criteria in ~~the a course~~ syllabus or comparable documentation at the beginning of any course they teach. Course syllabi will be posted consistent with USHE requirements. Faculty members evaluate student course work promptly, conscientiously, without prejudice or favoritism, and consistently with the criteria stated at the beginning of the course in the course documentation and related to the legitimate pedagogical goals of the course. The documentation for the ~~eCourse~~ syllabi should ~~identify~~ include, to the extent possible, details on course materials (e.g., the writings/readings, lectures, films, presentations, performances, or other course requirements) ~~in sufficient detail~~ to allow the student to identify the content and requirements of the course. ~~that may conflict with the student's sincerely held core beliefs. Faculty will not always be able to predict in advance requirements that may conflict with the sincerely held core beliefs of a given student or group of students. If conflicts arise, Policy 4002.4, Procedures for Alternative Course Requirements due to Conflicts with Sincerely Held~~

~~Core Beliefs, provides guidance to students and faculty for the resolution of conflicts.~~

~~2.3.1.4 Faculty members with teaching responsibilities maintain regular office hours for consultation with students, or they otherwise assure accessibility to students.~~

2.3.1.7 If a student identifies course content or requirements that conflict with the student's sincerely held core beliefs, the student and course instructor must follow the Procedures for Alternative Course Requirements.

2.3.1.8 Faculty members evaluate student course work promptly, conscientiously, without prejudice or favoritism, and consistently with the criteria stated ~~at the beginning of the course~~ in the course ~~documentation~~ materials and related to the legitimate pedagogical goals of the course.

2.3.1.9 Faculty members will responsibly supervise students outside of the classroom in a variety of ways (e.g. theses, dissertations, clinical practica, and research experiences). Faculty members will design and communicate reasonable expectations for supervised activities. Faculty members evaluate student work promptly, conscientiously, without prejudice or favoritism, and consistent with previously determined expectations.

2.3.1.510 Faculty members do not plagiarize the work of students. Faculty will treat students fairly and responsibly with respect to dissemination of student work. When faculty members and students work together, appropriate credit is given to all parties ~~the students~~. ~~Faculty members do not limit or curtail the right of any student to publish or otherwise communicate the result of the student's own independent scholarly activities.~~ What constitutes appropriate credit will be defined prior to the student's contribution. This includes specifying how the level of contribution relates to the type of credit given (e.g. authorship order). If the student's actual contribution differs in scope from what was originally anticipated credit must be adjusted accordingly.

~~2.3.1.6 Faculty members do not use their positions and authority to obtain uncompensated labor or to solicit gifts or favors from students. Faculty members do not ask students to perform services unrelated to legitimate requirements of a course unless the student is adequately compensated for such services.~~

~~2.3.1.7 Faculty members do not reveal matters told to them in confidence by students except as required by law, and then only to persons entitled to such information by law or institutional regulation. Faculty members may, however, report their assessment of a student's performance and ability to persons logically and legitimately entitled to receive such reports.~~

2.3.1.811 Faculty members will create and maintain environments in which students are provided students the opportunity to engage in ~~do~~ original thinking, research, creative work, and writing.

2.3.1.912 Faculty may present any controversial material relevant to their course of instruction. However, faculty ~~members avoid~~ will not the misuse of the classroom by preempting ~~substantial portions of~~ class time for the presentation of views on controversial topics unrelated to the subject matter of the course. Faculty members do not reward agreement or penalize disagreement with their views on controversial topics.

~~2.3.1.10 Faculty members do not engage in the sexual harassment of students, or any other forms of harassment prohibited by USU Policies (2100 Affirmative Action/Equal Opportunity and 2102 Title IX Sexual Misconduct in an Employment or Education Program or Activity and its sub-policies).~~

~~2.3.1.11 Faculty members do not engage in discrimination against students (Policy 2100, Affirmative Action/Equal Opportunity).~~

~~2.3.1.12 Faculty members do not intimidate, humiliate or abuse students (for definitions, see Policy 3002, Respectful Workplace).~~

~~2.3.2. Standards of Conduct – Professional Obligations~~

~~2.3.2.1 Faculty members do not plagiarize nor do they permit the appearance that they are the author of~~

~~work done by others.~~

~~2.3.2.1 Faculty members do not falsify data either by deliberate fabrication or selective reporting with the intent to deceive.~~

~~2.3.2.3 Faculty members do not misappropriate other's ideas.~~

~~2.3.2.4 Faculty members do not misuse privileged or otherwise confidential information.~~

~~2.3.2.5 Faculty members exercise Reasonable Care in meeting their obligations to their associates when they are engaged in joint research or other professional effort.~~

~~2.3.2.6 Faculty members do not exploit their positions for personal or pecuniary gain when supervising the professional work of others. Research for pecuniary return should be conditional upon disclosure to and consent of the vice president for research and dean of the school of graduate studies.~~

~~2.3.2.7 Faculty members exercise Reasonable Care in meeting their commitments to the institution and to funding agencies where appropriate in research, publication, or other professional endeavors.~~

~~2.3.2.8 Faculty members keep informed and knowledgeable about developments in their fields.~~

~~2.3.2.9 Faculty members do not engage in the sexual harassment or any other form of harassment prohibited by USU Policies 2100, Affirmative Action/Equal Opportunity, or Policy 2102, Sexual Misconduct in an Employment or Education Program or Activity and its sub-policies, of other faculty members or any employee of the university.~~

~~2.3.2.10 Faculty members do not engage in discrimination against other faculty members or any other employee of the university. (Policy 2100, Affirmative Action/Equal Opportunity).~~

~~2.3.2.11 Faculty members do not intimidate, humiliate, or abuse other faculty members or any other employee of the university. (Policy 3002, Respectful Workplace).~~

2.3.32. Standards of Conduct—Responsibilities to the Institution

2.3.2.1 Faculty members keep informed and knowledgeable about developments in their fields.

2.3.2.2 Faculty are employees of the University, and as such, are subject to and expected to comply with broader University policies, procedures, and state and federal law governing their employment.

~~2.3.3.1 Faculty members conduct themselves in an open, fair, civil, and humane manner both in general and when making decisions or recommendations concerning admissions, employment, promotion, retention, tenure, and other professional matters. Faculty members do not harass or discriminate against anyone on the basis of race, color, religion, sex, sexual orientation, gender identity, gender expression, national origin, age, veteran status, or marital or parental status; the presence of any sensory, physical or mental disability or handicap; or for any other reason impermissible under applicable constitutional or statutory provisions.~~

2.3.3.2.3 Faculty members may engage in outside professional activities [beyond their designated role](#); that improve their academic skills and have a legitimate relationship to their academic service; however, faculty members must comply with Policies 3201, Extra-Service Compensation, and 3202, Consulting Service, restricting the amount of time spent on non- institutional commitments, including outside consulting and other non-institutional employment. They also must comply with state law and institutional [policies and procedures](#) regulations relating to conflicts of interest ([see USU Policy 2301: Individual Conflicts of Interest and Procedure 2301-PR3: Conflicts of Commitment](#)).

2.3.32.34 Faculty ~~members~~ do not exploit the institution's name or their relationship to the institution for personal reasons unrelated to their legitimate academic or professional activities. [Faculty do not](#) They avoid createing the impression that they [represent](#) ~~are representing~~ the institution in public appearances or statements, unless in fact they ~~are do~~ ([see USU Policy 2105: Free Expression and](#)

[Assembly; Policy 2106: Political Activity; and USU's Statement on Institutional Neutrality\).](#)

~~2.3.3.4 Faculty members do not purposely destroy institutional property, purposely disrupt institutional programs, purposely inflict physical injury or threaten such injury to other persons on campus, or purposely interfere with the legitimate activities of other persons on the institution's campus, nor do they purposely and unlawfully incite others to engage in such destruction, disruption, injury, or interference. Provided however:~~

~~(a) Non-violent reaction from members of an audience at a meeting or program open to the public will not be considered disruption or interference of legitimate activities, unless such reaction occurs for the purpose of preventing the continuation of the program and has a reasonable likelihood of succeeding.~~

~~(b) Mere advocacy or expression will not be considered incitement, unless the advocacy or expression poses a clear and present danger of the imminent occurrence of destruction, disruption, injury, or interference.~~

~~2.3.3.5 Faculty members do not misappropriate institutional property or knowingly use it in violation of state or federal law.~~

~~2.3.3.6 Faculty members do not knowingly mislead the institution by falsely asserting facts relevant to their qualifications as faculty members or their eligibility for institutional benefits.~~

~~2.3.3.7 Faculty members adhere to the drug and alcohol free workplace policy (Policy 3003, Drug and Alcohol Free Workplace, Drug and Alcohol Testing).~~

[2.3.2.6 Faculty will engage with their department head or supervisor in the course of discharging their professional responsibilities, including activities designed to evaluate and improve their performance.](#)

[2.3.2.7 Faculty will engage with University processes when appropriate or required.](#)

2.3.4. Standards of Conduct – Responsibilities of Citizenship

~~Faculty members share the general legal duties of citizenship. Faculty members who violate state or federal law may expect no immunity or special protection by reason of faculty status. As with other citizens, breaches of legal duty by faculty members are matters for disposition by the legal system. The university will not commence disciplinary proceedings for violations of law unless such violations directly relate to the university or adversely impact on the university's purposes and mission. The university reserves the right to bring disciplinary proceedings against faculty members who are charged with unlawful conduct which also constitutes a violation of a standard of conduct of this policy.~~

2.3.5. Definition of Reasonable Care

~~This term, which is familiar to the law, means that the level of performance required of a faculty member is that which is recognized in the profession as reasonable in the light of the obligations which the faculty member has assumed, competing demands upon their energy and time, nature and quality of their work, and all other circumstances which the academic community would properly take into account in determining whether the faculty member was discharging their responsibilities at an acceptable level.~~

[2.4 Faculty Professional Conduct](#)

[2.4.1. Professional Conduct of Faculty Toward Students](#)

~~2.3.1.64.1.1 Faculty members do not use their positions and authority to obtain uncompensated labor or to solicit gifts or favors from students. Faculty members do not ask students to perform services unrelated to legitimate requirements of a course unless the student is adequately compensated for such services.~~

~~2.3.1.74.1.2 Faculty members do not reveal matters told to them in confidence by students except as~~

required by law, and then only to persons entitled to such information by law or institutional regulation policy. Faculty members may, however, report their assessment of a student's performance and ability to persons logically and legitimately entitled to receive such reports.

2.4.1.3 Faculty members do not engage in the sexual harassment of students, or any other forms of harassment, prohibited by USU Policies (see USU Interim Policy 2101: Discrimination based on Protected Characteristics and USU Interim Policy 2102: Title IX Sexual Misconduct in an Employment or Education Program or Activity). Allegations of faculty misconduct involving sexual harassment, or any other form of harassment, of students will be handled under the policies and procedures outlined in USU Interim Policy 2101: Discrimination based on Protected Characteristics and USU Interim Policy 2102: Title IX Sexual Misconduct in an Employment or Education Program or Activity; USU Interim Policy 2103: Non-Title IX Sexual Misconduct.

2.4.1.4 Faculty members do not engage in discrimination against students. This includes discrimination based on protected characteristics (see USU Policy 2101: Discrimination based on Protected Characteristics). Allegations of faculty misconduct involving discrimination against students based on protected characteristics will be handled under the policies and procedures outlined in USU Interim Policy 2101: Discrimination based on Protected Characteristics.

2.4.1.5 Faculty members do not engage in disrespectful behavior toward students, including but not limited to, intimidation, humiliation, or abusive conduct. Allegations of faculty misconduct related to intimidation, disrespectful behavior, humiliation, or abuse of students will be handled under USU Policy 3002: Respectful Workplace.

2.4.2. Professional Conduct of Faculty Toward the Institution

2.4.2.1 Faculty members exercise Reasonable Care (see section 4002.6 of this Policy) in meeting their professional obligations.

~~2.4.2.21~~ Faculty members do not plagiarize nor do they permit the appearance that they are the author of work done by others.

~~2.3-4.2.31~~ Faculty members do not falsify, fabricate, or plagiarize data.

2.4.2.4 Faculty members do not claim ownership of others' ideas or creative works, including that of students.

2.4.2.5 Faculty do not misuse privileged or otherwise confidential information.

2.4.2.6 Faculty members do not exploit their positions for personal or financial gain when supervising the professional work of others. Research for financial return should be conditional upon disclosure to and consent of the Vice President for Research.

~~2.3-3-4.2.7~~ Faculty members do not purposely destroy institutional property, purposely disrupt institutional programs activities, purposely inflict physical injury or threaten such injury to other persons on campus, or purposely interfere with the legitimate activities Expressive Activity of other persons on the institution's University Campus, nor do they purposely and/or unlawfully incite others to engage in such destruction, disruption, injury, or interference. Faculty members comply with USU Policy 2105: Free Expression and Assembly. Faculty do not misappropriate institutional property or knowingly use it in violation of state or federal law.

~~2.3-3-4.2.78~~ Faculty members adhere to the drug- and alcohol-free workplace policy (Policy 3003, Drug and Alcohol-Free Workplace, Drug and Alcohol Testing).

2.4.2.9 Faculty conduct themselves in an open, fair, civil, and humane manner in the course of all their professional duties. Faculty members do not harass or discriminate as outlined in USU's Notice of Non-Discrimination.

2.4.2.10 Faculty members do not engage in the sexual harassment, or any other form of harassment, of other faculty members or any employee of the University (see USU Interim Policy 2101: Discrimination based on Protected Characteristics and USU Interim Policy 2102: Title IX Sexual Misconduct in an Employment or Education Program or Activity). Allegations of faculty misconduct involving sexual harassment, or any other form of harassment, of other faculty members or any employee of the University, will be handled under the policies and procedures outlined in USU Interim Policy 2101: Discrimination based on Protected Characteristics and USU Interim Policy 2102: Title IX Sexual Misconduct in an Employment or Education Program or Activity; USU Interim Policy 2103: Non-Title IX Sexual Misconduct.

2.4.2.11 Faculty members do not engage in discrimination against other faculty members or any other employee of the University (see USU Policy 2101: Discrimination based on Protected Characteristics). Allegations of faculty misconduct involving discrimination against other faculty members or other employees of the University based on protected characteristics will be handled under the policies and procedures outlined in USU Interim Policy 2101: Discrimination based on Protected Characteristics.

2.4.2.12 Faculty members do not engage in disrespectful behavior toward other faculty members or any other employee of the University, including but not limited to, intimidation, humiliation, or abusive conduct. Allegations of faculty misconduct related to intimidation, disrespectful behavior, humiliation, or abuse of students will be handled under USU Policy 3002: Respectful Workplace.

2.4.2.13 Faculty members do not engage in Research Misconduct. Allegations of Research Misconduct will be handled under the policies and procedures outlined in USU Policy 4110: Research Misconduct.

2.4.2.14 Faculty are expected to follow state and federal law. Faculty who violate state or federal law may expect no immunity or special protection by reason of faculty status. Breaches of legal duty by faculty are matters for disposition by the legal system. The University will not commence disciplinary proceedings for violations of law unless such violations directly relate to the University or adversely impact the University's purposes and mission. The University reserves the right to bring disciplinary proceedings against faculty members who are charged with unlawful conduct which also constitutes a violation of standard of conduct of this Policy or broader University policies governing employment.

2.4 — Procedures for Alternative Course Requirements Due to Conflicts With Sincerely Held Core Beliefs

~~It is the student's obligation to determine, before the last day to submit a petition for late course drop without penalty, when course requirements conflict with the student's sincerely held core beliefs. The class should be dropped if a conflict exists. A student who finds this solution impractical may request an alternative requirement from the instructor. Though the university provides, through this policy, a process by which a student may make such a request, the policy does not oblige the instructor to grant the request, except in those cases when a denial would be arbitrary and capricious or illegal. A request for an alternative requirement must be made to the instructor in writing or email, and the student must deliver a copy of the request to the office of the department head. The request must articulate the burden the requirement would place on the student's sincerely held core beliefs.~~

~~The instructor must respond to any request for an alternative requirement within two school days of receiving it. The response must be made in writing and a copy must be delivered to the office of the department head. In the event that the class does not meet on the day by which the instructor must respond, the student must make arrangements to receive the response in a timely manner. Instructors are not required to provide an alternative requirement, as long as the original course requirement has a reasonable relationship to a legitimate pedagogical goal. They may do so only if a reasonable alternative means of satisfying the course requirement is available and only if that alternative is fully appropriate for meeting the academic objectives of the course, after considering (1) the fundamental importance of the particular requirement to the legitimate pedagogical requirements of the course; (2) the burden on the student's sincerely held core beliefs; and (3) the difficulty of administering the alternative requirement.~~

~~In considering whether or not to provide an alternative requirement, the instructor may evaluate the sincerity but not the validity of the student's beliefs. If an instructor in a course provides an alternative requirement, the instructor must similarly consider all other requests made during the same semester for~~

~~the same course for alternative requirements to address all students' sincerely held core beliefs. Requests will be individually evaluated in relation to the same considerations; however, the granting of one such request will not guarantee that all requests will be granted. Because the criteria and requirements for granting requests will apply differently to each instructor and to each section of each course, decisions made by an instructor in one course will not affect decisions by the same instructor in other courses or by other instructors in the same or other courses.~~

~~If an instructor does not grant a request for an alternative requirement, the student may appeal that denial in writing to the department head. (If the department head is the instructor of the course, the student may appeal the denial to the academic dean of the college. If the dean is the instructor, the student may appeal to the provost.) The department head (or dean or provost, as applicable) will, in consultation with the faculty member, act within two school days. The department head (or dean or provost, as applicable) will uphold the denial unless they find that the denial was arbitrary and capricious or illegal. The student may appeal the department head's decision to the academic dean of the college. The academic dean's determination will be final as it pertains to the specific request for an alternative requirement. Faculty challenges to the appropriateness of this decision should follow established grievance procedures (Policy 4006.5, Grievances). The student may but is not required to participate in these further reviews.~~

~~If the faculty instructor disagrees with the dean's decision that the instructor's denial of the student's request was arbitrary and capricious or illegal, the faculty instructor may not be compelled against their professional judgment to administer the requested alternative requirement for the student. If the faculty instructor declines to administer the alternative requirement, it will be the responsibility of the dean in consultation with the department head to design and administer the alternative requirement for the student in order to satisfy the student's request. The dean (or dean's appropriate designee) will determine the student's grade on that specific alternative requirement and will report that grade to the course instructor, who will incorporate that grade for the requirement into the total grade for the course. The final grade in the course will be determined by the faculty instructor and will be calculated in the same way as the final grade is determined for all other students in the course.~~

~~A student in good standing may determine, after the last day to submit a petition for late course drop without penalty, that a course requirement conflicts with the student's sincerely held core beliefs. If the instructor has denied the student's written request for an alternative requirement, the student may seek permission in writing from the dean to withdraw without receiving a W on their transcript and to receive a refund of tuition for that class. It is the student's responsibility to determine any effect withdrawing from the course may have on the student's financial aid. In making this request the student must demonstrate that they could not have made this determination prior to the last day to drop courses without penalty, or that the request was made prior to the last day to drop a course and a decision was made after the drop date. The dean's determination will be final.~~

~~Decisions on requests for alternative requirements will not be considered adversely to a faculty member in retention, promotion and tenure, or other proceedings as long as those decisions are made in good faith. Faculty will not take adverse academic action against students requesting alternative requirements. Neither the academic college dean, nor the vice president for statewide campuses, nor the department head, will take any adverse action against an instructor based on the instructor's decision to provide or not to provide an alternative requirement for a student.~~

4002.3 RESPONSIBILITIES

3.1 Responsible Office/Party

4002.34 REFERENCES

- [Utah Code § 53H-1-504](#)
- [UBHE R481: Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review](#)

4002.5 RELATED USU POLICIES

- [Policy 4000: Composition and Authority of the Faculty](#)

4002.6 DEFINITIONS

- **Reasonable Care** means the level of performance required of a faculty member that is recognized in the profession as reasonable in the light of the obligations which the faculty member has assumed, competing demands upon their energy and time, nature and quality of their work, and all other circumstances which the academic community would properly take into account in determining whether the faculty member was discharging their responsibilities at an acceptable level.
- **Expressive Activity** has the same meaning as defined in USU Policy 2105: Free Expression and Assembly.
- **University Campus** has the same meaning as defined in USU Policy 2105: Free Expression and Assembly.

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](#)

- [Procedures for seeking Alternative Course Requirements](#)

Contacts

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

POLICY HISTORY

Original issue date: 1997/07/01

Last revision date: ~~2022/02/01~~ **2026/MM/DD**

Next scheduled review date: 2029/04/01

Previous revision dates: 2006/10/20, 2009/03/06, 2011/07/08, 2012/01/06.

University Policy 4002: Academic Freedom and Professional Responsibility

Category: Academic Affairs

Subcategory: Faculty Code

Covered Individuals: University Faculty

Responsible Executive: Provost

Policy Custodian: Chair of Professional Responsibilities and Procedures Committee

Last Revised: 2022/02/01

Previous USU Policy Number: 403

4002.1 PURPOSE AND SCOPE

This policy defines principles of academic freedom, enumerates professional obligations and citizenship responsibilities, details standards of conduct for faculty to the institution and to students.

4002.2 POLICY

2.1 Introduction

The university is operated for the common good which depends upon the free search for truth and its free exposition. Academic freedom is essential to these purposes and applies to teaching, research, and service. (See Policy 4000.8.1.1, American Association of University Professors Joint Statement, regarding provisions which are the same or similar to certain statements of the American Association of University Professors).

The university is a community dedicated, through promulgation of thought, truth, and understanding, to teaching, research, and service. It must therefore, be a place where innovative ideas, original experiments, creative activities, and independence of thought are not merely tolerated but actively encouraged. Thought and understanding flourish only in a climate of academic freedom and integrity, expressed collectively by colleges and departments as well as individually through research and teaching and as they exist within the wider context of advanced study as commonly understood by all universities. The community also values diversity and respect, without which there can be no collegiality among faculty and students. In addition, the university community values individual rights and freedoms, including the right of each community member to adhere to individual systems of conscience, religion, and ethics. Finally, the university recognizes that with all rights come responsibilities.

Because the pursuit of truth is fundamentally a personal enterprise, a statement of faculty responsibility must be strongly anchored to principles of intellectual freedom and personal autonomy. While faculty must abide by standards of professional responsibility, the university must provide and safeguard a climate of intellectual freedom. Relationships within the university should consist of shared confidence, mutual loyalty, and trust. Dealings should be conducted with courtesy, civility, decency, and a concern for personal dignity. Such an atmosphere can be achieved only when all concerned behave responsibly. While the right of academic freedom is respected, the exercise of the right cannot be through disruptive actions or physical force. The university works to uphold its collective values by

fostering free speech, broadening fields of inquiry, and encouraging the generation of new knowledge that challenges, shapes, and enriches our collective and individual understandings.

2.2 Academic Freedom

Academic freedom is the right to teach, study, discuss, investigate, discover, create, and publish freely. Academic freedom protects the rights of faculty members in teaching and of students in learning. Freedom in research is fundamental to the advancement of truth. The faculty member is entitled to full freedom in teaching, research, and creative activities, subject to the limitations imposed by professional responsibility.

2.2.2. Freedom and Responsibilities of the University

Subject to the power and authority of the Board of Regents to control, manage, and supervise the Utah System of Higher Education, and Utah State University as a member institution, the university has the freedom to pursue its ends without interference from government. Included therein are the four essential freedoms of the university to determine for itself on academic grounds: (1) who may teach; (2) what may be taught; (3) how it will be taught; and (4) who may be admitted to study. Consistent with principles of academic freedom, the faculty, individually and collectively, has the responsibility for determining the content of the curriculum.

The university consists of many components all of which support the interactive, collegial enterprise that exists in the quest for knowledge and its transmittal. The university has the general responsibility to protect the academic freedom of every faculty member and the freedom of every student to learn. The university itself will not violate the academic freedom of any faculty member or the freedom of any student to learn and will use its powers and resources to defend its faculty and students from unjustified attempts to compromise or restrict those freedoms, even should the exercise of those freedoms generate hostility.

2.2.3. Freedom and Course Requirements

Students are expected to take courses that will challenge them intellectually and personally. Students must understand and be able to articulate the ideas and theories that are important to the discourse within and among academic disciplines. Personal disagreement with these ideas and theories or their implications is not sufficient grounds for requesting an alternative course requirement. Alternative requirements requested on such grounds will not necessarily be granted. The university recognizes that students' sincerely held core beliefs may make it difficult for students to fulfill some requirements of some courses or majors (Policy 4002.4, Procedures for Alternative Course Requirements due to Conflicts with Sincerely Held Core Beliefs). The university assumes no obligation to ensure that all students will be able to complete any course or major.

2.2.4. Violations of Academic Freedom or Standards and Regulations

Persons having a formal association with the university will not be involved in acts which violate the academic freedom or constitutional rights of others or the standards and regulations of the university or the State Board of Regents.

2.3 Professional Responsibility; Standards of Conduct

The concept of academic freedom is accompanied by an equally demanding concept of professional responsibility. The standards for professional responsibility listed in the following subsections are standards to which faculty members are expected to adhere. University faculty members are citizens, members of learned professions, and officers of an educational institution. When speaking or writing as citizens, faculty members are free from institutional censorship or discipline, but their special position in the community imposes special obligations. As individuals of learning and as educational officers, they should understand that the public may judge their profession and their institution by their individual utterances. Hence, they should at all times strive to be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that they are not speaking for the institution.

2.3.1. Standards of Conduct – Faculty Responsibilities to Students

2.3.1.1 Faculty members engage in reasonable and substantial preparation for the teaching of their courses, appropriate to the educational objectives to be achieved and consistent with the standards of the discipline.

2.3.1.2 Faculty members meet scheduled classes. Schedules are altered or classes canceled only for valid reasons and only after adequate notice is given to students and the faculty member's direct academic supervisor. Failure to meet a class without prior notice to students is excusable only for reasons beyond the control of the faculty member.

2.3.1.3 Faculty members will select course requirements based on the legitimate pedagogical goals of the course and discipline and inform students of the general content and evaluation criteria in the syllabus or comparable documentation at the beginning of any course they teach. Faculty members evaluate student course work promptly, conscientiously, without prejudice or favoritism, and consistently with the criteria stated at the beginning of the course in the course documentation and related to the legitimate pedagogical goals of the course. The documentation for the course should identify, to the extent possible, the writings, lectures, films, presentations, performances, or other course requirements in sufficient detail to allow the student to identify requirements that may conflict with the student's sincerely held core beliefs. Faculty will not always be able to predict in advance requirements that may conflict with the sincerely held core beliefs of a given student or group of students. If conflicts arise, Policy 4002.4, Procedures for Alternative Course Requirements due to Conflicts with Sincerely Held Core Beliefs, provides guidance to students and faculty for the resolution of conflicts.

2.3.1.4 Faculty members with teaching responsibilities maintain regular office hours for consultation with students, or they otherwise assure accessibility to students.

2.3.1.5 Faculty members do not plagiarize the work of students. When faculty members and students work together, appropriate credit is given to the students. Faculty members do not limit or curtail the right of any student to publish or otherwise communicate the result of the student's own independent scholarly activities.

2.3.1.6 Faculty members do not use their positions and authority to obtain uncompensated labor or to solicit gifts or favors from students. Faculty members do not ask students to perform services unrelated to legitimate requirements of a course unless the student is adequately compensated for such services.

2.3.1.7 Faculty members do not reveal matters told to them in confidence by students except as required by law, and then only to persons entitled to such information by law or institutional regulation. Faculty members may, however, report their assessment of a student's performance and ability to persons logically and legitimately entitled to receive such reports.

2.3.1.8 Faculty members create and maintain environments in which students are provided the opportunity to do original thinking, research, creative work, and writing.

2.3.1.9 Faculty members avoid the misuse of the classroom by preempting substantial portions of class time for the presentation of views on topics unrelated to the subject matter of the course. Faculty members do not reward agreement or penalize disagreement with their views on controversial topics.

2.3.1.10 Faculty members do not engage in the sexual harassment of students, or any other forms of harassment prohibited by USU Policies (2100 Affirmative Action/Equal Opportunity and 2102 Title IX Sexual Misconduct in an Employment or Education Program or Activity and its sub-policies).

2.3.1.11 Faculty members do not engage in discrimination against students (Policy 2100, Affirmative Action/Equal Opportunity).

2.3.1.12 Faculty members do not intimidate, humiliate or abuse students (for definitions, see Policy 3002, Respectful Workplace).

2.3.2. Standards of Conduct – Professional Obligations

2.3.2.1 Faculty members do not plagiarize nor do they permit the appearance that they are the author of work done by others.

2.3.2.1 Faculty members do not falsify data either by deliberate fabrication or selective reporting with the intent to deceive.

2.3.2.3 Faculty members do not misappropriate other's ideas.

2.3.2.4 Faculty members do not misuse privileged or otherwise confidential information.

2.3.2.5 Faculty members exercise Reasonable Care in meeting their obligations to their associates when they are engaged in joint research or other professional effort.

2.3.2.6 Faculty members do not exploit their positions for personal or pecuniary gain when supervising the professional work of others. Research for pecuniary return should be conditional upon disclosure to and consent of the vice president for research and dean of the school of graduate studies.

2.3.2.7 Faculty members exercise Reasonable Care in meeting their commitments to the institution and to funding agencies where appropriate in research, publication, or other professional endeavors.

2.3.2.8 Faculty members keep informed and knowledgeable about developments in their fields.

2.3.2.9 Faculty members do not engage in the sexual harassment or any other form of harassment prohibited by USU Policies 2100, Affirmative Action/Equal Opportunity, or Policy 2102, Sexual Misconduct in an Employment or Education Program or Activity and its sub-policies, of other faculty members or any employee of the university.

2.3.2.10 Faculty members do not engage in discrimination against other faculty members or any other employee of the university. (Policy 2100, Affirmative Action/Equal Opportunity).

2.3.2.11 Faculty members do not intimidate, humiliate, or abuse other faculty members or any other employee of the university. (Policy 3002, Respectful Workplace).

2.3.3. Standards of Conduct – Responsibilities to the Institution

2.3.3.1 Faculty members conduct themselves in an open, fair, civil, and humane manner both in general and when making decisions or recommendations concerning admissions, employment, promotion, retention, tenure, and other professional matters. Faculty members do not harass or discriminate against anyone on the basis of race, color, religion, sex, sexual orientation, gender identity, gender expression, national origin, age, veteran status, or marital or parental status; the presence of any sensory, physical or mental disability or handicap; or for any other reason impermissible under applicable constitutional or statutory provisions.

2.3.3.2 Faculty members may engage in outside professional activities that improve their academic skills and have a legitimate relationship to their academic service; however, faculty members must comply with Policies 3201, Extra-Service Compensation, and 3202, Consulting Service, restricting the amount of time spent on non- institutional commitments, including outside consulting and other non-institutional employment. They also must comply with state law and institutional regulations relating to conflicts of interest.

2.3.3.3 Faculty members do not exploit the institution's name or their relationship to the institution for personal reasons unrelated to their legitimate academic or professional activities. They avoid creating the impression that they are representing the institution in public appearances or statements, unless in fact they are.

2.3.3.4 Faculty members do not purposely destroy institutional property, purposely disrupt institutional programs, purposely inflict physical injury or threaten such injury to other persons on campus, or purposely interfere with the legitimate activities of other persons on the institution's campus, nor do they

purposely and unlawfully incite others to engage in such destruction, disruption, injury, or interference. Provided however:

- (a) Non-violent reaction from members of an audience at a meeting or program open to the public will not be considered disruption or interference of legitimate activities, unless such reaction occurs for the purpose of preventing the continuation of the program and has a reasonable likelihood of succeeding.
- (b) Mere advocacy or expression will not be considered incitement, unless the advocacy or expression poses a clear and present danger of the imminent occurrence of destruction, disruption, injury, or interference.

2.3.3.5 Faculty members do not misappropriate institutional property or knowingly use it in violation of state or federal law.

2.3.3.6 Faculty members do not knowingly mislead the institution by falsely asserting facts relevant to their qualifications as faculty members or their eligibility for institutional benefits.

2.3.3.7 Faculty members adhere to the drug- and alcohol-free workplace policy (Policy 3003, Drug and Alcohol-Free Workplace, Drug and Alcohol Testing).

2.3.4. Standards of Conduct – Responsibilities of Citizenship

Faculty members share the general legal duties of citizenship. Faculty members who violate state or federal law may expect no immunity or special protection by reason of faculty status. As with other citizens, breaches of legal duty by faculty members are matters for disposition by the legal system. The university will not commence disciplinary proceedings for violations of law unless such violations directly relate to the university or adversely impact on the university's purposes and mission. The university reserves the right to bring disciplinary proceedings against faculty members who are charged with unlawful conduct which also constitutes a violation of a standard of conduct of this policy.

2.3.5. Definition of Reasonable Care

This term, which is familiar to the law, means that the level of performance required of a faculty member is that which is recognized in the profession as reasonable in the light of the obligations which the faculty member has assumed, competing demands upon their energy and time, nature and quality of their work, and all other circumstances which the academic community would properly take into account in determining whether the faculty member was discharging their responsibilities at an acceptable level.

2.4 Procedures for Alternative Course Requirements Due to Conflicts With Sincerely Held Core Beliefs

It is the student's obligation to determine, before the last day to submit a petition for late course drop without penalty, when course requirements conflict with the student's sincerely held core beliefs. The class should be dropped if a conflict exists. A student who finds this solution impractical may request an alternative requirement from the instructor. Though the university provides, through this policy, a process by which a student may make such a request, the policy does not oblige the instructor to grant the request, except in those cases when a denial would be arbitrary and capricious or illegal. A request for an alternative requirement must be made to the instructor in writing or email, and the student must deliver a copy of the request to the office of the department head. The request must articulate the burden the requirement would place on the student's sincerely held core beliefs.

The instructor must respond to any request for an alternative requirement within two school days of receiving it. The response must be made in writing and a copy must be delivered to the office of the department head. In the event that the class does not meet on the day by which the instructor must respond, the student must make arrangements to receive the response in a timely manner. Instructors are not required to provide an alternative requirement, as long as the original course requirement has a reasonable relationship to a legitimate pedagogical goal. They may do so only if a reasonable alternative means of satisfying the course requirement is available and only if that alternative is fully appropriate for

meeting the academic objectives of the course, after considering (1) the fundamental importance of the particular requirement to the legitimate pedagogical requirements of the course; (2) the burden on the student's sincerely held core beliefs; and (3) the difficulty of administering the alternative requirement.

In considering whether or not to provide an alternative requirement, the instructor may evaluate the sincerity but not the validity of the student's beliefs. If an instructor in a course provides an alternative requirement, the instructor must similarly consider all other requests made during the same semester for the same course for alternative requirements to address all students' sincerely held core beliefs.

Requests will be individually evaluated in relation to the same considerations; however, the granting of one such request will not guarantee that all requests will be granted. Because the criteria and requirements for granting requests will apply differently to each instructor and to each section of each course, decisions made by an instructor in one course will not affect decisions by the same instructor in other courses or by other instructors in the same or other courses.

If an instructor does not grant a request for an alternative requirement, the student may appeal that denial in writing to the department head. (If the department head is the instructor of the course, the student may appeal the denial to the academic dean of the college. If the dean is the instructor, the student may appeal to the provost.) The department head (or dean or provost, as applicable) will, in consultation with the faculty member, act within two school days. The department head (or dean or provost, as applicable) will uphold the denial unless they find that the denial was arbitrary and capricious or illegal. The student may appeal the department head's decision to the academic dean of the college. The academic dean's determination will be final as it pertains to the specific request for an alternative requirement. Faculty challenges to the appropriateness of this decision should follow established grievance procedures (Policy 4006.5, Grievances). The student may but is not required to participate in these further reviews.

If the faculty instructor disagrees with the dean's decision that the instructor's denial of the student's request was arbitrary and capricious or illegal, the faculty instructor may not be compelled against their professional judgment to administer the requested alternative requirement for the student. If the faculty instructor declines to administer the alternative requirement, it will be the responsibility of the dean in consultation with the department head to design and administer the alternative requirement for the student in order to satisfy the student's request. The dean (or dean's appropriate designee) will determine the student's grade on that specific alternative requirement and will report that grade to the course instructor, who will incorporate that grade for the requirement into the total grade for the course. The final grade in the course will be determined by the faculty instructor and will be calculated in the same way as the final grade is determined for all other students in the course.

A student in good standing may determine, after the last day to submit a petition for late course drop without penalty, that a course requirement conflicts with the student's sincerely held core beliefs. If the instructor has denied the student's written request for an alternative requirement, the student may seek permission in writing from the dean to withdraw without receiving a W on their transcript and to receive a refund of tuition for that class. It is the student's responsibility to determine any effect withdrawing from the course may have on the student's financial aid. In making this request the student must demonstrate that they could not have made this determination prior to the last day to drop courses without penalty, or that the request was made prior to the last day to drop a course and a decision was made after the drop date. The dean's determination will be final.

Decisions on requests for alternative requirements will not be considered adversely to a faculty member in retention, promotion and tenure, or other proceedings as long as those decisions are made in good faith. Faculty will not take adverse academic action against students requesting alternative requirements. Neither the academic college dean, nor the vice president for statewide campuses, nor the department head, will take any adverse action against an instructor based on the instructor's decision to provide or not to provide an alternative requirement for a student.

4002.3 RESPONSIBILITIES

3.1 Responsible Office/Party

4002.4 REFERENCES

4002.5 RELATED USU POLICIES

- 4000: Composition and Authority of the Faculty
-

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: [Michele Hillard](#)

POLICY HISTORY

Original issue date: 1997/07/01

Last revision date: 2022/02/01

Next scheduled review date: 2029/04/01

Previous revision dates: 2006/10/20, 2009/03/06, 2011/07/08, 2012/01/06.



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MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Chris Corcoran, Provost & Executive Vice President
Paul J. Barr, Executive Vice Provost
DATE: August 7, 2026
RE: Revisions to Policy 4003: Faculty Appointments

BACKGROUND: USU Policy 4003 establishes the requirements and procedures for various faculty appointments, defining them as contractual agreements centered on a faculty member's role statement and primary professional commitment to the university. It details the recruitment and hiring process, including search committee composition, advertising standards, and the general requirement for student involvement in candidate evaluations. The policy also outlines the terms for automatic annual renewals for most faculty ranks and provides specific guidelines for the appointment and tenure requirements of academic administrators.

These revisions were drafted and reviewed by a Policy Development Team which included Paul Barr, Maureen Hearn, Nikki Kendrick, Gretchen Peacock, Claudia Radel, Larry Smith, and Rebekah Watts.

KEY PROVISIONS:

- States tenure requirements for service on search and screening committees
- Requires faculty representation from specific campus for statewide positions
- Expands interview requirements for candidates to be invited to the Logan campus
- Allows exception to student involvement for county extension faculty searches
- Refines process for automatic annual renewal of professional faculty to mirror process for tenure and tenure-eligible faculty
- Requires deans and department heads to hold tenured status within the academic unit or college appointed to lead
- States expectation for academic year faculty to start on the first day of the academic year work calendar as posted by the provost's office.
- Aligned policy with general university policies regarding non-discrimination and procedures for managing professional commitments

Faculty were invited to provide comments and feedback during two different public comment periods. The comments and insights were carefully considered by the Policy Development Team.

ACTION: USU Policy 4003: Faculty Appointments has been developed by the processes outlined in USU Policy 1001: University Policy System. The University Leadership Council approved this policy during the June 10,



2026, meeting. The President and Provost recommend that the Board of Trustees approve the revisions to USU Policy 4003: Faculty Appointments

ATTACHMENTS:

Policy 4003 proposed revisions

Policy 4003 red-lined version

Policy 4003 current version



University Policy 4003: Faculty Appointments

Category: Academic Affairs

Subcategory: Faculty Code

Covered Individuals: Faculty

Responsible Executive: President

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

Last Revised: 2026/MM/DD

Previous USU Policy Number: 402

4003.1 PURPOSE AND SCOPE

This Policy 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 Policy, the faculty member's role statement (See USU Policy 4004.6.1, Role Statement and Role Assignment (for tenure-eligible faculty), and USU Policy 4004.11.1, Role Statement and Role Assignment (for term faculty)), and merit increase criteria. As an integral part of the appointment, faculty will 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 will not discriminate against any candidate based on protected characteristics (see USU Interim Policy 2101: Discrimination based on Protected Characteristics).

Faculty positions and administrative positions to be filled by faculty members, when external searches are being conducted, will be advertised in outlets most likely to reach qualified persons who may have an interest. In addition to candidate-initiated applications, faculty will be invited to submit nominations, and the search and screening committee will identify qualified candidates by encouraging nominations and 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, librarianship along with related and supporting services, and are described in the role statement.

2.1.2.1 Professional Commitment

The University has a right to the professional services of each faculty member as described in the role statement and to the extent prescribed by the faculty member's appointment. Faculty are expected to be committed to their University duties during periods of their appointment. Conflicts of commitment between University duties and outside activities will be addressed in accordance with USU Policy 2301: Individual Conflicts of Interest.

2.1.2.2 Automatic Renewal for Tenured Faculty

The appointments of tenured faculty will be automatically renewed annually. Notice regarding changes to status will be in accordance with other faculty code policies including:

- USU Policy 4005.2.3, Terminations; Reductions in Status (Program Discontinuance);
- USU Policy 4005.4.4, Terminations; Reduction in Status (Financial Exigency);
- USU Policy 4006.2, Sanctions; and USU Policy 4006.4, Sanctions Other than Reprimands.

2.1.2.3 Automatic Renewal for Tenure-eligible Faculty

The appointments of tenure-eligible faculty in the probationary period are automatically renewed annually unless they receive notice of non-renewal in accordance with other faculty code policies including:

- USU Policy 4005.2.3, Terminations; Reductions in Status (Program Discontinuance);
- USU Policy 4005.4.4, Terminations; Reduction in Status (Financial Exigency);
- USU Policy 4006.2, Sanctions;
- USU Policy 4006.4, Procedures for Sanctions Other than Reprimands; and
- USU Policy 4006.6, Non- Renewal.

2.1.2.4 Automatic Renewal for Professional Faculty

The appointments of Professional Faculty are automatically renewed annually unless they receive notice of non-renewal in accordance with other faculty code policies including:

- USU Policy 4004.12.1, Annual Review of Faculty;
- USU Policy 4005.2.3, Terminations; Reductions in Status (Program Discontinuance);
- USU Policy 4005.4.4, Terminations; Reduction in Status (Financial Exigency);
- USU Policy 4006.2, Sanctions;
- USU Policy 4006.4, Procedures for Sanctions Other than Reprimands; and
- USU Policy 4006.6, Non-Renewal.

2.1.2.5 Renewal for Faculty with Limited Appointments

Renewal for Limited appointments for faculty are renewed at the discretion of the academic unit in which the appointment is held. Limited appointments may expire without notice of non-renewal.

2.1.2.6 Resignation or Retirement

Faculty who decide to resign or retire will submit a letter of resignation/retirement as soon as possible. The letter will indicate the effective date of resignation/retirement and be submitted to the department head or supervisor who notifies the appropriate dean, or Vice President for Extension, and statewide campus administrator where appropriate. The appropriate dean or Vice President for Extension will notify the Provost who, in turn, will notify the President. A faculty member's resignation/retirement terminates all faculty rights and privileges.

2.1.2.7 Supplemental Compensation

The University will provide additional compensation for temporary assignments or supplemental appointments beyond the professional services outlined in a faculty's role statement and included in their primary appointment. Temporary assignments and supplemental appointments may not adversely affect the responsibilities described in the role statement under the faculty's regular appointment. In cases of extra-service compensation, USU Interim Policy 3201: Extra Service Compensation must be followed.

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 4004.6.1, Role Statement and Role Assignment (for tenure-eligible faculty), and 4004.11.1, Role Statement and Role Assignment (for professional faculty).

2.1.2.9 Salary Increases

Salary increases for faculty will be determined following an annual performance review, as outlined in USU Policy 4004, Tenured and Term Appointments: Evaluation, Promotion, and Retention, by the appropriate administrators, including the department head or supervisor, dean, Vice President for Extension, or statewide campus administrators. Consideration will be given to the quality of the entire range of professional services as defined in the faculty member's role statement and USU Policy 4002, Academic Freedom and Professional Responsibility.

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:

- USU Policy 4004.2, Tenure and Promotion: Criteria for Core Faculty Ranks;
- USU Policy 4004.3, Tenure and Promotion: Criteria for Librarians;
- USU Policy 4004.4, Tenure and Promotion: Criteria for Faculty with Extension Ranks.

2.1.4 Graduate Degrees from the University

Except under unusual circumstances, and to avoid potential conflicts of interest, the University will not grant graduate degrees to its own faculty where the degree satisfies a prerequisite for appointment or advancement in rank. Requests for exceptions will be individually considered and approved by the Provost.

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 semesters 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.

An academic year does not exceed 274 consecutive calendar days commencing in August. Faculty members are expected to start work and be available on the first day of the academic year work calendar (as posted by the Provost's office annually) and continue through the last day. Within this framework, in any given year, the specific dates for the academic year are approved by the University Leadership Council. Fiscal year appointments can be 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 Professional Appointments

The department head or supervisor and the search and screening committee are responsible to ensure that all applicable policies and law are adhered to throughout the appointment process.

2.3.1 Approval of Faculty Positions

The department head, after consultation with faculty, makes a request for faculty positions to the dean. Faculty may recommend new faculty positions to the Department Head to meet programming needs.

The dean or Vice President for Extension will obtain approval from the Provost to establish or fill any faculty position.

2.3.2 Search and Screening Committee

The department head or supervisor will appoint a search and screening committee of not less than five members which will be approved by the dean. A majority must be appointed from among the faculty of the department conducting the search. Only tenured, tenure-eligible, and professional faculty are able to serve on search and screening committees. 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.

2.3.3 Job Description and Advertising

The search and screening committee will prepare the job description in accordance with University policy. The search and screening committee will present the job description to the department head or supervisor for review and share it with the faculty. The dean, in consultation with the Provost's Office, will approve the final job description. Once approved, the department, in consultation with Human Resources, will develop a thorough and appropriate search and advertising plan.

2.3.4 Application Screening

The search and screening committee will screen applicants according to the job description and identify candidates for further consideration by the faculty and pertinent administrators. The search and screening committee will identify at least three candidates, if possible, for a final round of interviews. Final round candidates must be approved by the department head and dean.

2.3.5 On-Campus Interviews

Final round candidates will be invited, at University expense, to the campus location where they will reside to be interviewed by the academic unit's faculty and pertinent administrators. In addition, final round candidates who will reside at a statewide location will also be invited to interview at the Logan campus, when appropriate.

2.3.6 Student Input

The department will involve students in the evaluation of faculty candidates. County extension faculty searches may be excluded from this requirement. Students will be given an opportunity to provide feedback to the search and screening committee.

2.3.7 Final Input and Committee Recommendation

At the conclusion of the final round of candidate interviews, the search and screening committee will solicit input from faculty and other relevant parties. Utilizing this input and their own knowledge of the candidates, the search and screening committee will present its list of acceptable candidates with assessed strengths and weaknesses and any other supporting information, to the department head or supervisor.

2.3.8 Recommendation of Department Head and Dean

The department head or supervisor will forward a recommendation from the list of acceptable candidates submitted by the search and screening committee, including all supporting information, to the dean and, where appropriate, the Vice President for Extension.

The dean and, where applicable, the Vice President for Extension will forward a recommendation to the Provost, including all supporting information.

2.3.9 Approval of Appointment by Provost

The Provost will review the recommendation by the dean and authorize the department head to make a tentative offer to the candidate. The department head will work with the candidate to negotiate final terms of hire. The final offer of employment must be approved by the dean and Provost.

2.4 Appointment Procedures: Faculty with Limited Appointments

The department head or supervisor is responsible to ensure that all applicable policies and law 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, the Vice President for Extension. The dean and, where appropriate, the Vice President for Extension will make a decision regarding 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 of Temporary Appointment

The department head or supervisor will 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.

2.4.2.3 Job Description and Advertising

The department head or supervisor, together with the appropriate dean, or Vice President for Extension, will prepare the job description and advertise in accordance with University policy.

2.4.2.4 Recommendation

The department head or supervisor will consult with the faculty and then make a recommendation to the appropriate dean, or Vice President for Extension. In turn, the dean, or Vice President for Extension, will make a recommendation to the Provost.

2.4.2.5 Approval of Appointment by Provost

The Provost as the President's designee, will make a decision regarding the appointment of the candidate. The Vice President of Statewide Campuses will be notified of the final decisions, as appropriate.

2.4.3 Emergency Appointments

Emergency appointments to the temporary ranks (USU Policy 4000.2.5.2.3, 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 4003.2.4.2, Temporary Ranks and Titles. The Vice President of Statewide Campuses will be notified of any final decisions, as appropriate.

2.5 Appointment Procedures: Department Administration

The dean, or Vice President for Extension, and the search and screening committee are responsible to

ensure that all applicable policies and law are adhered to throughout the appointment process.

2.5.1 Appointment of Department Heads

To start the appointment procedure for a department head, the dean will consult with the department faculty regarding the qualifications, duties, and responsibilities of the position. This consultation should address the search timeline and whether it is to be an external or internal search. Department heads are appointed as faculty.

2.5.1.1 External Search Procedures for Department Heads

The academic unit will conduct an external search whenever possible for department heads. Applications from qualified faculty of the University will be considered.

2.5.1.2 Authorization of Appointment of Department Heads

The dean will obtain authorization from the Provost to establish or fill a department head appointment.

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 must be appointed from among the faculty of the department or the library, if the search occurs there. Only tenured, tenure-eligible, and professional faculty are able to serve on department head search and screening committees.

2.5.1.4 Job Description and Advertising

In consultation with the dean and the faculty of the department, 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 candidates for further consideration by the faculty and appropriate administrators. Where feasible, at least three candidates will be identified.

2.5.1.6 On-campus Interviews

Candidates will be invited to come to the Logan campus 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.

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 with assessed strengths and weaknesses and any other supporting information to the dean.

2.5.1.8 Recommendation of Dean

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

The Provost will review the recommendation by the dean and authorize the dean to make a tentative

offer to the candidate. The dean will work with the candidate to negotiate final terms of hire. The final offer of employment must be approved by the Provost.

2.5.1.10 Tenure of Appointed Department Heads

The tenure of appointed department heads is held in the appointing academic unit. For departments that include tenured/tenure track faculty, the department head must have tenure. Exceptions to these tenure requirements may be submitted by the dean to the Provost for consideration.

2.5.2 Internal Search Procedures for Department Heads

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

- **Internal Circulation of Job Description:** The job description will not be advertised externally but will be circulated internally. Interested faculty will submit applications to the search and screening committee.

2.5.3 Appointment of Assistant or Associate Department Heads

Assistant or associate department heads are appointed by the appropriate department head, subsequent to consultation with the faculty in the department.

2.6 Appointment Procedures: College Administration

The President, or designee, and the search and screening committee are responsible to ensure that all applicable policies and law are adhered to throughout the appointment process.

2.6.1 Appointment of Deans

The University will conduct an external search whenever possible for deans. Applications from qualified faculty of the University will be considered.

2.6.1.1 Search and Screening Committee

The President, or President's designee, will appoint a representative search and screening committee and chair following consultation with the President of the Faculty Senate, administrators, appropriate faculty, and affected staff. The committee will be structured to represent the interests of the college's faculty.

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

The search and screening committee will screen applicants according to the position announcement and identify candidates for further consideration. Where feasible, at least three finalists will be identified. The list of finalists with assessed strengths and weaknesses will be recommended to the Provost.

2.6.1.4 Finalist Interviews

The Provost will review the list of recommended finalists with the President. With the President's approval, the finalists will be announced to the University community and invited to campus for a

series of interviews.

2.6.1.5 *Selection of the Dean*

The Provost will evaluate input from, administrators, faculty, and staff and make a recommendation to the President. The President makes the final decision.

2.6.1.6 *Tenure of Appointee*

Dean appointments require tenured faculty status within the college (or Library) they will lead. The Provost may choose to waive this requirement.

2.6.2 Internal Search Procedures

The President may decide that an internal search for a dean appointment is appropriate based on circumstances and consultation.

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

- **Internal Circulation of Job Description:** The job description will not be advertised externally but will be circulated internally. Interested faculty will submit applications to the search and screening committee.

2.6.2.1 *Appointment of Assistant or Associate Deans*

Assistant or associate deans are appointed by the dean, subsequent to consultation with faculty in the college (or Library).

4003.3 RELATED USU POLICIES

- [Policy 4004: Tenured and Term Appointments: Evaluation, Promotion and Retention](#)
- [Policy 4005: Program Discontinuance, Financial Exigency and Financial Crisis](#)
- [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.

RESOURCES

Contacts

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

POLICY HISTORY

Original issue date: 1997/07/01

Last review date: 2026/MM/DD

Next scheduled review date: 2029/04/01

Previous revision dates: 1999/07/01, 2009/03/06, 2011/07/08, 2022/02/01; 2023/11/14



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

Last Revised: ~~2023/11/14~~ 2026/MM/DD

Previous USU Policy Number: 402: ~~Faculty Appointments~~

4003.1 PURPOSE AND SCOPE

This ~~section~~Policy 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~~Policy, the faculty member's role statement (See USU Policy~~ies~~ 4004.6.1, Role Statement and Role Assignment (for tenure-eligible faculty), and USU Policy 4004.11.1, Role Statement and Role Assignment (for term faculty)) and merit increase criteria, ~~and salary notification and benefits forms~~. As an integral part of the appointment, faculty will 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~~ will not discriminate against any candidate based on a protected characteristics (see USU Interim Policy 2101: Discrimination based on Protected Characteristics), ~~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 outlets 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, librarianship, 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~~ Professional Commitment

The University has a right to ~~the full-time~~the professional services of each faculty member as described in the role statement and to the extent prescribed by the faculty member's appointment. Faculty are expected to be committed to their ~~devote their primary professional allegiance, time, and effort to their~~ University duties during periods of their appointment. See Procedure 2301-PR3: Conflicts of Commitment. Conflicts of commitment between University duties and outside activities will be addressed in accordance with USU Policy 2301: Individual Conflicts of Interest.

2.1.2.2 Automatic Renewal for Tenured Faculty

The appointments of tenured faculty ~~members~~ will be automatically renewed annually. Notice regarding changes to status ~~will in writing of intent to dismiss a tenured faculty member shall~~ be in accordance with other faculty code policies including:

- USU Policy 4005.2.3, Terminations; Reductions in Status (Program Discontinuance);
- USU Policy 4005.4.4, Terminations; Reduction in Status (Financial Exigency);
- USU Policy 4006.2.1.5, Dismissal-Sanctions; and
- ~~USU Policy 4006.4.2, Notice of Intent to Impose a Sanction~~ Procedures for Sanctions Other than Reprimands. ~~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 other faculty code policies including: Policy 4006.6, Non-Renewal (in particular, 6.3, Notice of Non-Renewal)

- USU Policy 4005.2.3, Terminations; Reductions in Status (Program Discontinuance);
 - USU Policy 4005.4.4, Terminations; Reduction in Status (Financial Exigency);
 - USU Policy 4006.2, Sanctions;
 - USU Policy 4006.4, Procedures for Sanctions Other than Reprimands; and
 - USU Policy 4006.6, 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 4006.2.1.5, Dismissal.~~

2.1.2.4 Automatic Renewal for ~~Term~~ Professional Faculty ~~Appointments~~

~~Term appointments for faculty members~~ The appointments of Professional Faculty are automatically renewed annually unless they receive notice of non-renewal in accordance with other faculty code policies including:

- USU Policy 4004.12.1, Annual Review of Faculty;
 - USU Policy 4005.2.3, Terminations; Reductions in Status (Program Discontinuance);
 - USU Policy 4005.4.4, Terminations; Reduction in Status (Financial Exigency);
 - USU Policy 4006.2, Sanctions;
 - USU Policy 4006.4, Procedures for Sanctions Other than Reprimands; and
 - USU Policy 4006.6, Non-Renewal.
- ~~, 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~~ Faculty with Limited Appointments

Renewal for Limited ~~Special~~ appointments for faculty ~~members~~ are renewed at the discretion of the academic unit in which the appointment is held. ~~Special~~ Limited appointments may expire without notice of non-renewal.

2.1.2.6 ~~Resignation~~ or Retirement

Faculty who decide to resign or ~~, including cases of retirement,~~ will submit ~~Decisions to resign shall be submitted~~ a letter of resignation/retirement in writing by the faculty member as soon as possible. The letter will indicate the effective date of resignation/retirement, ~~but not later than three months prior to the effective date of resignation. The notice shall~~ and be submitted to the department head or supervisor who notifies the ~~that administrator shall advise the~~ appropriate dean, or Vice President for Extension, ~~or and~~ statewide campus ~~director~~ administrator where appropriate, ~~of the decision.~~ The appropriate dean or Vice President for Extension ~~shall will~~ advise ~~notify~~ the Provost who, in turn, ~~shall~~ will advise ~~notify~~ the President. A faculty member's resignation/retirement terminates all faculty 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~~ The U ~~university from will~~ employing ~~provide~~ additional compensation ~~faculty members~~ for temporary assignments or ~~a~~ supplemental appointments beyond the professional services outlined in a faculty's role statement and included in their primary appointment ~~with additional salary covering professional services beyond a standard load.~~ Temporary assignments and supplemental appointments may not adversely affect the responsibilities described in the role statement under the faculty's regular appointment. In cases of extra-service compensation USU Interim Policy 3201: Extra Service Compensation must be followed ~~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 (Policy 3201).~~ 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~~ will 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~~ professional faculty).

2.1.2.9 ~~Merit~~ Salary Increases

~~The M~~ merit ~~S~~ salary increases for ~~of~~ individual faculty ~~members shall~~ will be arrived at ~~determined~~ following an annual ~~appraisal of~~ performance review, as outlined in USU Policy 4004, Tenured and Term Appointments: Evaluation, Promotion, and Retention, by the appropriate administrators, including the department head or supervisor, dean, Vice President for Extension, or ~~vice president for~~ statewide campus administrators ~~es~~. Consideration will be given to the quality of the entire range of professional services as defined in the faculty member's role statement and USU Policy 4002, Academic Freedom and Professional Responsibility ~~and Policy 3002, Respectful Workplace.~~

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:

- [USU Policy 4004.2, Appointment, Tenure, and Promotion: Criteria for Core Faculty Ranks;](#)
- [USU Policy 4004.3, Appointment, Tenure, and Promotion: Criteria for Librarians;](#)
- [USU Policy 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, ~~and to avoid the appearance of potential a conflicts of interest, it is the policy of~~ the University will 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~~ will 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~~ semesters 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. Faculty members are expected to start work and be available on the first day of the academic year work calendar (as posted by the Provost's office annually) and continue through the last day. Within this framework in any given year the specific dates for the academic year are approved by the ~~Executive Committee~~ University Leadership Council. Fiscal year appointments ~~are~~ can be 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~~ Professional Appointments

The department head or supervisor and the search and screening committee are responsible to ensure that all applicable policies and law, ~~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 ~~2.3.1~~ Authorization for Approval of Faculty Positions ~~Appointment~~

The department head, after consultation with faculty, makes a request for faculty positions to the dean. Faculty may recommend new faculty positions to the Department Head to meet programming needs.

~~The department head or supervisor shall obtain authorization from the provost, through the appropriate dean or, Vice President for Extension, or vice president for statewide campuses, will obtain approval from the Provost to establish or fill any faculty appointment position on the academic unit's faculty.~~

2.3.3 ~~2.3.2~~ Search and Screening Committee

The department head or supervisor ~~shall~~ will appoint a search and screening committee of not less than five members ~~which will be approved by the dean~~. A majority, ~~and, where possible five members,~~ must be appointed from among the faculty of the department ~~conducting the search or the library if the search occurs there~~. Only tenured, tenure-eligible, and professional faculty are able to serve on search and screening committees. 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 4000.2.4.3.4, Limitations on Faculty Participation (for term faculty) and 4000.2.5.3.2, Limitations on Faculty Participation (for faculty with special appointments) for limitations on appointments of faculty to serve on search and screening committees.~~

2.3.4.2.3.3 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,~~ I the search and screening committee ~~shall~~ will prepare the job description ~~and advertising~~ in accordance with University ~~regulations~~ policy. The search and screening committee will present the job description to the department head or supervisor for review and share it with the and faculty for review. The dean, in consultation with the Provost's Office, will approve the final job description. Once approved, the department, in consultation with Human Resources, will develop a thorough and appropriate search and advertising plan.

2.3.5.2.3.4 Application Screening

The search and screening committee ~~shall~~ will screen applicants according to the job description and identify ~~a suitable pool of candidates to be further considered~~ for further consideration by the faculty and pertinent administrators. ~~Where feasible, The search and screening committee will identify at least three candidates, if possible, shall be identified for a final round of interviews. Final round candidates must be approved by the~~ department head ~~and~~ dean.

2.3.5 On-Campus Interviews

~~Final round candidates will be invited to come to the Logan campus 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.~~ Final round candidates will be invited, at University expense, to the campus location where they will reside to be interviewed by the academic unit's faculty and pertinent administrators. In addition, final round candidates who will reside at a statewide location will also be invited to interview at the Logan campus, when appropriate.

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~~ 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~~ may be excluded from this requirement. ~~Instructions for how s~~ tudents ~~shall~~ will be given an opportunity to provide feedback ~~will be provided to students when the invitation to interview is extended to the candidate. This student feedback shall be reviewed by to~~ the search and screening committee.

2.3.7 Faculty and Administrator and Student Final Input and Committee Recommendation

~~When the investigation~~ At the conclusion of the final round of candidate interviews ~~of candidates has been completed,~~ the search and screening committee ~~shall~~ will solicit ~~recommendations input~~ from faculty and other relevant parties ~~pertinent administrators~~. Utilizing ~~these~~ this ~~recommendations input~~ and their own knowledge of the candidates, the search and screening committee ~~members shall~~ will present its list of acceptable candidates with assessed strengths and weaknesses and ~~all any other~~ supporting information, ~~ranked in order of preference~~, to the department head or supervisor.

2.3.8 Recommendation of Department Head and Dean

~~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-submitted~~ 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, dean and, where applicable, the Vice President for Extension, will forward ~~to the provost the dean's~~ a recommendation to the Provost, including all supporting information together with all pertinent and supportive data from the faculty and the department head or supervisor.

2.3.10 ~~2.3.9~~ Approval of Appointment by Provost

~~If the provost is in agreement, the P~~provost, ~~as the president's designee, shall~~ will review the recommendation by the dean and authorize the department head to make a tentative offer to approve ~~make a decision regarding the appointment of~~ the candidate. The department head will work with the candidate to negotiate final terms of hire. The final offer of employment must be approved by the dean and Provost.

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~~ Limited Appointments

The department head or supervisor is responsible to ensure that all applicable policies and law, ~~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~~ will consult with the faculty and then make a recommendation to the dean and, where appropriate, the Vice President for Extension. ~~In turn, t~~the dean and, where appropriate, the Vice President for Extension ~~shall~~ will ~~make a recommendation to the provost. If the provost is in agreement, the provost, as the president's designee, shall~~ make as decision regarding 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~~ will 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 will 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~~ will prepare the job description and advertising in accordance with [University regulations policy](#).

2.4.2.4 Recommendation

The department head or supervisor ~~shall~~ will consult with the faculty and then make a recommendation to the appropriate dean, or Vice President for Extension. In turn, the dean, or Vice President for Extension, ~~or vice president for statewide campuses shall~~ will make a recommendation to the Provost.

2.4.2.5 Approval of Appointment by Provost

~~Approval of Appointment by Provost. If the~~ The Provost ~~is in agreement, the provost,~~ as the President's designee, will [make a decision regarding the appointment of the candidate](#). ~~approve the appointment of the candidate.~~ The Vice President of Statewide Campuses will be notified of the final decisions, [as appropriate](#).

2.4.3 Emergency Appointments

Emergency appointments to the temporary ranks (USU Policy 4000.2.5.2.3, Temporary Ranks) may be approved by the ~~P~~provost after consultation with the appropriate dean, or Vice President for Extension, and the appropriate department head or supervisor without following the procedures in 4003.2.4.2, Temporary Ranks and Titles. The Vice President of Statewide Campuses will be notified of any final decisions, [as appropriate](#).

2.5 Appointment Procedures: ~~Faculty with Administrative Duties in an Academic Unit~~ [Department Administration](#)

The ~~department head or supervisor,~~ dean, or Vice President for Extension, and the search and screening committee are responsible to ensure that all applicable policies [and law](#), ~~including but not limited to Policy 2100, Affirmative Action/Equal Opportunity,~~ are adhered to throughout the appointment process.

2.5.1 ~~2.5.1~~ [Appointment of Department Heads](#)

[To start the appointment procedure for a department head, the dean will consult with the department faculty regarding the qualifications, duties, and responsibilities of the position. This consultation should address the search timeline and whether it is to be an external or internal search. Department heads are appointed as faculty.](#)

2.5.1.1 External Search Procedures for ~~Heads of Academic Units~~ [Department Heads](#)

The academic unit will ~~make good faith efforts to acquire the resources to~~ conduct an external search [whenever possible](#) for ~~faculty with administrative duties in the academic unit~~ [department heads](#). Applications from qualified faculty of the [University](#) will be considered.

~~2.5.1.2~~ **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.~~

~~2.5.1.3~~ 2.5.1.2 [Authorization of Appointment for Faculty Position with Administrative Duties of Department Heads](#)

~~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.~~ [department head appointment](#).

~~2.5.1.4~~ 2.5.1.3 *Search and Screening Committee*

~~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. Only tenured, tenure-eligible, and professional faculty are able to serve on department head search and screening committees. ~~See Policies 4000.2.4.3.4, Limitations on Faculty Participation (for term faculty) and USU Policy 4000.2.5.3.2, Limitations on Faculty Participation (for faculty with special limited appointments, are not eligible to serve on search and screening committees).~~ ~~for limitations on appointments of faculty to serve on search and screening committees.~~

~~2.5.1.5~~ 2.5.1.4 *Job Description and Advertising*

In consultation with the dean and the faculty of the ~~unit~~department, the search and screening committee will prepare the job description and advertising in accordance with University policies.

~~2.5.1.6~~ 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~~for further consideration ~~ed~~ by the faculty and appropriate administrators. Where feasible, at least three candidates will be identified.

~~2.5.1.7~~ 2.5.1.6 *On-campus ~~Evaluation~~Interviews*

Candidates will be invited to come to the Logan campus 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.~~

~~2.5.1.8~~ 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 with assessed strengths and weaknesses and any other supporting information ~~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.~~

~~2.5.1.9~~ 2.5.1.8 *Recommendation of Dean*

Subsequent to ~~meaningful~~ consultation with the faculty search and screening committee, 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 P~~ro~~vost.

~~2.5.1.10~~ 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.~~ The Provost will review the recommendation by the dean and authorize the dean to make a tentative offer to the candidate. The dean will work with the candidate to negotiate final terms of hire. The final offer of employment must be approved by the Provost.

2.5.1.11 Tentative Offers

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

~~2.5.1.12~~ 2.5.1.10 *Tenure of Appointed ~~Faculty~~Department Heads*

The tenure of ~~faculty with administrative duties~~ appointed department heads is held in the appointing academic unit. For departments that include tenured/tenure track faculty, it is required that the department head must have tenure. Exceptions to these tenure requirements may be submitted by the dean to the Provost for consideration.

2.5.2 Internal Search Procedures for Department Heads ~~of Academic Units~~

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

- Internal Circulation of Job Description: The job description will not be advertised externally but will be circulated internally. Interested faculty will submit applications to the search and screening committee.

~~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.~~

~~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~~ Department Heads ~~Departmental Administrative Duties in a Department or Other Academic Unit~~

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

2.6 Appointment Procedures: ~~For Faculty with Administrative Duties Outside an Academic Unit~~ College Administration

The President, or designee, and the search and screening committee are responsible to ensure that all applicable policies and law, including but not limited to ~~Policy 2100, Affirmative Action/Equal Opportunity~~, are adhered to throughout the appointment process.

2.6.1 Appointment of Deans

~~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. The University will conduct an external search whenever possible for deans. Applications from qualified faculty of the University will be considered.~~

2.6.1.1 Search and Screening Committee

~~When a vacancy occurs, the president~~ President, or President's designee, 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~~ the interests of the college'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 ~~P~~rovost and ~~P~~resident before its publication. The position announcement will be published by the ~~u~~niversity.

2.6.1.3 Application Review and Recommendation

The search and screening committee will screen applicants according to the position announcement and identify candidates for further consideration. Where feasible, at least three finalists will be identified. The list of finalists with assessed strengths and weaknesses will be recommended to the Provost.

~~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.~~

~~The committee shall evaluate all applications using the position announcement as the initial criterion for eliminating unqualified applicants.~~

~~The committee shall reduce the number of qualified applicants to manageable proportions.~~

~~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

~~The Provost will When the final list of candidates has been reviewed the list of recommended finalists with the P~~resident. With the President's approval, the names of the finalists will be announced to the University community and invited to campus for a series of interviews. ~~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~~Dean

~~The president~~Provost ~~shall will~~ evaluate input from ~~the committee~~, administrators, faculty, and staff ~~in making and make a recommendation to the President.~~ selection from the list of final candidates recommended by the committee. The President makes the final decision. ~~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~~notify the Board of Trustees the appointment of the selected candidate.

~~2.6.1.7 Faculty Status Assignments~~

~~2.6.1.8 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.~~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~~2.6.1.6 Tenure of Appointee

Dean appointments require tenured faculty status within the college (or Library) they will lead. ~~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.~~ [The Provost may choose to waive this requirement.](#)

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 President may decide that an internal search for a dean appointment is appropriate based on circumstances and consultation.](#)

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

- [Internal Circulation of Job Description:](#) The job description will not be advertised externally but will be circulated internally. Interested faculty will submit applications to the search and screening committee.

~~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~~ [2.6.2.1](#) Appointment of Faculty with of Assistant or Associate [Deans](#) ~~Administrative Duties Outside an Unit~~

~~Assistants or associates~~ [deans](#) to these positions (for example, deans or vice presidents) are appointed [by the deans of the administrator in charge](#), subsequent to meaningful consultation with ~~the faculty in the college (or Library)~~ impacted by the appointment.

4003.5 RELATED USU POLICIES

- ~~405: Tenured and Term Appointments: Evaluation, Promotion and Retention~~ [Policy 4004: Tenured and Term Appointments: Evaluation, Promotion and Retention](#)
- ~~406: Program Discontinuance, Financial Exigency and Financial Crisis~~ [Policy 4005: Program Discontinuance, Financial Exigency and Financial Crisis](#)
- ~~407: Academic Due Process: Sanctions and Hearing Procedures~~ [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.

RESOURCES

Contacts

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

POLICY HISTORY

Original issue date: 1997/07/01

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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

Last Revised: 2023/11/14

Previous USU Policy Number: 402: Faculty Appointments

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

Original issue date: 1997/07/01

Last review date: 2023/11/14

Previous revision dates: 1999/07/01, 2009/03/06, 2011/07/08, 2022/02/01



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EXECUTIVE MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Chris Corcoran, Provost and Executive Vice President
DATE: August 7, 2026
RE: Revised USU Policy 5208: Digital Accessibility

BACKGROUND: Policy 5208: Digital Accessibility (formerly Electronic and Information Technology) has been revised to reflect changes in federal disability law and the University's expanded reliance on digital technologies for instruction, operations, and public engagement. Recent updates to federal regulations under the Americans with Disabilities Act (ADA) require that digital content, systems, and services provided by public universities be accessible to individuals with disabilities by April 2027. As USU's digital footprint has expanded across websites, learning management systems, enterprise software, digital communications, and third-party platforms, a modernized policy framework is necessary to ensure compliance, reduce institutional risk, and embed accessibility into everyday practice.

KEY PROVISIONS: The revised policy was developed in collaboration with the Digital Accessibility Steering Committee. Policy 5208 significantly expands the scope, expectations, and governance framework of the former policy by:

- Clarifying comprehensive coverage of all Digital Technology used to deliver University programs, services, and activities, including websites, course content, digital documents, software, digital communications, digital signage, and third-party platforms.
- Clearly assigning responsibility to content creators, unit leadership, designated Unit Digital Accessibility Liaisons, Digital Accessibility Services, and the Digital Accessibility Steering Committee, establishing a coordinated governance structure rather than relying on informal or decentralized compliance efforts.
- Embedding accessibility considerations at the point of design, development, procurement, and publication.
- Establishing vendor accountability by requiring vendors and contractors providing Digital Technology to meet institutional accessibility standards through review and contractual requirements.
- Formalizing institutional oversight and reporting by charging Digital Accessibility Services and the Digital Accessibility Steering Committee with maintaining standards, coordinating audits and remediation initiatives, monitoring institutional risk, and providing regular updates to university leadership.

IMPLEMENTATION: Implementation of Policy 5208 will be phased and coordinated at both the institutional and unit levels through updated Digital Accessibility Standards and procedures, designation of Unit Digital Accessibility Liaisons, role-based training, procurement integration, ongoing audits and risk assessments, and regular reporting to the Digital Accessibility Steering Committee and university leadership.

ACTION: USU Policy 5208: Digital Accessibility has been developed by the processes outlined in USU Policy 1001: University Policy System. The University Leadership Council approved this policy during the May 13, 2026, meeting. The President and Provost recommend that the Board of Trustees approve the revisions to USU Policy 5208: Digital Accessibility.

ATTACHMENTS: Policy 5208: Digital Accessibility (new version); Policy 5208: Digital Accessibility (red-lined version)



University Policy 5208: Digital Accessibility

Category: Facilities, Operations, IT

Subcategory: Information Technology

Covered Individuals: Employees, Students, and Visitors

Responsible Executive: Provost and Executive Vice President

Policy Custodian: Digital Accessibility Services, Digital Accessibility Officer

Last Revised: 2026/MM/DD

Previous USU Policy Number: 559

5208.1 PURPOSE AND SCOPE

Utah State University (USU) is committed to providing equal access to all University programs, services, and activities provided through Digital Technology, in accordance with University Digital Accessibility Standards, applicable state and federal laws, and University policies. All University [Units](#), including academic colleges, departments, administrative Units, centers and institutes, and all employees, faculty, student employees, volunteers, and contractors who create, manage, or procure covered Digital Technology on behalf of the University are responsible for adhering to this Policy.

This Policy is intended to do the following:

- Establish [Accessibility](#) standards for [Digital Technology](#)
- Define roles and responsibilities for implementing digital Accessibility
- Provide a framework for training, monitoring, exception handling, and grievance resolution

This Policy applies to all Digital Technology, including but not limited to the following:

- **Websites and web content** that are owned, funded, or maintained by USU, including public-facing websites, intranet sites, and web applications under University domains or otherwise representing the University
- **Course and instructional content**, including but not limited to content housed in learning management systems (e.g., Canvas, Learn Blue), web-based instructional tools, digital course packets, and online assessments;
- **Digital documents and media** created, used, or distributed for official University purposes, including PDFs, word processing files, presentations, spreadsheets, forms, videos, audio content, and images
- **Software, systems, and applications** (including cloud-based and locally installed software) that are developed, acquired, or used by the University to conduct its programs, services, or business operations. This includes free, paid, trial, and open-source tools
- **Digital signage, kiosks, and other electronic interfaces** used by the University for communication or service delivery
- **Third-party content and platforms** used to provide programs, services, or activities on behalf of or in partnership with the University, to the extent permitted by contract and applicable law
- **Digital communications** created, published, or distributed by the University, including emails, social media posts, digital marketing materials, and other content used in the delivery of University programs, services, or activities.

This Policy does not apply to the following:

- **Personal content** that is not used in the delivery of a University program, service, or activity is not subject to this Policy. However, when personal or individual content is used in instruction, advising, or other University functions, it must comply with this Policy.
- **Individually licensed software** used exclusively by the purchaser is excluded from this Policy. While the software itself is not required to meet this Policy, any digital content, files, communications, or materials created with that software and used for University programs, services, instruction, or activities must comply with this Policy.

5208.2 POLICY

All Digital Technology, information, and systems developed, procured, maintained, or used by the University should be Accessible to individuals with disabilities, unless doing so would impose an [Undue Burden](#) or result in a [Fundamental Alteration](#) of the nature of a program, service, or activity.

Accessibility should be considered at the point of design, creation, development, and procurement. The University expects digital Accessibility to be embedded in everyday practice, proactively preventing barriers and ensuring equitable participation for all users.

2.1 Digital Accessibility Standards

The [USU Digital Accessibility Standards](#) support this Policy by outlining the procedures, implementation guidelines, and requirements for compliance, including remediation, grievance, and exception processes.

2.2 Enforcement

Regular reviews will be conducted across Digital Technology, following the timeframes and review processes outlined in the Digital Accessibility Standards. Responsible parties will be notified of areas of non-compliance and given time to remediate Accessibility issues. Failure to address identified digital Accessibility issues may result in required remediation plans, removal of inaccessible content, or other corrective action.

2.3 Complaint and Grievance Process

The University encourages anyone to report an accessibility concern or request assistance through the [USU Accessibility Concern or Request Form](#). The University will make a good-faith effort to respond promptly and work collaboratively to resolve the issue.

If a concern is not resolved to the individual's satisfaction, a formal complaint may be filed through the same website.

Formal complaints will be assigned to an investigator, who will conduct a prompt and equitable review. Following the investigation, the individual who filed the complaint will receive a written response summarizing the findings and, where applicable, proposed steps for resolution.

The individual filing the formal complaint has the right to appeal the findings of the initial review to the Digital Accessibility Steering Committee for further consideration.

5208.3 ROLES AND RESPONSIBILITIES

As a general rule, content creators and curators are responsible for the Accessibility of the Digital Technology they create, publish, maintain, manage, or procure, with support teams providing help and guidance.

3.1 Faculty, Staff, Student Employees, and Volunteers

- Create and maintain digital content and materials in accordance with this Policy and applicable standards.
- Participate in required training on digital Accessibility relevant to their role.
- Promptly address identified Accessibility issues within their control or escalate them to appropriate support resources.

3.2 Unit Digital Accessibility Liaisons (Where Designated)

- Serve as the main point of contact between the Unit and the Digital Accessibility Services Office.
- Coordinate Unit-level training, self-audits, and remediation efforts.
- Assist in reviewing procurement requests for digital tools used within the Unit.
- Help track and report on Unit progress toward Accessibility goals.
- Maintain and regularly update an inventory of current content owners for the Unit's digital resources (e.g., websites, software, social media accounts, etc.) and share updates with the Digital Accessibility Services Office as requested.

3.3 Digital Accessibility Steering Committee

- Develop, publish, and maintain the University's Digital Accessibility Standards and other guidelines.
- Advise on strategic priorities related to digital Accessibility and compliance with applicable regulations.
- Oversee the digital Accessibility evaluation, grievance, and exception processes.
- Coordinate campus-wide digital Accessibility initiatives, including audits and remediation projects.
- Receive and review periodic reports on digital Accessibility audits, progress, and risks.

3.4 Digital Accessibility Services Office

- Develop, publish, and maintain resources to implement this Policy.
- Provide consultation and support to Units on Accessible design, development, testing, procurement, and remediation.
- Conduct Accessibility reviews, audits, and risk assessments for Digital Technology.
- Work with content creators and curators to remediate Digital Technology that does not meet the USU Digital Accessibility Standards.
- Maintain the University's central digital Accessibility website, training materials, and communication channels to promote awareness, compliance, and best practices.
- Manage processes for reporting, remediation, exceptions, and alternative access plans in alignment with this Policy and related procedures.
- Track progress, prepare compliance reports, and provide regular updates to the Digital Accessibility Steering Committee and University leadership regarding institutional Accessibility efforts and risks.

3.5 Unit Leadership (Deans, Vice Presidents, Directors, Department Heads)

- Oversee efforts to align the Unit's Digital Technology, systems, and practices with this Policy and associated standards.
- Identify or appoint a Unit Digital Accessibility Liaison or equivalent role to facilitate implementation at the Unit level.
- Promote completion of required training for faculty, staff, and student employees who create or manage Digital Technology.
- Incorporate digital Accessibility requirements into relevant job descriptions, hiring processes, and onboarding materials.

3.6 Responsible Executives (Provost, Chief Information Officer, Vice President for Finance and

Administrative Services)

- Integrate digital Accessibility into University planning, budgeting, and risk management.
- Provide support and resources to implement this Policy and associated standards.

3.7 Vendors and Contractors

- Vendors and contractors entering agreements with USU, who design, develop, or provide Digital Technology for the University must comply with the University's Accessibility standards and contractual Accessibility requirements.

5208.4 REFERENCES

- [Section 504 of the Rehabilitation Act](#)
- [The Americans with Disabilities Act](#)
- [Nondiscrimination on the Basis of Disability](#)
- [Accessibility of Web Information and Services of State and Local Government Entities \(Fact Sheet\)](#)

5208.5 RELATED USU POLICIES

- [Policy 2101: Discrimination based on Protected Characteristics](#)
- [Policy 3005: Employment-Related Reasonable Accommodation and Access for Individuals with Disabilities](#)
- [Policy 5101: University Social Media Accounts](#)
- [Policy 5209: University Website Policy](#)

5208.6 DEFINITIONS

- **Accessible / Accessibility** means that individuals with disabilities can access Digital Technology and obtain information, engage in interactions, and enjoy services substantially equivalent to those available to individuals without disabilities, with comparably effective ease of use and within the same timeframe, using commonly available assistive technologies where appropriate.
- **Digital Technology** includes all electronic and information technologies and the digital content they create, use, store, display, transmit, or distribute in support of University operations and activities. This includes, but is not limited to, web pages; documents (such as PDFs, word processing files, and presentations); images; audio and video recordings; multimedia; electronic forms; communications; and other digital materials, as well as the hardware, software, systems, and platforms used to create, convert, duplicate, store, or deliver information. Examples include computers, software applications, websites, mobile applications, learning management systems, digital kiosks, telephone systems, and other interconnected electronic systems used for official University purposes.
- **Fundamental Alteration** is a modification or change that is so significant that it would change the essential nature of a program, service, or activity, as defined by applicable law.
- **Undue Burden** is a significant difficulty or expense, considering the nature and cost of the action, the overall financial resources of the University or relevant Unit, the number of persons employed, and the impact on University operations, as defined by applicable law.
- **Unit** is any college, department, administrative office, center, institute, or other organizational entity of the University.

Information below is not included as part of the contents of the official policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the president.

RESOURCES

Procedures

- [Digital Accessibility Standards](#)

Related Forms and Tools

- [Accessibility Concern Form](#)

Contacts

- [Accessibility Contacts and Resources](#)

POLICY HISTORY

Original issue date: 2017/03/03

Last revision date: 2026/MM/DD

Next scheduled review date: 2029/03/01

Previous revision dates: 2017/03/03

University Policy **POLICY MANUAL**

GENERAL

Number ~~5208~~: Digital Accessibility

Subject: ~~Electronic and~~ **Category:** Facilities, Operations, IT

Subcategory: Information Technology ~~Accessibility~~ **Date of Origin:** ~~March 3, 2017~~

Date of Revision(s): ~~March 3, 2017~~

Effective Date: ~~March 3, 2017~~

~~5208.1~~ **Covered Individuals:** Employees, Students, and Visitors

Responsible Executive: Provost and Executive Vice President

Policy Custodian: Digital Accessibility Services, Digital Accessibility Officer

Last Revised: 2026/MM/DD

Previous USU Policy Number: 559

5208.1 PURPOSE AND SCOPE

Utah State University (USU) is committed to providing equal access to all University programs, services, and activities provided through ~~electronic and information technology~~. ~~Utah State University (USU) seeks to provide equal access to all university programs and services provided through electronic and information technology (EIT) according to University EIT~~ Digital Technology, in accordance with University Digital Accessibility Standards, and applicable state and federal laws, and University policies. All University Units, including academic colleges, departments, administrative Units, centers and institutes, and all employees, faculty, student employees, volunteers, and contractors who create, manage, or procure covered Digital Technology on behalf of the University are responsible for adhering to this Policy.

This Policy is intended to do the following:

- Establish **Accessibility** standards for **Digital Technology**
- Define roles and responsibilities for implementing digital Accessibility
- Provide a framework for training, monitoring, exception handling, and grievance resolution

This Policy applies to all Digital Technology, including but not limited to the following:

- **Websites and web content** that are owned, funded, or maintained by USU, including public-facing websites, intranet sites, and web applications under University domains or otherwise representing the University

- Course and instructional content, including but not limited to content housed in learning management systems (e.g., Canvas, Learn Blue), web-based instructional tools, digital course packets, and online assessments;
- Digital documents and media created, used, or distributed for official University purposes, including PDFs, word processing files, presentations, spreadsheets, forms, videos, audio content, and images
- Software, systems, and applications (including cloud-based and locally installed software) that are developed, acquired, or used by the University to conduct its programs, services, or business operations. This includes free, paid, trial, and open-source tools
- Digital signage, kiosks, and other electronic interfaces used by the University for communication or service delivery
- Third-party content and platforms used to provide programs, services, or activities on behalf of or in partnership with the University, to the extent permitted by contract and applicable law
- Digital communications created, published, or distributed by the University, including emails, social media posts, digital marketing materials, and other content used in the delivery of University programs, services, or activities.

This Policy does not apply to the following:

- Personal content that is not used in the delivery of a University program, service, or activity is not subject to this Policy. However, when personal or individual content is used in instruction, advising, or other University functions, it must comply with this Policy.
- Individually licensed software used exclusively by the purchaser is excluded from this Policy. While the software itself is not required to meet this Policy, any digital content, files, communications, or materials created with that software and used for University programs, services, instruction, or activities must comply with this Policy.

5208.2 POLICY

All Digital Technology, information, and systems developed, procured, maintained, or used by the University should be Accessible to individuals with disabilities, unless doing so would impose an Undue Burden or result in a Fundamental Alteration ~~University EIT~~ of the nature of a program, service, or activity.

Accessibility should be considered at the point of design, creation, development, and procurement. The University expects digital Accessibility to be embedded in everyday practice, proactively preventing barriers and ensuring equitable participation for all users.

2.1 Digital Accessibility Standards

~~University EIT~~ The USU Digital Accessibility Standards include provisions for grievance, remediation support this Policy by outlining the procedures, implementation guidelines, and requirements for compliance, including remediation, grievance, and exemption procedures. The current version of the ~~University EIT Accessibility Standards can be found online at:~~ <https://accessibility.usu.edu/policy/standards-processes>.

2.2 Enforcement

Regular reviews will be conducted across Digital Technology, following the timeframes and review processes outlined in the Digital Accessibility Standards. Responsible parties will be notified of areas of non-compliance and given time to remediate Accessibility issues. Failure to address identified digital Accessibility issues may result in required remediation plans, removal of inaccessible content, or other corrective action.

→

5208.5 COMPLAINT AND GRIEVANCE PROCESS

2.3 Complaint and Grievance Process

~~Any person can issue a formal complaint of a violation of the University EIT Accessibility Policy through the USU Accessibility Website Concern Form. University Accessibility Website at <https://accessibility.usu.edu>. The complaint will be assigned to an investigator who will work in good faith to complete the investigation in a prompt and equitable manner.~~

~~After the investigation process, a response will be provided to the individual who filed the complaint with a summary of findings and proposed resolution to the complaint where applicable. The person who filed the complaint will then have the right to appeal the findings of the original review to the EIT Accessibility Steering Committee for further investigation.~~

The University encourages anyone to report an accessibility concern or request assistance through the USU Accessibility Concern or Request Form. The University will make a good-faith effort to respond promptly and work collaboratively to resolve the issue.

If a concern is not resolved to the individual's satisfaction, a formal complaint may be filed through the same website.

Formal complaints will be assigned to an investigator, who will conduct a prompt and equitable review. Following the investigation, the individual who filed the complaint will receive a written response summarizing the findings and, where applicable, proposed steps for resolution.

The individual filing the formal complaint has the right to appeal the findings of the initial review to the Digital Accessibility Steering Committee for further consideration.

5208.4 RESPONSIBILITIES

~~Equitable access is the responsibility of all University administrators, faculty, and staff and extends across the development, procurement, maintenance and use of all electronic and information technology across all University entities.~~

4.1 EIT Accessibility Steering Committee

~~Under the direction of the Executive Vice President and Provost an EIT Steering Committee will operate with the authority and responsibility to review, approve and implement the University EIT Standards. The committee will also be responsible for marketing and awareness of the standards and recommending resources to help persons responsible for campus EIT to understand and implement the standards. Other responsibilities of the committee include:~~

- ~~● Provide an EIT accessibility training program~~
- ~~Oversee the EIT accessibility evaluation, grievance and exemption processes~~
- ~~● Other responsibilities as determined by the Executive Vice President and Provost.~~

5208.3 ROLES AND RESPONSIBILITIES

As a general rule, content creators and curators are responsible for the Accessibility of the Digital Technology they create, publish, maintain, manage, or procure, with support teams providing help and guidance.

3.1 Faculty, Staff, Student Employees, and Volunteers

- Create and maintain digital content and materials in accordance with this Policy and applicable standards.
- Participate in required training on digital Accessibility relevant to their role.
- Promptly address identified Accessibility issues within their control or escalate them to appropriate support resources.

3.2 Unit Digital Accessibility Liaisons (Where Designated)

- Serve as the main point of contact between the Unit and the Digital Accessibility Services Office.
- Coordinate Unit-level training, self-audits, and remediation efforts.
- Assist in reviewing procurement requests for digital tools used within the Unit.
- Help track and report on Unit progress toward Accessibility goals.
- Maintain and regularly update an inventory of current content owners for the Unit's digital resources (e.g., websites, software, social media accounts, etc.) and share updates with the Digital Accessibility Services Office as requested.

3.3 Digital Accessibility Steering Committee

- Develop, publish, and maintain the University's Digital Accessibility Standards and other guidelines.
- Advise on strategic priorities related to digital Accessibility and compliance with applicable regulations.
- Oversee the digital Accessibility evaluation, grievance, and exception processes.
- Coordinate campus-wide digital Accessibility initiatives, including audits and remediation projects.
- Receive and review periodic reports on digital Accessibility audits, progress, and risks.

3.4 Digital Accessibility Services Office

- Develop, publish, and maintain resources to implement this Policy.
- Provide consultation and support to Units on Accessible design, development, testing, procurement, and remediation.
- Conduct Accessibility reviews, audits, and risk assessments for Digital Technology.
- Work with content creators and curators to remediate Digital Technology that does not meet the USU Digital Accessibility Standards.
- Maintain the University's central digital Accessibility website, training materials, and communication channels to promote awareness, compliance, and best practices.
- Manage processes for reporting, remediation, exceptions, and alternative access plans in alignment with this Policy and related procedures.
- Track progress, prepare compliance reports, and provide regular updates to the Digital Accessibility Steering Committee and University leadership regarding institutional Accessibility efforts and risks.

3.5 Unit Leadership (Deans, Vice Presidents, Directors, Department Heads)

- Oversee efforts to align the Unit's Digital Technology, systems, and practices with this Policy and associated standards.
- Identify or appoint a Unit Digital Accessibility Liaison or equivalent role to facilitate implementation at the Unit level.
- Promote completion of required training for faculty, staff, and student employees who create or manage Digital Technology.
- Incorporate digital Accessibility requirements into relevant job descriptions, hiring processes, and onboarding materials.

3.6 Responsible Executives (Provost, Chief Information Officer, Vice President for Finance and Administrative Services)

- Integrate digital Accessibility into University planning, budgeting, and risk management.
- Provide support and resources to implement this Policy and associated standards.

3.7 Vendors and Contractors

- Vendors and contractors entering agreements with USU, who design, develop, or provide Digital Technology for the University must comply with the University's Accessibility standards and contractual Accessibility requirements.

5208.4 REFERENCES

- Section 504 of the Rehabilitation Act
- The Americans with Disabilities Act
- Nondiscrimination on the Basis of Disability
- Accessibility of Web Information and Services of State and Local Government Entities (Fact Sheet)

5208.5 RELATED USU POLICIES

- Policy 2101: Discrimination based on Protected Characteristics
- Policy 3005: Employment-Related Reasonable Accommodation and Access for Individuals with Disabilities
- Policy 5101: University Social Media Accounts
- Policy 5209: University Website Policy

~~5208.2~~ 5208.6 DEFINITIONS

- ~~**Electronic and Information Technology** includes information technology and any equipment or interconnected system or subsystem of equipment to identify content that is used in the creation, conversion, or duplication of data or information¹.~~
- ~~**Accessible** means that individuals with disabilities can independently access the equivalent electronic and information technology experiences available to individuals without disabilities.~~
- ~~**Individual with a Disability** is defined by the Americans with Disabilities Act as a person who has a physical or mental impairment that substantially limits one or more major life activities, a person who has a history or record of such an impairment, or a person who is perceived by others as having such an impairment.~~

~~¹Section 508 Standards—United States Access Board." United States Access Board. N.p., 21 Dec. 2000. Web. 24 Oct. 2016~~

- **Accessible / Accessibility** means that individuals with disabilities can access Digital Technology and obtain information, engage in interactions, and enjoy services substantially equivalent to those available to individuals without disabilities, with comparably effective ease of use and within the same timeframe, using commonly available assistive technologies where appropriate.
- **Digital Technology** includes all electronic and information technologies and the digital content they create, use, store, display, transmit, or distribute in support of University operations and activities. This includes, but is not limited to, web pages; documents (such as PDFs, word processing files, and presentations); images; audio and video recordings; multimedia; electronic forms; communications; and other digital materials, as well as the hardware, software, systems, and platforms used to create, convert, duplicate, store, or deliver information. Examples include computers, software applications, websites, mobile applications, learning management systems, digital kiosks, telephone systems, and other interconnected

[electronic systems used for official University purposes.](#)

- [**Fundamental Alteration** is a modification or change that is so significant that it would change the essential nature of a program, service, or activity, as defined by applicable law.](#)
- [**Undue Burden** is a significant difficulty or expense, considering the nature and cost of the action, the overall financial resources of the University or relevant Unit, the number of persons employed, and the impact on University operations, as defined by applicable law.](#)
- [**Unit** is any college, department, administrative office, center, institute, or other organizational entity of the University.](#)

[Information below is not included as part of the contents of the official policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the president.](#)

[RESOURCES](#)

[Procedures](#)

- [Digital Accessibility Standards](#)

[Related Forms and Tools](#)

- [Accessibility Concern Form](#)

[Contacts](#)

- [Accessibility Contacts and Resources](#)

[POLICY HISTORY](#)

[Original issue date: 2017/03/03](#)

[Last revision date: 2026/MM/DD](#)

[Next scheduled review date: 2029/03/01](#)

[Previous revision dates: 2017/03/03](#)

POLICY MANUAL

GENERAL

Number 5208

Subject: Electronic and Information Technology Accessibility

Date of Origin: March 3, 2017

Date of Revision(s): March 3, 2017

Effective Date: March 3, 2017

5208.1 PURPOSE

Utah State University is committed to providing equal access to all university programs, services and activities provided through electronic and information technology.

5208.2 POLICY

Utah State University (USU) seeks to provide equal access to all university programs and services provided through electronic and information technology (EIT) according to University EIT Accessibility Standards, and applicable state and federal laws and University policies.

University EIT Accessibility Standards include provisions for grievance, remediation, and exemption procedures. The current version of the University EIT Accessibility Standards can be found online at: <https://accessibility.usu.edu/policy/standards>.

5208.3 DEFINITIONS

- **Electronic and Information Technology** includes information technology and any equipment or interconnected system or subsystem of equipment that is used in the creation, conversion, or duplication of data or information¹.
- **Accessible** means that individuals with disabilities can independently access the equivalent electronic and information technology experiences available to individuals without disabilities.
- **Individual with a Disability** is defined by the Americans with Disabilities Act as a person who has a physical or mental impairment that substantially limits one or more major life activities, a person who has a history or record of such an impairment, or a person who is perceived by others as having such an impairment.

¹ Section 508 Standards - United States Access Board." United States Access Board. N.p., 21 Dec. 2000. Web. 24 Oct. 2016

5208.4 RESPONSIBILITIES

Equitable access is the responsibility of all University administrators, faculty, and staff and extends across the development, procurement, maintenance and use of all electronic and information technology across all University entities.

4.1 EIT Accessibility Steering Committee

Under the direction of the Executive Vice President and Provost an EIT Accessibility Steering Committee will operate with the authority and responsibility to review, approve and implement the University EIT Accessibility Standards. The committee will also be responsible for marketing and awareness of the standards and recommending resources to help persons responsible for campus EIT to understand and implement the standards. Other responsibilities of the committee include:

- Provide an EIT accessibility training program
- Oversee the EIT accessibility evaluation, remediation, grievance and exemption processes.
- Other responsibilities as determined by the Executive Vice President and Provost.

5208.5 COMPLAINT AND GRIEVANCE PROCESS

Any person can issue a formal complaint of a violation of the University EIT Accessibility Policy through the University Accessibility Website at <https://accessibility.usu.edu/>. The complaint will be assigned to an investigator who will work in good faith to complete the investigation in a prompt and equitable manner.

After the investigation process, a response will be provided to the individual who filed the complaint with a summary of findings and proposed resolution to the complaint where applicable. The person who filed the complaint will then have the right to appeal the findings of the original review to the EIT Accessibility Steering Committee for further investigation.



*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: David T. Cowley, Vice President for Finance and Administrative Services
DATE: August 7, 2026
RE: Revisions to Policy 5312: Vehicle Use

FOR INFORMATION PURPOSES ONLY. NO ACTION REQUIRED.

Policy 5312: Vehicle Use establishes requirements and procedures for the procurement, maintenance, and operation of motor vehicles in a safe and efficient manner. All vehicles used for University Business, whether owned or non-owned, are subject to this policy.

The policy revisions align with current requirements and expectations of the Utah Division of Fleet Management and the Utah Division of Risk Management, as well as applicable state statutes, administrative rules, and federal regulations. The revisions also reflect evolved University practices related to vehicle oversight, insurance administration, and driver authorization.

This policy was approved at the University Leadership Council meeting on June 10, 2026.

ATTACHMENTS:

- Executive Summary
- Proposed policy revisions
- Red-lined policy
- Current policy
- Procedures



EXECUTIVE SUMMARY

USU Policy 5312: Vehicle Use**Category:** Facilities, Operations, IT**Subcategory:** Operations**Covered Individuals:** Faculty, Staff, Volunteers, and Students**Responsible Executive:** Vice President for Finance and Administrative Services**Policy Custodian:** Risk Management, Risk Manager**BACKGROUND:**

This policy revision updates USU Policy 5312 to align with current requirements and expectations established by the Utah Division of Fleet Management and the Utah Division of Risk Management, as well as applicable state statutes, administrative rules, and federal regulations. The revision also reflects evolved University practices related to vehicle oversight, insurance administration, and driver authorization.

The prior policy framework lacked clarity and specific responsibility for vehicle maintenance, safety oversight, and compliance in ways that increased operational risk and limited accountability. This revision clarifies governance, modernizes terminology, and aligns the policy with how vehicles are currently managed, insured, and audited across the University. Given the extent of structural reorganization and modernization of the policy, a traditional redlined comparison would not meaningfully convey the changes.

KEY PROVISIONS OF THE REVISED POLICY:

This revision reorganizes and clarifies the policy while making several substantive changes, including:

- Clarifies that the policy applies to all motor vehicles used for University Business, regardless of ownership (University-owned, leased, rented, or privately owned).
- Formally designates USU Motor Pool as the primary authority for annual preventative maintenance, safety inspections, emissions testing, and vehicle slot management for University-owned or leased vehicles.
- Aligns driver authorization, training, and suspension criteria with Utah Administrative Rules governing state fleet operations.
- Clarifies that automobile insurance follows the vehicle, and that personal automobile insurance is primary when privately owned vehicles are used for University Business.
- Establishes clear standards for departmental vehicles, including seating capacity limits, maintenance requirements, insurance premiums and deductibles, and accident repair protocols.
- Updates governance for vehicle purchasing, right-sizing, and slot retention, including limits on vacant vehicle slot retention.
- Clarifies requirements related to commute use, including annual approval and tax treatment as a fringe benefit.
- Clarifies accident reporting, insurance claims handling, and required remedial training for at-fault or preventable accidents.
- Allows for the deletion of USU Policy 5301: Leased Vehicle Damage Recovery Fund because insurance, including deductibles, is covered in this revision.
- Adds the responsibilities section per the new policy format.

IMPLEMENTATION PLAN:

The revised policy will be implemented through coordinated communication and existing operational processes. Changes will be communicated to the campus community via the Risk Management and Motor Pool websites, targeted email communications to vehicle operators and departments, and incorporation into required defensive driving and compliance training.

Existing procedures and training programs will be updated as needed to align with the revised policy. Implementation of this policy is not expected to require additional financial resources beyond those already associated with vehicle ownership, insurance, and fleet management.

Version 2.0, last updated 9/2024

University Policy 5312: Vehicle Use

Category: Facilities, Operations, IT

Subcategory: General Operations

Covered Individuals: Faculty, Staff, Volunteers, and Students

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Risk Management, Risk Manager

Last Revised: 2026/MM/DD

Previous USU Policy Number: 514

5312.1 PURPOSE AND SCOPE

This Policy establishes requirements and procedures for the procurement, maintenance, and operation of [Motor Vehicles](#) in a safe and efficient manner. All vehicles used for [University Business](#), whether owned or non-owned, are subject to this Policy. This Policy applies to all USU faculty, staff, students, and volunteers who are authorized to operate Motor Vehicles for University Business.

5312.2 POLICY

2.1 General Motor Vehicle Use

The use of Motor Vehicles for University Business, whether owned, leased, rented, or otherwise made available, must be authorized by a Department Head, Director, Dean, or Vice President.

2.1.1 Requirements to Operate a Motor Vehicle

Drivers operating Motor Vehicles for University Business must possess a valid driver's license and complete the required defensive driving training. Training records will be maintained by the University and the Utah Division of Fleet Management to document [Authorized Drivers](#) as defined in [Utah Administrative Rule R27-1-2\(d\)](#).

If a driver meets any of the criteria defined in [Utah Administrative Rule R27-7-3](#), the driver's authorization to operate any Motor Vehicle for University Business may be suspended, withdrawn, or revoked for up to three years.

All Authorized Drivers operating Motor Vehicles for University Business must comply with all applicable state and local laws, including [Utah Code Title 41, Chapter 6a, Traffic Code](#).

Authorized Drivers and all vehicle occupants are required to wear seatbelts at all times. Authorized Drivers must comply with all posted speed limits, including reduced-speed construction zones and road hazard warnings, and are responsible for ensuring all seatbelts are fastened before the vehicle is placed in motion.

2.1.2 Privately-Owned Motor Vehicles

Use of privately owned Motor Vehicles for University Business is discouraged. USU faculty, staff, students, or volunteers who choose to use a privately owned motor vehicle for University Business are responsible for maintaining automobile physical damage and liability insurance in accordance with state law. When a privately owned Motor Vehicle is used for University Business, the individual's personal

automobile insurance provides primary coverage. The University will not reimburse the individual, vehicle owner, or insurer for deductibles, liability claims, or damage to the privately owned Motor Vehicle.

2.2 University-Owned/Leased Motor Vehicles

University-owned or leased Motor Vehicles may only be used for authorized University Business by Authorized Drivers.

2.2.1 Requirements for University Departments

USU Motor Pool is responsible for assigning and removing Motor Vehicle slots to University Departments.

Except for USU Motor Pool, Departments may only own or lease Motor Vehicles with a seating capacity of eight occupants or fewer and may not own or lease more vehicles than the number of Motor Vehicle slots assigned to the department.

2.2.1.1 Maintenance Requirements

All University-owned or leased Motor Vehicles must receive annual preventive maintenance, safety inspections, and emissions testing through the USU Motor Pool as the primary service provider. If Motor Pool services are unavailable or impractical, an alternative vendor may be used with prior approval from USU Motor Pool. If an alternative vendor is approved, documentation of all completed services must be submitted to USU Motor Pool. Departments that fail to maintain vehicles or comply with these requirements properly may forfeit their assigned Motor Vehicle slot(s).

USU Motor Pool may immediately remove from service any University-owned or leased Motor Vehicle deemed unsafe until repairs are completed or the vehicle is replaced.

2.2.1.2 Purchase and Disposal of Motor Vehicles

When purchasing Motor Vehicles, departments should select a [Right-Sized Vehicle](#) as recommended by [Utah Code 63A-9-401.5, Vehicle Fleet Cost Efficiency Plan](#). Exceptions must be approved in writing by the responsible Dean or Vice President, and a copy of the approval must be submitted to USU Motor Pool prior to purchase.

If a Department disposes of a Motor Vehicle and does not immediately replace it, the associated Motor Vehicle slot may only be retained for up to two years. After that period, the vacant slot will revert to USU Motor Pool for reassignment.

2.2.1.3 Insurance Premiums

Automobile physical damage and liability insurance premiums for University-owned or leased Motor Vehicles are assessed based on the number of Motor Vehicle slots assigned to the Department, regardless of whether those slots are currently occupied.

2.2.2 Responsibilities in a Motor Vehicle Accident

In accordance with [Utah Administrative Rule R27-7-2](#), any accident involving a University-owned or leased Motor Vehicle must be reported by the Authorized Driver to USU Risk Management within twenty-four hours.

When an accident results in an insurance claim, the Authorized Driver's Department is responsible for payment of the applicable insurance deductible.

All auto body repairs resulting from an accident must be completed by an auto body shop authorized by the Utah Division of Risk Management and coordinated through USU Risk Management.

2.2.2.1 Additional Training and/or Loss of Driving Privileges

Authorized Drivers involved in at-fault or preventable accidents while operating a University-owned or leased Motor Vehicle must complete additional driver safety training provided through USU Risk Management prior to resuming operation of such vehicles.

Authorized Drivers involved in three or more at-fault or preventable accidents involving University-owned or leased Motor Vehicles within a three-year period will lose their authorization to operate those vehicles. The USU Driver Safety Committee will recommend the duration of the revocation.

2.2.3 Commute Use

Authorized Drivers approved to commute in University-owned or leased Motor Vehicles must receive annual approval from the Office of the Vice President for Finance and Administrative Services prior to the start of each calendar year. Commute Use constitutes a taxable fringe benefit as outlined in 26 CFR 1.61-21 ([Commute Application](#)). Approved drivers will be assessed the IRS-imputed daily fringe benefit rate. Unauthorized Commute Use may result in loss of driving privileges and disciplinary action.

2.3 University-Owned/Leased Vehicles with Seating Capacities Greater than Eight

Motor Vehicles with seating capacities greater than eight occupants may only be owned, leased, and managed by USU Motor Pool and made available to Departments with properly trained drivers in accordance with 5312-PR1: University Vehicle Use Procedures.

5312.3 RESPONSIBILITIES

3.1 USU Employees, Students, and Volunteers

- Operate University-owned, leased, or other Motor Vehicles for University Business only if approved as Authorized Drivers
- Comply with all applicable state and local traffic laws
- Ensure the safe operation and proper condition of Motor Vehicles used for University Business

3.2 Department Heads/Directors

- Ensure that all employees, students, and volunteers within their Departments or units who operate Motor Vehicles comply with this Policy, including enforcement of any driving suspensions, withdrawals, or revocations imposed by the Driver Safety Committee
- Ensure the safe operation and proper condition of University-owned or leased Motor Vehicles assigned to their departments or units
- Review the State of Utah Vehicle Fleet Cost Efficiency Plan prior to purchasing a Motor Vehicle

3.3 Deans/Vice Presidents

- Review Motor Vehicle purchases within their units to ensure compliance with the [Vehicle Fleet Cost Efficiency Plan](#) and confirm that vehicles are Right-Sized
- Approve or deny written requests for exceptions to the purchase of Right-Sized Vehicles

3.4 USU Motor Pool

- Maintain records of annual preventative maintenance, safety inspections, and emissions testing for all University-owned or leased Motor Vehicles
- Remove from service any University-owned or leased Motor Vehicle that fails the required safety inspection or is otherwise deemed unsafe until necessary repairs are completed
- Manage and coordinate all Motor Vehicle slots assigned to the University
- Provide required training to University employees, students, and volunteers
- Approve Authorized Drivers operating University-owned or leased Motor Vehicles with seating capacities greater than eight.

3.5 USU Risk Management

- Oversee the Driver Safety Committee in accordance with [Utah Administrative Rule R27-7-4](#)
- Verify that drivers meet all requirements and are approved as Authorized Drivers
- Develop, assign, and administer driver training programs
- Oversee automobile physical damage and liability insurance policies and related claims

5312.4 REFERENCES

- [Utah Administrative Rule 27](#) - Government Operations, Fleet Operations
- [Utah Code Title 41, Chapter 6a](#) – Traffic Code
- [Utah Code Title 63 A, Chapter 9, Section 401.5](#) – Vehicle Fleet Cost Efficiency Plan
- [44 U.S.C § 1506, 26 C.F.R. Parts 1.61 through 21](#) – Taxation of Fringe Benefits

5312.5 RELATED USU POLICIES

- [Policy 1222: Travel](#)
- [Policy 2002: Campus Walkway Safety](#)
- [Policy 3014: Safety and Health](#)
- [Policy 3017: Volunteer Services](#)
- [Policy 5315: Use of University Property](#)

5312.6 DEFINITIONS

- **Authorized Driver.** A USU employee, student, or authorized volunteer with a valid driver's license, who meets the necessary age restrictions, is current with the required defensive driving training, and has been entered into the Utah Division of Fleet Management's driver database by USU Risk Management.
- **Commute Use.** Use of a University Motor Vehicle by an employee driving between the employee's residence and the employee's assigned work location more than one calendar day per month. Commute use is subject to taxation rules outlined in 26 CFR 1.61-21.
- **Motor Vehicle.** A self-propelled vehicle intended primarily for use and operation on highways, including vehicles used for construction and other non-transportation purposes, roadable aircraft, and street-legal all-terrain vehicles. Motor Vehicle does not include motor-assisted scooters or vehicles covered by [USU Policy 4112: Off-Highway Vehicle \(OHV\) Usage](#) or special use and research vehicles not licensed for highway use.
- **Right-Size Vehicle.** The most economically appropriate size and type of Motor Vehicle for the purposes for which the Motor Vehicle will be used.
- **University Business.** Any activity undertaken by a USU employee, student, and/or volunteer in the course and scope of their employment and/or volunteerism with USU.
- **Vehicle Fleet Cost Efficiency Plan.** The State of Utah has established State Fleet Efficiency Requirements to reduce fleet costs, increase energy efficiency, improve air quality in Utah, and decrease the US's dependence on foreign oil. USU's goal is to comply with the State of Utah's Vehicle Fleet Cost Efficiency Plan requirements in these ways:
 - (1) Decrease the overall cost per mile average of University-owned or leased Motor Vehicles
 - (2) Decrease the number of University-owned or leased Motor Vehicles
 - (3) Decrease the total gallons of fuel consumed by University-owned or leased motor vehicles
 - (4) Increase the overall miles per gallon of University-owned or leased Motor Vehicles
 - (5) Decrease the total miles driven annually by University-owned or leased Motor Vehicles
 - (6) Right-Size University-owned or leased Vehicles to the lowest level needed to perform the University Business requirement
 - (7) Decrease the overall pollution output by University-owned or leased vehicles

Information below is 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

- [University Procedure 5312: Vehicle Use](#)

Related Forms and Tools

- [Vehicle Accident Report](#)
- [Driving for USU – Risk Management](#)
- [Approved Maintenance Vendor Map](#)
- [Vehicle Fleet Cost Efficiency Plan](#)
- [Commute Application](#)

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POLICY HISTORY

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POLICY MANUAL

OPERATING POLICIES AND PROCEDURES

Number

University Policy 5312

Subject: Vehicle Use Policy

Date of Origin: February 1, 2006

Date of Last Revision(s): June 24, 2022; June 14, 2017; January 14, 2013

Effective Date: June 24, 2022

Category: Facilities, Operations, IT

Sub-Category: General Operations

Covered Individuals: Faculty, Staff, Volunteers, and Students

Responsible Executive: Vice President for Finance and Administrative Services

Policy Custodian: Risk Management, Risk Manager

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5312.1 USE OF UNIVERSITY VEHICLES PURPOSE AND SCOPE

This Policy establishes requirements and procedures for the procurement, maintenance, and operation of Motor Vehicles in a safe and efficient manner. All ~~use of~~ vehicles used for University Business, whether owned or non-owned, are subject to this Policy. This Policy applies to all USU faculty, staff, students, and volunteers who are authorized to operate Motor Vehicles for University Business.

5312.2 POLICY

2.1 General Motor Vehicle Use

The use of Motor Vehicles for University Business, whether owned, leased, rented, or otherwise made available ~~for use by Utah State University (University vehicles)~~, must be authorized by a Department Head, Director, Dean, or Vice President.

2.1.1 Requirements to Operate a Motor Vehicle

Drivers operating Motor Vehicles for University Business must possess a valid driver's license and complete the required defensive driving training. Training records will be maintained by the University and

the Utah Division of Fleet Management to document [Authorized Drivers](#) as defined in [Utah Administrative Rule R27-1-2\(d\)](#).

If a driver meets any of the criteria defined in [Utah Administrative Rule R27-7-3](#), the driver's authorization to operate any Motor Vehicle for University Business may be suspended, withdrawn, or revoked for up to three years.

All Authorized Drivers operating Motor Vehicles for University Business must comply with all applicable state and local laws, including [Utah Code Title 41, Chapter 6a, Traffic Code](#).

Authorized Drivers and all vehicle occupants are required to wear seatbelts at all times. Authorized Drivers must comply with all posted speed limits, including reduced-speed construction zones and road hazard warnings, and are responsible for ensuring all seatbelts are fastened before the vehicle is placed in motion.

2.1.2 Privately-Owned Motor Vehicles

Use of privately owned Motor Vehicles for University Business is discouraged. USU faculty, staff, students, or volunteers who choose to use a privately owned motor vehicle for University Business are responsible for maintaining automobile physical damage and liability insurance in accordance with state law. When a privately owned Motor Vehicle is used for University Business, the individual's personal automobile insurance provides primary coverage. The University will not reimburse the individual, vehicle owner, or insurer for deductibles, liability claims, or damage to the privately owned Motor Vehicle.

2.2 University-Owned/Leased Motor Vehicles

University-owned or leased ~~vehicles must~~ Motor Vehicles may only be ~~documented as part of the~~ used for authorized University ~~Fleet and maintained in the state-wide Fleet database.~~ Business by Authorized Drivers.

2.2.1 Requirements for University Departments ~~must not exceed the existing~~

USU Motor Pool is responsible for assigning and removing Motor Vehicle slots to University Departments.

Except for USU Motor Pool, Departments may only own or lease Motor Vehicles with a seating capacity of eight occupants or fewer and may not own or lease more vehicles than the number of ~~vehicles~~ allocated Motor Vehicle slots assigned to their department ~~unit~~.

~~1.1—University vehicles may only be used:~~

~~(1) for authorized University purposes; or~~

~~(2) by authorized student organizations (a) registered under Article IV, Section 2, of the Code of Policies and Procedures for Students at Utah State University, (b) registered as a USU club sport with the Campus Recreation Office, or (c) exempt from registration under Article IV, Section 3, of the Code of Policies and Procedures for Students at Utah State University~~

2.2.1.1 Maintenance Requirements

All University-owned or leased Motor ~~Vehicles~~ must receive annual preventive maintenance, safety inspections, and emissions testing through the USU Motor Pool as the primary service provider. If Motor Pool services are unavailable or impractical, an alternative vendor may be used with prior approval from USU Motor Pool. If an alternative vendor is approved, documentation of all completed services must be submitted to USU Motor Pool. Departments that fail to maintain vehicles or comply with these requirements properly may forfeit their assigned Motor Vehicle slot(s).

USU Motor Pool may immediately remove from service any University-owned or leased Motor Vehicle deemed unsafe until repairs are completed or the vehicle is replaced.

2.2.1.2 Purchase and Disposal of Motor Vehicles

When purchasing Motor Vehicles,

- ~~1.3 Drivers of University vehicles must be at least 18 years old and have a valid driver's license.~~
- ~~1.4 Drivers of University vehicles must have a driving record in compliance with Utah Administrative Services Rule 27-7-3 (). The authority to operate a state vehicle shall be suspended or revoked for up to three years if a driver meets any of the reasons defined in the above rule.~~
- ~~1.5 Drivers of University vehicles must complete an approved Driver Safety Program at initial employment and every two years thereafter. In the event of a moving violation or accident citation in a University vehicle, the Driver Safety Program must be retaken prior to driving a University vehicle again.~~
- ~~1.6 It is the responsibility of each Department Head/Director or designee to ensure that all employees who drive vehicles are up-to-date with the above Driver Safety Program and are aware of the USU Vehicle Use Policy. Departments are required to keep a copy of the completed Driver's test for each employee and to forward a copy to the Motor Pool in order to update the Fleet Management database.~~
- ~~1.7 Proof of adequate insurance is required from the owner for vehicles that are owned by another organization and loaned to the University for use. departments should contact the USU Risk Management Office regarding this process.~~[select a Right-Sized Vehicle](#)

5312.2 VEHICLE PURCHASING AND REPLACEMENT

~~2.1 Departments purchasing new vehicles or replacing vehicles with more recent models shall obtain smaller and more fuel efficient vehicles. The appropriate Dean or Vice President will review each vehicle purchase to assure it is "right-sized" as recommended by Utah Code 63A-9-401.5, Vehicle Fleet Cost Efficiency Plan prescribed by the Fleet Energy Efficiency Plan (see 7.1(6)). Exceptions to purchasing "right size" smaller and/or more fuel efficient vehicles must be approved in writing by a Department's the responsible Dean or Vice President, and a copy of the approval must be submitted to USU Motor Pool prior to purchase.~~

~~2.2 Departments are encouraged to purchase vehicles that include readily available safety equipment.~~

~~2.3 If a Department disposes of a Motor Vehicle and does not immediately replace it, the associated Motor Vehicle slot will may only be held retained for five up to two years. After that period, the vacant slot will revert to USU Motor Pool for reassignment.~~

2.2.1.3 Insurance Premiums

Automobile physical damage and liability insurance premiums for University-owned or leased Motor Vehicles are assessed based on the number of Motor Vehicle slots assigned to the Department, regardless of whether those slots are currently occupied.

2.2.2 Responsibilities in a Motor Vehicle Accident

In accordance with Utah Administrative Rule R27-7-2, any accident involving a University-owned or leased Motor Vehicle must be reported by the Authorized Driver to USU Risk Management within twenty-four hours.

When an accident results in an insurance claim, the Authorized Driver's Department is responsible for payment of the applicable insurance deductible.

All auto body repairs resulting from an accident must be completed by an auto body shop authorized by the Utah Division of Risk Management and coordinated through USU Risk Management.

2.2.2.1 Additional Training and/or Loss of Driving Privileges

Authorized Drivers involved in at-fault or preventable accidents while operating a University-owned or leased Motor Vehicle must complete additional driver safety training provided through USU Risk Management prior to resuming operation of such vehicles.

Authorized Drivers involved in three or more at-fault or preventable accidents involving University-owned or leased Motor Vehicles within a three-year period will lose their authorization to operate those vehicles. The USU Driver Safety Committee will recommend the duration of the revocation.

5312.3 VEHICLE OPERATION STANDARDS

2.2.3 Commute Use

~~3.1—~~ Authorized Drivers of approved to commute in University-owned or leased Motor Vehicles must observe all state and local laws, including those stated in Utah Code Annotated 1953, as amended, Title 42, Chapter 6 (Traffic Rules and Regulations).

~~3.2—Drivers and all occupants must wear a seatbelt at all times and observe all posted speed limits including reduced speed construction zones and road hazard warnings. All seatbelts need to be fastened before the vehicle is put in motion.~~

~~2.3 Drivers are encouraged to briefly rest~~ receive annual approval ~~from driving every 2 hours.~~

~~3.4—Total driving time must not exceed 12 hours per day, irrespective~~ the Office ~~of the number of drivers.~~

~~3.5—University vehicles must not be operated for travel purposes between 11:00 p.m. and 5:00 a.m., except where (1) the trip (a) is solely to return to a home base and (b) the return trip is less than 4 hours in duration or (2) it is necessary to leave home base prior to 5:00 a.m. in order to reach a destination less than four hours away or (3) the driver is within two hours of the destination.~~

~~3.6—Drivers must use good judgment concerning weather and driving conditions by reviewing weather conditions in advance of the trip and make prudent travel adjustments when necessary. Travel plans should allow for emergency stop overs and associated expenses due to bad weather. Drivers must slow down if adverse weather conditions exist. Travel should not proceed in extreme weather conditions.~~

~~3.7—Drivers are responsible for the safe operation and condition of the vehicle they are driving and should be familiar with the vehicle safety equipment. Vehicle problems or concerns should be promptly reported to: (a) Motor Pool if the vehicle is a Motor Pool vehicle or (b) appropriate department personnel if the vehicle is a departmental vehicle.~~

~~3.8 Vehicle Load and Towing Capacity: Vehicle operators must not exceed the manufacturer's total rated payload capacity either in cargo or passengers. Adding storage or luggage racks above any vehicle that substantially changes the safe operation of the vehicle is not allowed. Towing must not exceed the manufacturer's rated capacity both in terms of the total payload being towed and/or the amount of tongue weight being placed on the vehicle. The amount of additional tongue weight must be factored in to ensure that amount of payload (plus tongue weight) does not exceed the rated GVRW of the vehicle. It is the responsibility of the vehicle operator to know the rated capacities of the vehicle being operated and to ensure that towing and/or loading does not exceed the manufacturer's rated capacities.~~

5312.4 FULL SIZE VANS

~~4.1—Use of 12 or 15 passenger vans is prohibited with the following two exceptions: (These exceptions apply when traveling from an origin point remote to the USU Campus location.)~~

~~(1) in rare circumstances where no other suitable transportation is available, a Dean, Vice President, or the Athletic Director may approve the use of a full-size passenger van. However, in such circumstances, drivers must meet the certification requirements for Finance and Administrative Services prior to the start of each calendar year. Commute Use constitutes a taxable fringe benefit as outlined in 26 CFR 1.61-21 (Commute Application) section 5.3(2) and vehicle capacity is limited to nine (9) occupants.~~

~~(2) in the event that transportation is provided by a hosting organization using 12 or 15 passenger vans (e.g. airport hotel shuttle, conference events, etc.), University employees may accept the transportation or arrange alternate transportation at their own discretion.~~

4.2 As an alternative to 12 and 15 passenger vans, 15 passenger buses). Approved drivers will be available from the Motor Pool. These vehicles will have dual rear wheels and meet Federal school bus standards. Additional conditions and training requirements apply as outlined in section 5.3 assessed the IRS-imputed daily fringe benefit rate. Unauthorized Commute Use may result in loss of driving privileges and disciplinary action.

4.3 Full-size vans used for cargo purposes only may continue to be purchased and used by departments where the wheelbase does not exceed 139" (no extended body vans) and seating capacity is limited to two passengers. Continued use of existing cargo vans with a wheelbase greater than 139" will be limited to a 10-mile radius of the USU Campus location and will be phased out as vehicles are replaced. Drivers must meet the certification requirements as outlined in section 5.3(2).

5312.5 VEHICLE CAPACITIES AND ADDITIONAL TRAINING REQUIREMENTS

2.3 University-Owned/Leased Vehicles with Seating Capacities Greater than Eight

5.1 Motor Departments may own or lease Vehicles with a seating capacity of seven (7) capacities greater than eight occupants or less.

5.2 In order to ensure consistent maintenance and complete vehicle history, all vehicles with seating capacity greater than seven (7) occupants will be may only be owned, leased, and managed and maintained by the USU Motor Pool and made available for use by to Departments with properly trained drivers as outlined in section 5.3 in accordance with 5312-PR1: University Vehicle Use Procedures.

5312.3 RESPONSIBILITIES

3.1 USU Employees, Students, and Volunteers

- Operate University-owned, leased, or other Motor Vehicles for University Business only if approved as Authorized Drivers
- Comply with all applicable state and local traffic laws
- Ensure the safe operation and proper condition of Motor Vehicles used for University Business

3.2 Department Heads/Directors

- Ensure that all employees, students, and volunteers within their Departments or units who operate Motor Vehicles comply with this Policy, including enforcement of any driving suspensions, withdrawals, or revocations imposed by the Driver Safety Committee
- Ensure the safe operation and proper condition of University-owned or leased Motor Vehicles assigned to their departments or units
- Review the State of Utah Vehicle Fleet Cost Efficiency Plan prior to purchasing a Motor Vehicle

5.3 In addition to meeting all general conditions specified in sections 5312.1–5312.2, drivers of vehicles with seating capacity greater than seven (7) occupants must:

~~(1) be at least twenty-one (21) years old.~~

~~(2) have satisfactorily completed the National Safety Council (NSC) driver certification course as approved by the Manager of Fleet Operations on an annual basis; or, have a current Commercial Drivers License (CDL) with a passenger endorsement in which case the approved (NSC) safety course must be taken every other year.~~

~~(3) take sufficient time before each trip (and on a daily basis thereafter) to become familiar with all operations of the vehicle including cruise control and to perform a pre-trip inspection on the vehicle to ensure proper tire inflation, correct fluid levels, and brake operation as well as safety and other operational features of the vehicle.~~

~~(4) ensure that cargo does not exceed physical limits imposed by the Motor Pool and that the spare tire and all cargo is safely secured in the cargo area of the vehicle and that the vehicle is not overloaded with passengers or exceeds rated weight capacity limits.~~

~~(5) insist on the use of seatbelts by all passengers and observe all traffic rules including slower driving under difficult or adverse conditions. All seatbelts need to be fastened before the vehicle is put in motion.~~

~~5.4 For short term rentals, a sedan or minivan is recommended. However, an SUV may also be rented with a maximum of eight (8) occupants.~~

5312.6 RESPONSIBILITIES AND SANCTIONS

~~The privilege to use University vehicles, by individuals or units/organizations or both, may be withdrawn for up to one year for violations of the Vehicle Use Policy.~~

~~6.1 It is the responsibility of each Department Head/Director or designee to ensure the safe operation and condition of departmental vehicles including regular maintenance and safety inspections. Departments must coordinate with the Motor Pool to perform the work or make sure that all vehicle repair and maintenance is completed on schedule and that documentation is forwarded to the Motor Pool in a timely manner.~~

3.3 Deans/Vice Presidents

Review Motor Vehicle purchases within their units

- ~~6.2 All vehicle safety inspections must be performed under the direction of the Motor Pool on an annual basis to ensure compliance with the Vehicle Fleet Cost Efficiency Plan and confirm that vehicles are Right-Sized~~
- ~~Approve or deny written requests for exceptions to University the purchase of Right-Sized Vehicles~~

3.4 USU Motor Pool

- ~~Maintain records of annual preventative maintenance standards. The Motor Pool is empowered to ground and~~, safety inspections, and emissions testing for all University-owned or leased Motor Vehicles
- ~~Remove from service any vehicle University-owned or leased Motor Vehicle that fails the required safety inspection or is otherwise deemed unsafe until appropriate necessary repairs are made or the vehicle is replaced.~~ completed
- Manage and coordinate all Motor Vehicle slots assigned to the University
- Provide required training to University employees, students, and volunteers
- Approve Authorized Drivers operating University-owned or leased Motor Vehicles with seating capacities greater than eight.

3.5 USU Risk Management

- [Oversee the Driver Safety Committee in accordance with Utah Administrative Rule R27-7-4](#)
- [Verify that drivers meet all requirements and are approved as Authorized Drivers](#)
- [Develop, assign, and administer driver training programs](#)
- [Oversee automobile physical damage and liability insurance policies and related claims](#)

~~6.3 Drivers of University vehicles are empowered to insist that the vehicle they are driving is safe and operational for the intended purpose of the trip. Drivers may refuse to drive any vehicle they deem to be unsafe until appropriate action takes place to correct the noted problems.~~

~~6.4 The Risk Control Committee will review and assess updated test results from the National Highway Traffic Safety Administration (NHTSA), the Insurance Institute for Highway Safety (IIHS), and other appropriate sources. The Committee will establish and maintain an on-going list of vehicles that meet acceptable safety standards. Proposed vehicle purchases will be reviewed by the Manager of Fleet Operations to verify that selected vehicles are on the approved vehicle list.~~

~~The privilege to use University vehicles, by individuals or units/organizations or both, will be withdrawn for up to one year for violations of this policy.~~

5312.4 REFERENCES

- [Utah Administrative Rule 27 - Government Operations, Fleet Operations](#)
- [Utah Code Title 41, Chapter 6a – Traffic Code](#)
- [Utah Code Title 63 A, Chapter 9, Section 401.5 – Vehicle Fleet Cost Efficiency Plan](#)
- [44 U.S.C § 1506, 26 C.F.R. Parts 1.61 through 21 – Taxation of Fringe Benefits](#)

5312.5 RELATED USU POLICIES

- [Policy 1222: Travel](#)
- [Policy 2002: Campus Walkway Safety](#)
- [Policy 3014: Safety and Health](#)
- [Policy 3017: Volunteer Services](#)
- ~~[Policy 5301: Leased Vehicle Damage Recovery Fund](#)~~
- [Policy 5315: Use of University Property](#)

5312.6 DEFINITIONS

- **Authorized Driver.** [A USU employee, student, or authorized volunteer with a valid driver's license, who meets the necessary age restrictions, is current with the required defensive driving training, and has been entered into the Utah Division of Fleet Management's driver database by USU Risk Management.](#)
- **Commute Use.** [Use of a University Motor Vehicle by an employee driving between the employee's residence and the employee's assigned work location more than one calendar day per month. Commute use is subject to taxation rules outlined in 26 CFR 1.61-21.](#)
- **Motor Vehicle.** [A self-propelled vehicle intended primarily for use and operation on highways, including vehicles used for construction and other non-transportation purposes, roadable aircraft, and street-legal all-terrain vehicles. Motor Vehicle does not include motor-assisted scooters or vehicles covered by USU Policy 4112: Off-Highway Vehicle \(OHV\) Usage or special use and research vehicles not licensed for highway use.](#)

5312.7 ENERGY EFFICIENCY

- [Right-Size Vehicle.](#) [The most economically appropriate size and type of Motor Vehicle for the purposes for which the Motor Vehicle will be used.](#)
- **University Business.** [Any activity undertaken by a USU employee, student, and/or volunteer in the course and scope of their employment and/or volunteerism with USU.](#)

- **Vehicle Fleet Cost Efficiency Plan.** The State of Utah has established State Fleet Efficiency Requirements to ~~(1) reduce fleet costs or, increase energy efficiency, (2) improve air quality in Utah, and (3) contribute to a general decreased United States dependency~~ decrease the US's dependence on foreign oil. ~~Each department is responsible for following~~ USU's goal is to comply with the State of Utah's State Vehicle Fleet Cost Efficiency Requirements by Plan requirements in these ways:
 - (1) Decrease the overall cost per mile average of ~~state vehicles. This can be accomplished by increasing the overall miles per gallon; a minimum of 30 MPG should be sought for any new sedan purchases.~~ University-owned or leased Motor Vehicles
 - ~~decrease the number of vehicles in the state fleet. Departments should review whether low use vehicles are needed to accomplish the mission of the University. Consideration should be given to sharing vehicle ownership and use between departments.~~
 - (2) Decrease the number of University-owned or leased Motor Vehicles
 - 3) Decrease the total gallons of fuel consumed by ~~State vehicles. Alternative fuel vehicles should be used whenever appropriate.~~ University-owned or leased motor vehicles
 - 4) Increase the overall miles per gallon of ~~state vehicles. Consideration should be given to the purchase of hybrid vehicles where appropriate.~~ University-owned or leased Motor Vehicles
 - (5) Decrease the total miles driven annually by ~~state vehicles. Emphasis should be placed on walking, bike riding, carpooling, teleconferencing and other alternatives to driving vehicles.~~ University-owned or leased Motor Vehicles
 - (6) ~~"right size" state~~ Right-Size University-owned or leased Vehicles to the lowest level ~~vehicle type needed to perform the state business required. Departments will have vehicle purchases reviewed for right size (section 2.1).~~ University Business requirement
 - (7) Decrease the overall pollution output by ~~the state fleet. Vehicles should comply with emissions testing and avoid excessive idling.~~ University-owned or leased vehicles

~~7.2 All Utah State University vehicles will be required to have emissions testing annually in conjunction with the vehicle's annual inspection.~~

~~7.3 All Utah State University Departments will purchase "right size" vehicles unless an exception is granted in writing by their Dean or Vice President (section 2.1).~~

~~5312.8 COMMUTE OR TAKE HOME USE~~

~~8.1 According to Utah Administrative Code R27-1, the following terms are defined:~~

- ~~(1) "Commute Use" means an employee driving a state vehicle from the employee's place of business to the employee's place of residence, until the start of the next business day, for more than five calendar days per month.~~
- ~~(2) "Personal Use" means the use of a state vehicle to conduct an employee's personal affairs, not related to state business.~~
- ~~(3) "Take-home vehicle" means a state vehicle assigned to be driven to and from an employee's place of residence and their assigned work location and the employee's use of the vehicle is a working condition benefit and not a taxable fringe benefit under the provisions of IRS Publication 15-B.~~

~~8.2 In conjunction with Utah Administrative Code R27-3-7: Criteria for Commute Privilege Approval, Commute use may be approved when one or more of the following conditions exist:~~

- ~~1. 24 hour "On-Call." Where the department clearly demonstrates that the nature of a potential emergency is such that an increase in response changed at any time, if a commute or take home privilege is not by persons authorized, could endanger human life or cause significant property damage.~~
- ~~2. Virtual office. Where a department clearly demonstrates that an employee is required to work at home or out of a vehicle a minimum of 80 percent of the time and that the assigned vehicle is required to perform critical duties in a manner that is clearly in the best interest of the University.~~
- ~~3. Practical Use. When the department clearly demonstrates that it is more practical for the employee to go directly to an alternate work site rather than report to a specific office to pick up a University vehicle.~~

~~8.3 Commute use is considered a taxable fringe benefit as outlined in IRS Publication 15-B. All approved commute use drivers will be assessed the IRS imputed daily fringe benefit rate while using a University vehicle for commute use.~~

~~8.4 Approval for Commute privileges must be obtained annually by submitting a form to the Office of the Vice President for Finance and Administrative Services prior to the beginning of each calendar year~~

~~8.5 Unauthorized Commute or Take-Home use may result in loss of driving privileges and possible disciplinary action.~~

Information below is 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. ~~the President, subject to review by the USU Policy Committee.~~

RESOURCES

Procedures

- [University Procedure 5312: Vehicle Use](#)

Related Forms and Tools

- [Vehicle Accident Report](#)
- [Driving for USU – Risk Management](#)
- [Approved Maintenance Vendor Map](#)
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Contacts

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POLICY HISTORY

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DRAFT

POLICY MANUAL

OPERATING POLICIES AND PROCEDURES

Number 5312

Subject: Vehicle Use Policy

Date of Origin: February 1, 2006

Date of Last Revision(s): June 24, 2022; June 14, 2017; January 14, 2013

Effective Date: June 24, 2022

5312.1 USE OF UNIVERSITY VEHICLES

1.1 All use of vehicles whether owned, leased, rented, or otherwise made available for use by Utah State University (University vehicles) must be authorized by a Department Head, Director, Dean or Vice President. Owned or leased vehicles must be documented as part of the University Fleet and maintained in the state-wide Fleet database.

Departments must not exceed the existing number of vehicles allocated to their department unit.

1.2 University vehicles may only be used:

(1) for authorized University purposes; or

(2) by authorized student organizations (a) registered under Article IV, Section 2, of the Code of Policies and Procedures for Students at Utah State University, (b) registered as a USU club sport with the Campus Recreation Office, or (c) exempt from registration under Article IV, Section 3, of the Code of Policies and Procedures for Students at Utah State University.

1.3 Drivers of University vehicles must be at least 18 years old and have a valid driver's license.

1.4 Drivers of University vehicles must have a driving record in compliance with Utah Administrative Services Rule 27-7-3 (<https://rules.utah.gov/publicat/code/r027/r027-007.htm#/T3>). The authority to operate a state vehicle shall be suspended or revoked for

up to three years if a driver meets any of the reasons defined in the above rule.

1.5 Drivers of University vehicles must complete an approved Driver Safety Program at initial employment and every two years thereafter. In the event of a moving violation or accident citation in a University vehicle, the Driver Safety Program must be retaken prior to driving a University vehicle again.

1.6 It is the responsibility of each Department Head/Director or designee to ensure that all employees who drive vehicles are up-to-date with the above Driver Safety Program and are aware of the USU Vehicle Use Policy. Departments are required to keep a copy of the completed Driver's test for each employee and to forward a copy to the Motor Pool in order to update the Fleet Management database.

1.7 Proof of adequate insurance is required from the owner for vehicles that are owned by another organization and loaned to the University for use. Departments should contact the USU Risk Management Office regarding this process.

5312.2 VEHICLE PURCHASING AND REPLACEMENT

2.1 Departments purchasing new vehicles or replacing vehicles with more recent models shall obtain smaller and more fuel efficient vehicles. The appropriate Dean or Vice President will review each vehicle purchase to assure it is "right-sized" as prescribed by the Fleet Energy Efficiency Plan (see 7.1(6)). Exceptions to purchasing "right size" smaller and/or more fuel efficient vehicles must be approved in writing by a Department's Dean or Vice President.

2.2 Departments are encouraged to purchase vehicles that include readily available safety equipment.

2.3 If a department disposes of a vehicle and does not immediately replace it, the vehicle slot will be held for five years.

5312.3 VEHICLE OPERATION STANDARDS

3.1 Drivers of University vehicles must observe all state and local laws, including those stated in Utah Code Annotated 1953, as amended, Title 42, Chapter 6 (Traffic Rules and Regulations).

3.2 Drivers and all occupants **must** wear a seatbelt at all times and observe all posted speed limits including reduced speed construction zones and road hazard warnings. All seatbelts need to be fastened before the vehicle is put in motion.

2.3 Drivers are encouraged to briefly rest from driving every 2 hours.

3.4 Total driving time must not exceed 12 hours per day, irrespective of the number of drivers.

3.5 University vehicles must not be operated for travel purposes between 11:00 p.m. and

5:00 a.m., except where (1) the trip (a) is solely to return to a home base and (b) the return trip is less than 4 hours in duration or (2) it is necessary to leave home base prior to 5:00 a.m. in order to reach a destination less than four hours away or (3) the driver is within two hours of the destination.

3.6 Drivers must use good judgment concerning weather and driving conditions by reviewing weather conditions in advance of the trip and make prudent travel adjustments when necessary. Travel plans should allow for emergency stop-overs and associated expenses due to bad weather. Drivers must slow down if adverse weather conditions exist. Travel should not proceed in extreme weather conditions.

3.7 Drivers are responsible for the safe operation and condition of the vehicle they are driving and should be familiar with the vehicle safety equipment. Vehicle problems or concerns should be promptly reported to: (a) Motor Pool if the vehicle is a Motor Pool vehicle or (b) appropriate department personnel if the vehicle is a departmental vehicle.

3.8 Vehicle Load and Towing Capacity: Vehicle operators must not exceed the manufacturer's total rated payload capacity either in cargo or passengers. Adding storage or luggage racks above any vehicle that substantially changes the safe operation of the vehicle is not allowed. Towing must not exceed the manufacturer's rated capacity both in terms of the total payload being towed and/or the amount of tongue weight being placed on the vehicle. The amount of additional tongue weight must be factored in to ensure that amount of payload (plus tongue weight) does not exceed the rated GVRW of the vehicle. It is the responsibility of the vehicle operator to know the rated capacities of the vehicle being operated and to ensure that towing and/or loading does not exceed the manufacturer's rated capacities.

5312.4 FULL SIZE VANS

4.1 Use of 12 or 15 passenger vans is prohibited with the following two exceptions: (These exceptions apply when traveling from an origin point remote to the USU Campus location.)

(1) in rare circumstances where no other suitable transportation is available, a Dean, Vice President, or the Athletic Director may approve the use a full-size passenger van. However, in such circumstances, drivers must meet the certification requirements as outlined in section 5.3(2) and vehicle capacity is limited to nine (9) occupants.

(2) in the event that transportation is provided by a hosting organization using 12 or 15 passenger vans (e.g. airport-hotel shuttle, conference events, etc.), University employees may accept the transportation or arrange alternate transportation at their own discretion.

4.2 As an alternative to 12 and 15 passenger vans, 15 passenger buses will be available from the Motor Pool. These vehicles will have dual rear wheels and meet Federal school bus standards. Additional conditions and training requirements apply as outlined in section 5.3.

4.3 Full-size vans used for cargo purposes only may continue to be purchased and used

by departments where the wheelbase does not exceed 139" (no extended body vans) and seating capacity is limited to two passengers. Continued use of existing cargo vans with a wheelbase greater than 139" will be limited to a 10 mile radius of the USU Campus location and will be phased out as vehicles are replaced. Drivers must meet the certification requirements as outlined in section 5.3(2).

5312.5 VEHICLE CAPACITIES AND ADDITIONAL TRAINING REQUIREMENTS

5.1 Departments may own or lease vehicles with a seating capacity of seven (7) occupants or less.

5.2 In order to ensure consistent maintenance and complete vehicle history, all vehicles with seating capacity greater than seven (7) occupants will be managed and maintained by the Motor Pool and made available for use by departments with properly trained drivers as outlined in section 5.3.

5.3 In addition to meeting all general conditions specified in sections 5312.1--5312.2, drivers of vehicles with seating capacity greater than seven (7) occupants must:

- (1) be at least twenty-one (21) years old.
- (2) have satisfactorily completed the National Safety Council (NSC) driver certification course as approved by the Manager of Fleet Operations on an annual basis; or, have a current Commercial Drivers License (CDL) with a passenger endorsement in which case the approved (NSC) safety course must be taken every other year.
- (3) take sufficient time before each trip (and on a daily basis thereafter) to become familiar with all operations of the vehicle including cruise control and to perform a pre-trip inspection on the vehicle to ensure proper tire inflation, correct fluid levels, and brake operation as well as safety and other operational features of the vehicle.
- (4) ensure that cargo does not exceed physical limits imposed by the Motor Pool and that the spare tire and all cargo is safely secured in the cargo area of the vehicle and that the vehicle is not overloaded with passengers or exceeds rated weight capacity limits.
- (5) insist on the use of seatbelts by all passengers and observe all traffic rules including slower driving under difficult or adverse conditions. All seatbelts need to be fastened before the vehicle is put in motion.

5.4 For short term rentals, a sedan or minivan is recommended. However, an SUV may also be rented with a maximum of eight (8) occupants.

5312.6 RESPONSIBILITIES AND SANCTIONS

The privilege to use University vehicles, by individuals or units/organizations or both, may be withdrawn for up to one year for violations of the Vehicle Use Policy.

6.1 It is the responsibility of each Department Head/Director or designee to ensure the safe operation and condition of departmental vehicles including regular maintenance and safety inspections. Departments must coordinate with the Motor Pool to perform the work or make sure that all vehicle repair and maintenance is completed on schedule and that documentation is forwarded to the Motor Pool in a timely manner.

6.2 All vehicle safety inspections must be performed under the direction of the Motor Pool on an annual basis to ensure compliance to University maintenance standards. The Motor Pool is empowered to ground and remove from service any vehicle deemed unsafe until appropriate repairs are made or the vehicle is replaced.

6.3 Drivers of University vehicles are empowered to insist that the vehicle they are driving is safe and operational for the intended purpose of the trip. Drivers may refuse to drive any vehicle they deem to be unsafe until appropriate action takes place to correct the noted problems.

6.4 The Risk Control Committee will review and assess updated test results from the National Highway Traffic Safety Administration (NHTSA), the Insurance Institute for Highway Safety (IIHS), and other appropriate sources. The Committee will establish and maintain an on-going list of vehicles that meet acceptable safety standards. Proposed vehicle purchases will be reviewed by the Manager of Fleet Operations to verify that selected vehicles are on the approved vehicle list.

The privilege to use University vehicles, by individuals or units/organizations or both, will be withdrawn for up to one year for violations of this policy.

5312.7 ENERGY EFFICIENCY

7.1 The State of Utah has established State Fleet Efficiency Requirements to (1) reduce fleet costs or increase energy efficiency, (2) improve air quality in Utah, and (3) contribute to a general decreased United States dependency on foreign oil. Each department is responsible for following the State of Utah's State Fleet Efficiency Requirements by:

(1) decrease the overall cost per mile average of state vehicles. This can be accomplished by increasing the overall miles per gallon; a minimum of 30 MPG should be sought for any new sedan purchases.

(2) decrease the number of vehicles in the state fleet. Departments should review whether low use vehicles are needed to accomplish the mission of the University. Consideration should be given to sharing vehicle ownership and use between departments.

(3) decrease the total gallons of fuel consumed by State vehicles. Alternative fuel vehicles should be used whenever appropriate.

(4) increase the overall miles per gallon of state vehicles. Consideration should be given to the purchase of hybrid vehicles where appropriate.

(5) decrease the total miles driven annually by state vehicles. Emphasis should be placed on walking, bike riding, carpooling, teleconferencing and other alternatives to driving vehicles.

(6) “right size” state vehicles to the lowest level vehicle type needed to perform the state business required. Departments will have vehicle purchases reviewed for right size (section 2.1).

(7) decrease the overall pollution output by the state fleet. Vehicles should comply with emissions testing and avoid excessive idling.

7.2 All Utah State University vehicles will be required to have emissions testing annually in conjunction with the vehicle’s annual inspection.

7.3 All Utah State University Departments will purchase “right size” vehicles unless an exception is granted in writing by their Dean or Vice President (section 2.1).

5312.8 COMMUTE OR TAKE HOME USE

8.1 According to Utah Administrative Code R27-1, the following terms are defined:

(1) “Commute Use” means an employee driving a state vehicle from the employee’s place of business to the employee’s place of residence, until the start of the next business day, for more than five calendar days per month.

(2) “Personal Use” means the use of a state vehicle to conduct an employee’s personal affairs, not related to state business.

(3) “Take-home vehicle” means a state vehicle assigned to be driven to and from an employee’s place of residence and their assigned work location and the employee’s use of the vehicle is a working condition benefit and not a taxable fringe benefit under the provisions of IRS Publication 15-B.

8.2 In conjunction with Utah Administrative Code R27-3-7: Criteria for Commute Privilege Approval, Commute use may be approved when one or more of the following conditions exist:

1. 24 hour “On-Call.” Where the department clearly demonstrates that the nature of a potential emergency is such that an increase in response time, if a commute or take home privilege is not authorized, could endanger human life or cause significant property damage.
2. Virtual office. Where a department clearly demonstrates that an employee is required to work at home or out of a vehicle a minimum of 80 percent of the time and that the assigned vehicle is required to perform critical duties in a manner that is clearly in the best interest of the University.
3. Practical Use. When the department clearly demonstrates that it is more practical

for the employee to go directly to an alternate work-site rather than report to a specific office to pick-up a University vehicle.

8.3 Commute use is considered a taxable fringe benefit as outlined in IRS Publication 15-B. All approved commute use drivers will be assessed the IRS imputed daily fringe benefit rate while using a University vehicle for commute use.

8.4 Approval for Commute privileges must be obtained annually by submitting a [Commute Application](#) form to the Office of the Vice President for Finance and Administrative Services prior to the beginning of each calendar year.

8.5 Unauthorized Commute or Take-Home use may result in loss of driving privileges and possible disciplinary action.

5312-PR1: University Vehicle Use Procedures

Associated Policy: University Policy 5312 – Vehicle Use

Category: Facilities, Operations, IT – General Operations

Responsible Office: USU Risk Management

Effective Date: TBD

Latest Revision: TBD

PURPOSE AND SCOPE

These procedures implement the operational requirements of USU Policy 5312 – Vehicle Use. They establish the processes for authorizing drivers, managing University motor vehicles, maintaining vehicle safety, and reporting accidents involving vehicles used for University Business. These procedures apply to all USU employees, students, and volunteers who operate motor vehicles for University Business, including University-owned, leased, rented, or privately owned vehicles.

1. Driver Eligibility Requirements

Individuals must meet eligibility requirements before operating a motor vehicle for University Business.

To become eligible to drive:

- Possess a valid driver's license issued by a U.S. state or recognized international authority.
- Employees relocating to Utah must obtain a Utah driver's license within the timeframe required by Utah law.
- Successfully complete the Defensive Driving Training provided through the University's learning management system.
- Provide required driver's license information including license number, state of issue, class, and expiration date.
- USU Risk Management will register eligible drivers in the Utah Division of Fleet Management Authorized Driver database.

2. Driver Authorization by Departments

Meeting eligibility requirements does not automatically authorize an individual to drive for University Business.

Department Heads, Directors, Deans, or Vice Presidents may authorize employees, students, or volunteers to operate motor vehicles for University Business.

Authorization may be granted as:

- General authorization for job duties requiring routine vehicle operation.
- Trip-specific authorization for occasional travel.

Departments may revoke driving authorization at any time. Departments that permit individuals who are not Authorized Drivers to operate vehicles for University Business may be responsible for the full cost of any resulting loss.

3. Use of Privately Owned Vehicles

Use of privately owned vehicles for University Business is discouraged but may occur when appropriate.

- The driver's personal automobile insurance is primary coverage.
- The University does not provide physical damage coverage for privately owned vehicles.
- The University will not reimburse damage, deductibles, or liability claims associated with privately owned vehicles.
- Drivers must maintain automobile insurance that meets Utah state minimum requirements.

4. Department Vehicle Management

4.1 Vehicle Slot Assignment

- Motor vehicles are assigned to departments through USU Motor Pool vehicle slots.
- Departments may not exceed the number of vehicle slots assigned to them.
- Vacant vehicle slots may be retained for up to two years before reverting to Motor Pool.
- Automobile insurance premiums are assessed based on the number of vehicle slots assigned.

4.2 Vehicle Purchase and Leasing

- Departments may purchase or lease vehicles with seating capacity of eight occupants or fewer.
- Vehicle purchases should comply with the State of Utah Vehicle Fleet Cost Efficiency Plan.
- Departments must select Right-Sized Vehicles appropriate for the operational need.
- Exceptions must be approved in writing by the appropriate Dean or Vice President.

5. Vehicle Operations

- Authorized Drivers must comply with all state and local traffic laws.
- Seatbelts must be worn by all occupants at all times.
- Drivers must obey posted speed limits and construction zone restrictions.
- Drivers should avoid mobile device use while operating vehicles unless hands-free operation is used.

6. Vehicle Maintenance and Safety Inspections

- All University-owned or leased vehicles must receive annual preventative maintenance, safety inspections, and emissions testing where required.
- Maintenance should be completed through USU Motor Pool whenever possible.
- If Motor Pool service is not practical, an approved vendor may be used with prior approval from Motor Pool.
- Documentation of completed maintenance must be submitted to USU Motor Pool.

7. Accident Reporting and Response

7.1 Immediate Actions

- Stop immediately and move the vehicle to a safe location if possible.
- Call 911 if injuries are present.
- Contact local law enforcement to document the accident.
- Exchange information with other drivers involved.

- Document the scene with photographs when possible.
- Avoid making statements regarding liability or fault.

7.2 Reporting Requirements

- Accidents involving University-owned or leased vehicles must be reported to USU Risk Management within 24 hours.
- The Vehicle Accident Report form must be completed and submitted to Risk Management.
- Injuries to USU employees must also be reported using the Employer's First Report of Injury.

7.3 Repairs and Claims Management

- All repairs must be coordinated through USU Risk Management.
- Auto body repairs must be completed by a shop approved by the Utah Division of Risk Management.
- The department of the driver involved in the accident is responsible for payment of the applicable insurance deductible.

8. Driver Eligibility Review and Suspension

- Driver eligibility may be suspended or revoked for repeated preventable accidents, moving violations, reckless driving, DUI, or unauthorized vehicle use.
- The USU Driver Safety Committee will review incidents and determine appropriate corrective actions.
- Drivers involved in preventable accidents may be required to complete additional driver safety training.

9. Vehicles with Seating Capacity Greater than Eight

- Vehicles with seating capacity greater than eight occupants may only be owned or leased by USU Motor Pool.
- Departments requiring these vehicles must obtain them through Motor Pool.
- Drivers operating these vehicles must meet training and eligibility requirements established by Motor Pool.
- Additional licensing requirements, including CDL with passenger endorsement, may apply.

10. Commute Use of University Vehicles

- Employees must obtain annual approval for commute use from the Office of the Vice President for Finance and Administrative Services.
- Drivers must submit a Commute Application documenting the business justification.
- Commute use constitutes a taxable fringe benefit under IRS regulations.
- Unauthorized commute use may result in revocation of driving privileges and disciplinary action.

11. Related Forms and Resources

- [Vehicle Accident Report](#)
- [Driving for USU – Risk Management](#)
- [Commute Application](#)



*Tessa White, Chair | Gina Gagon, Vice Chair
Ryan Dent | Brett Hugie | David H. Huntsman
Luke Johnson | Kacie Malouf | David A. Petersen
Jacey Skinner | Brandon Sorensen | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Jessica Oyler, Vice President and Chief of Staff
CC: Chris Corcoran, Executive Vice President & Provost
DATE: August 7, 2026
RE: Administrative Reporting Change – Heravi Peace Institute

BACKGROUND: The Heravi Peace Institute has served as a university-wide resource supporting teaching, research, student engagement, and public outreach related to peacebuilding, conflict resolution, and global understanding. As the Institute's work has expanded across multiple colleges and academic units, and with the current director stepping down following the award of tenure and a planned sabbatical, the university has evaluated the Institute's administrative reporting structure to align with the growing institutional impact of the Institute. This transition also provides the opportunity to recruit a new director through a broad search process spanning different academic backgrounds.

IMPLEMENTATION: Effective fall semester 2026, the Heravi Peace Institute will report through the Office of the Provost. This administrative reporting change aligns the Institute with its university-wide academic role, strengthens collaboration across colleges and academic units, and supports continued integration of its teaching, research, and public engagement activities. This change does not alter the Institute's mission, programming, or operations.

ACTION: This administrative reporting change is being shared with the Board of Trustees for informational purposes. No Board action is required.





*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: David T. Cowley, Vice President for Finance and Administrative Services
DATE: August 7, 2026
RE: Report of Investments for April 2026

FOR INFORMATION PURPOSES ONLY. NO ACTION REQUIRED.

In accordance with [Utah Board of Higher Education Policy R541](#), Management and Reporting of Institutional Investments requires institutional boards to review monthly investment reports.

The following is a report of Utah State University's investment holdings for the month ended April 2026. Investments are executed in accordance with the State Money Management Act, Rules of the State Money Management Council, and Uniform Prudent Management of Institutions Funds Act.

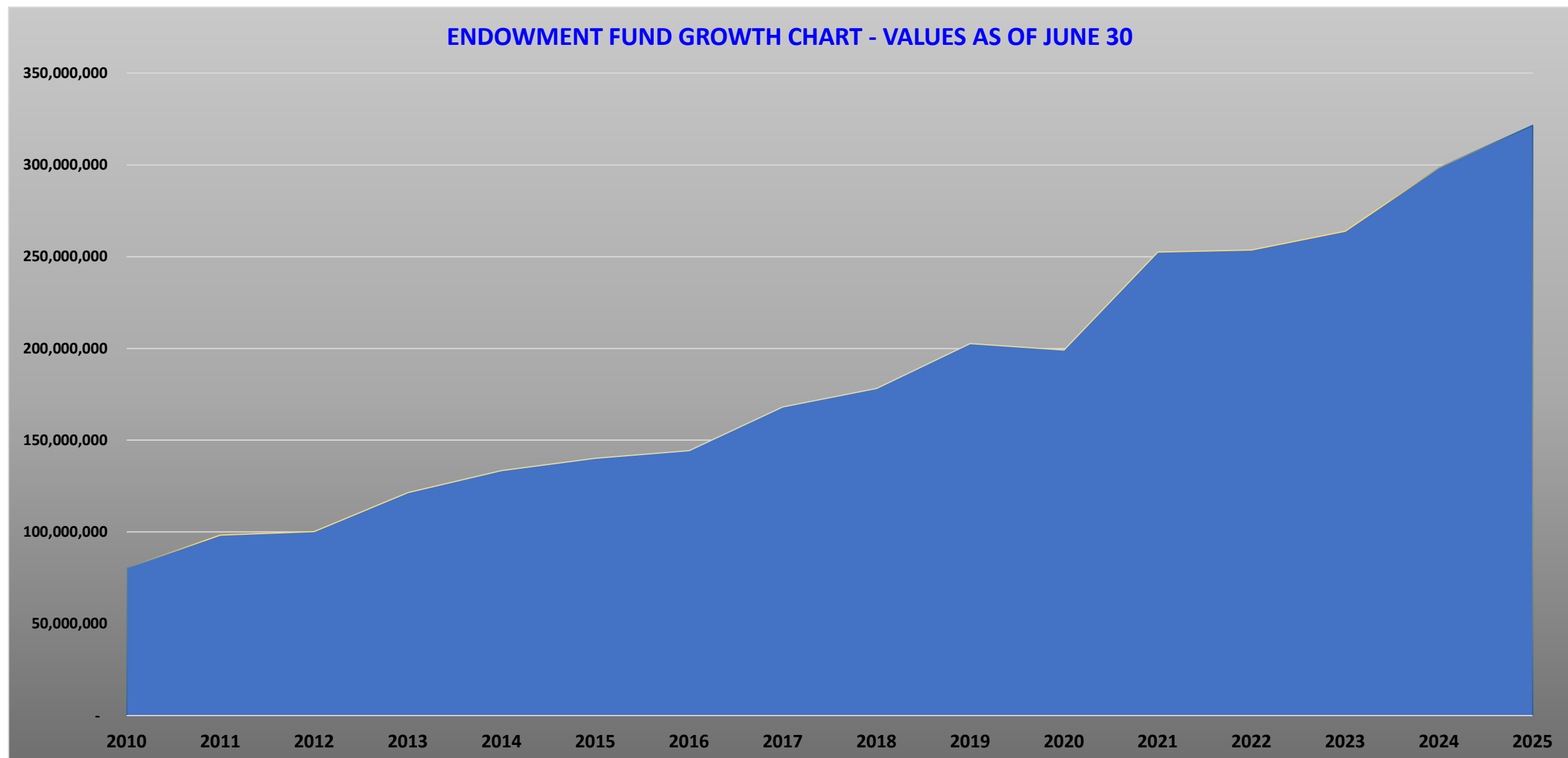
Attachments:

Signature Page
Investment Pool Holding Totals
Funds Separately Invested
Bonded Debt Investments





Investment Pool Holding Totals	Asset Allocation		Performance as of April 30, 2026			
	Current Allocation	Target	1 Year %	3 Years %	5 Years %	10 Years %
Global Equity	50.7%	48.0%				
Investment Grade Fixed Income	15.1%	11.5%				
Opportunistic Fixed Income	8.0%	7.5%				
Alternative Assets	25.8%	33.0%				
Cash and Equivalents	0.4%	0.0%				
Total Fund Aggregate	100%	100%	15.4%	10.6%	7.3%	8.5%
Benchmark			19.9%	12.7%	8.1%	9.0%





UTAH STATE UNIVERSITY
REPORT OF INVESTMENTS
April 2026

The following report is a list of Utah State University's investment holdings for the month ended April 2026. To the best of my knowledge, Utah State University is in compliance with the Utah State Money Management Act, Rules of the Utah State Money Management Council, Utah State Uniform Prudent Management of Institutional Funds Act, and Utah Board of Higher Education and University policies.

Wendy Keller

Wendy Keller
Controller

07/23/2026

Date

David T. Cowley

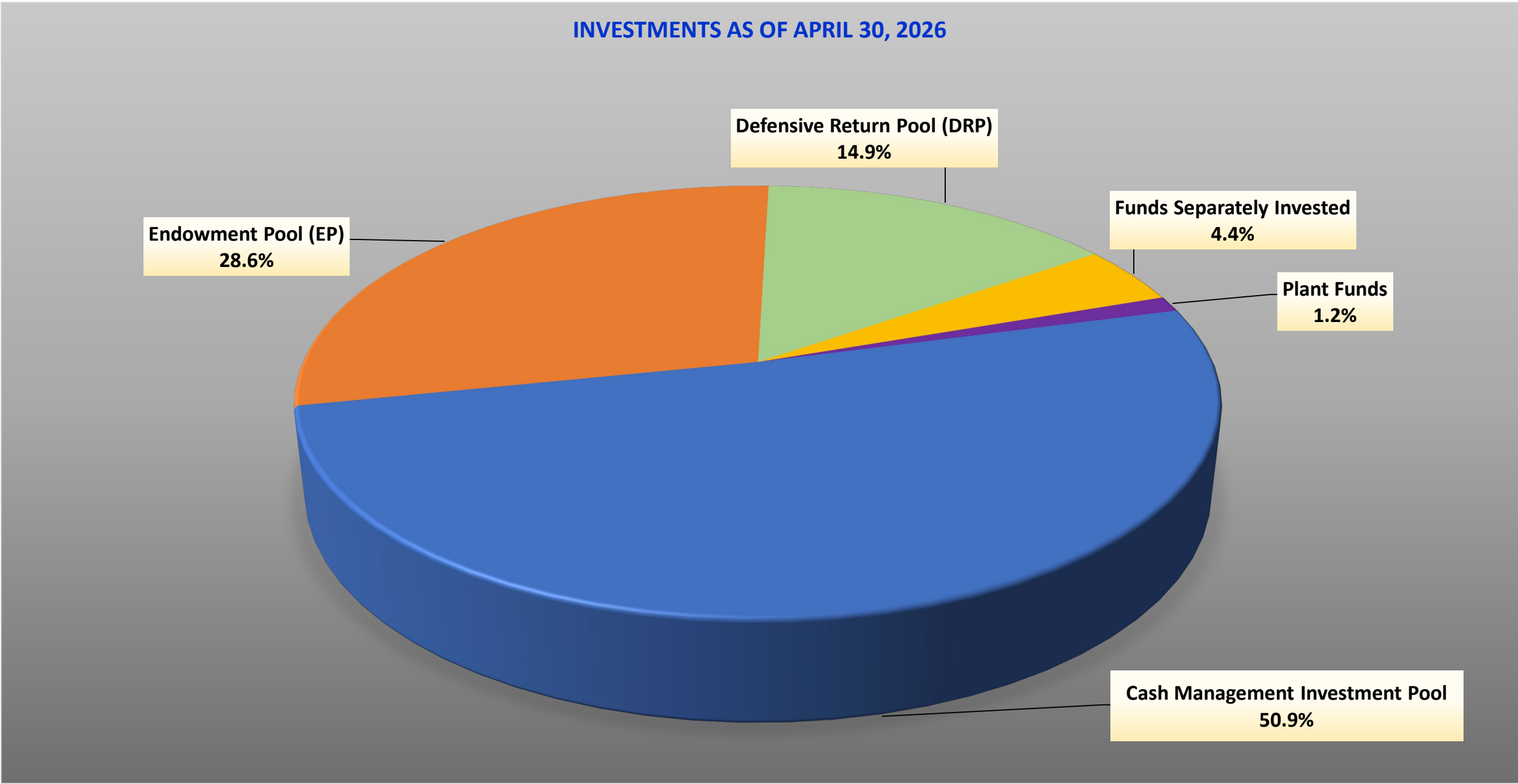
David T. Cowley
Vice President
for Finance and Administrative Services

07/23/2026

Date



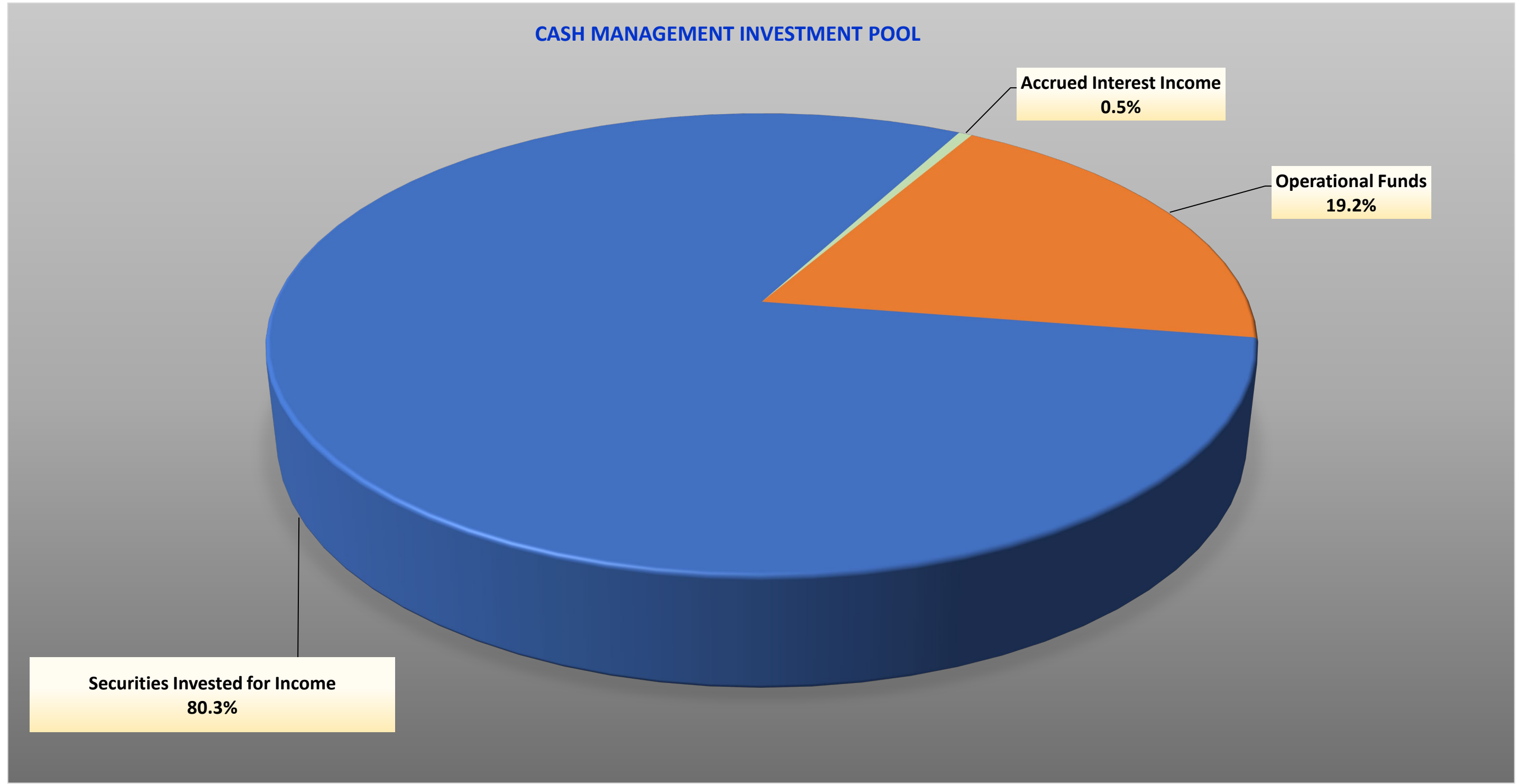
Investment Pool Holding Totals			April 2026
			Fair Value
Cash Management Investment Pool			\$642,950,009
Endowment Pool (EP)	(Does not include \$14.4 M invested in CMIP)		362,041,612
Defensive Return Pool (DRP)	(Does not include \$74.9 M invested in CMIP)		187,560,253
Funds Separately Invested	(Donor Restricted Individual Securities, Donor Required External Management)		55,255,436
Plant Funds	(Bond Proceeds during Construction and Debt Service Reserves)		14,619,277
Total			\$1,262,426,587





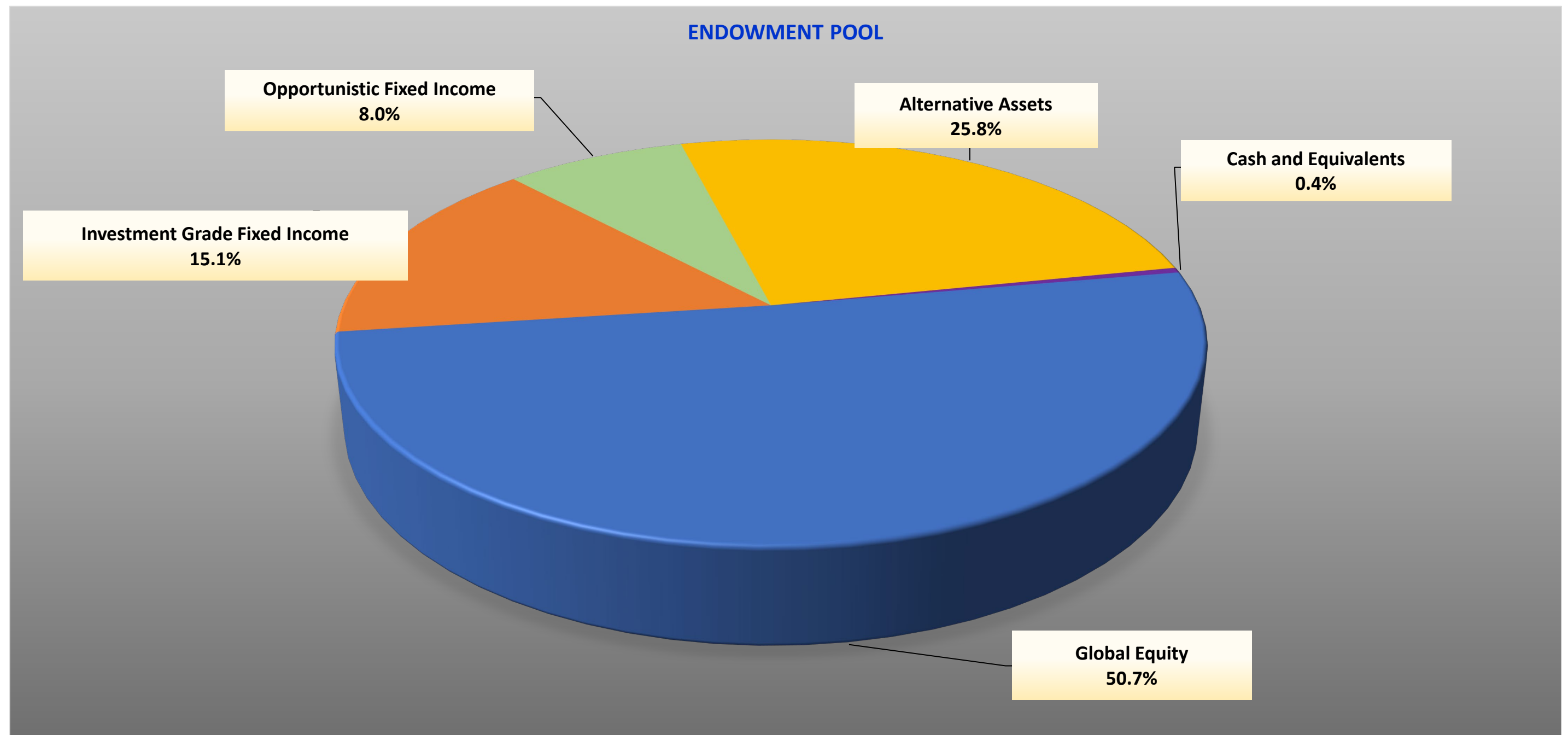
Investment Pool Holding Totals		Annualized Yield	April 2026 Par Value	April 2026 Cost Basis	April 2026 Fair Value	Unrealized (G/L)*
Operational Funds	(Cash and Cash equivalents & investments where maturities are one year or less)		\$123,253,000	\$123,332,447	\$123,168,372	(\$164,075)
Securities Invested for Income	(Investments intended to generate a consistent stream of income year over year with maturities between one and ten years)		537,495,000	537,786,102	516,452,561	(21,333,541)
Accrued Interest Income					3,329,076	
Total		3.67%	\$660,748,000	\$661,118,549	\$642,950,009	(\$21,497,616)

* Changes in unrealized gains or losses are based on the difference between the cost and current fair value. Like other public institutions, Utah State University practices a buy and hold to maturity strategy, therefore at maturity, principal balances will be returned at full par value. All investments are in compliance with the State of Utah Money Management Act.



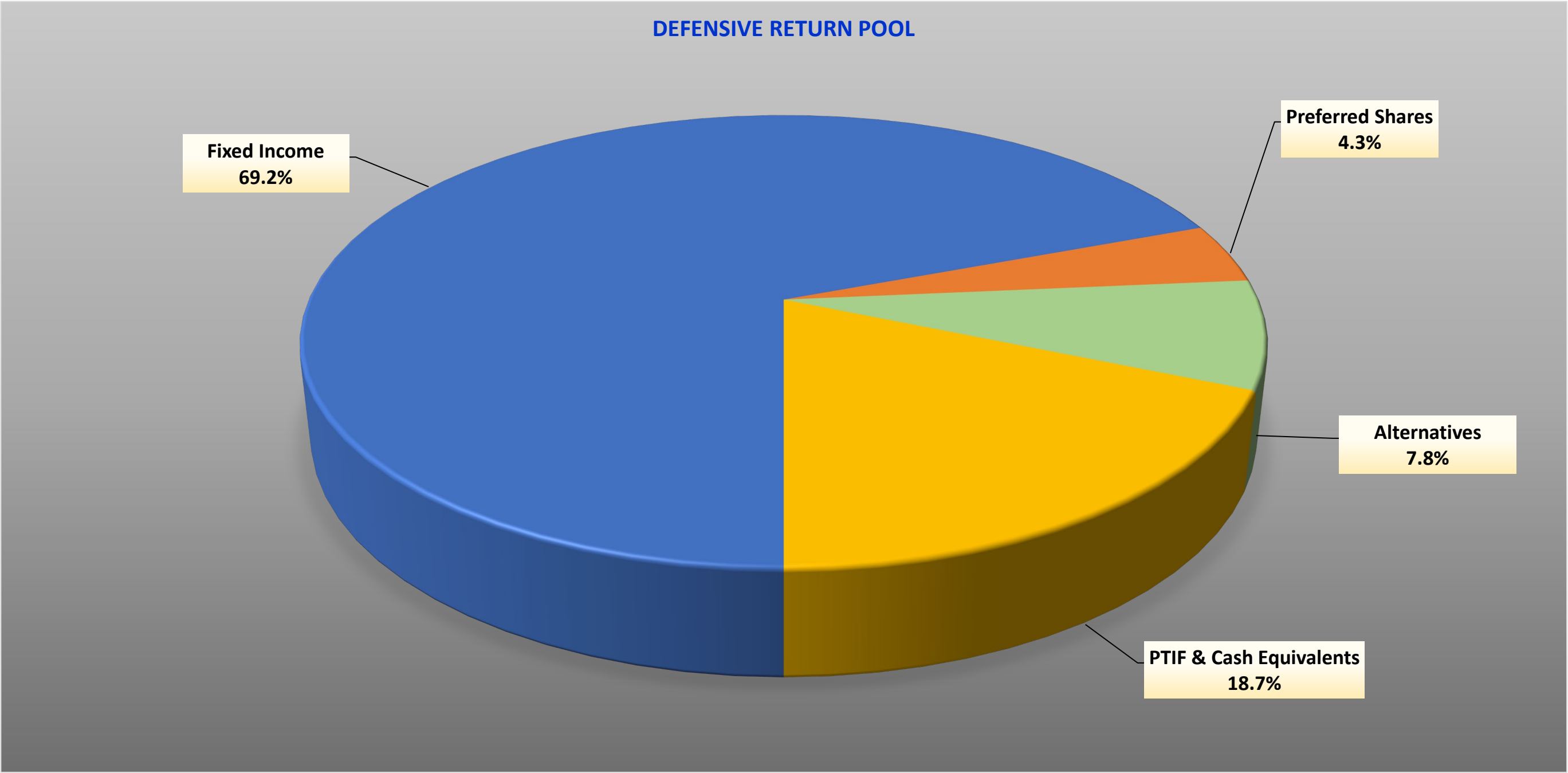


Investment Pool Holding Totals	Change From Prior Year			Change From Prior Month		
	April 2025 Fair Value	April 2026 Fair Value	Net Change from Prior Year	March 2026 Fair Value	April 2026 Fair Value	Net Change from Prior Month
Global Equity	\$152,808,944	\$190,815,242		\$178,764,892	\$190,815,242	
Investment Grade Fixed Income	48,859,755	56,893,194		55,453,380	56,893,194	
Opportunistic Fixed Income	29,116,167	30,057,010		29,925,271	30,057,010	
Alternative Assets	87,029,630	97,152,467		96,604,250	97,152,467	
Cash and Equivalents	1,992,160	1,536,885		2,919,858	1,536,885	
Total	\$319,806,656	\$376,454,798	\$56,648,142	\$363,667,651	\$376,454,798	\$12,787,147





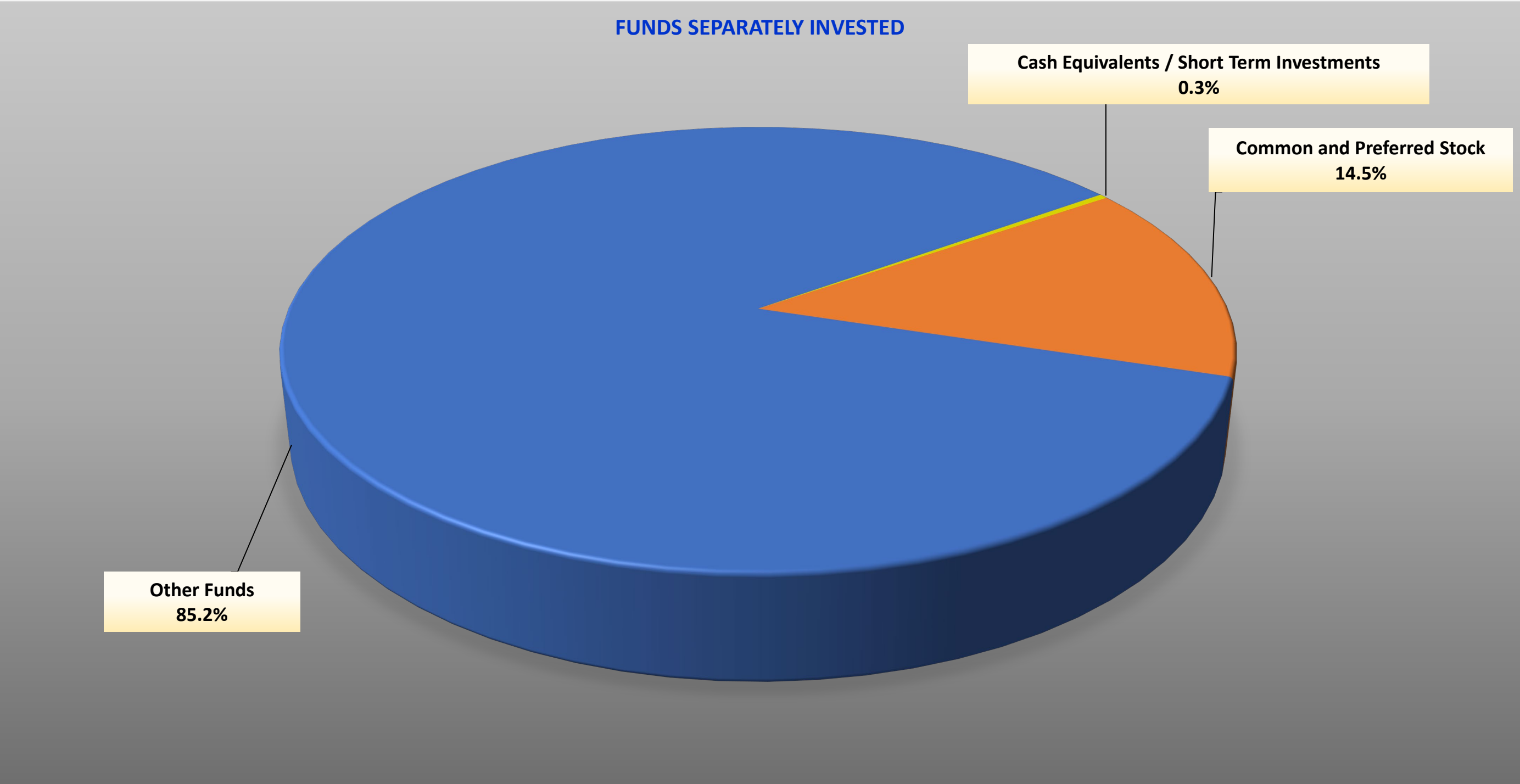
Investment Pool Holding Totals		March 2026 Fair Value	April 2026 Fair Value	Net Change in Fair Value
Fixed Income	(Includes \$74.9 M invested in CMIP)	\$187,249,304	\$181,883,935	
Preferred Shares		10,909,760	11,234,194	
Alternatives		20,362,541	20,365,424	
PTIF & Cash Equivalents		47,284,203	48,994,210	
Total		\$265,805,808	\$262,477,763	(\$3,328,045)





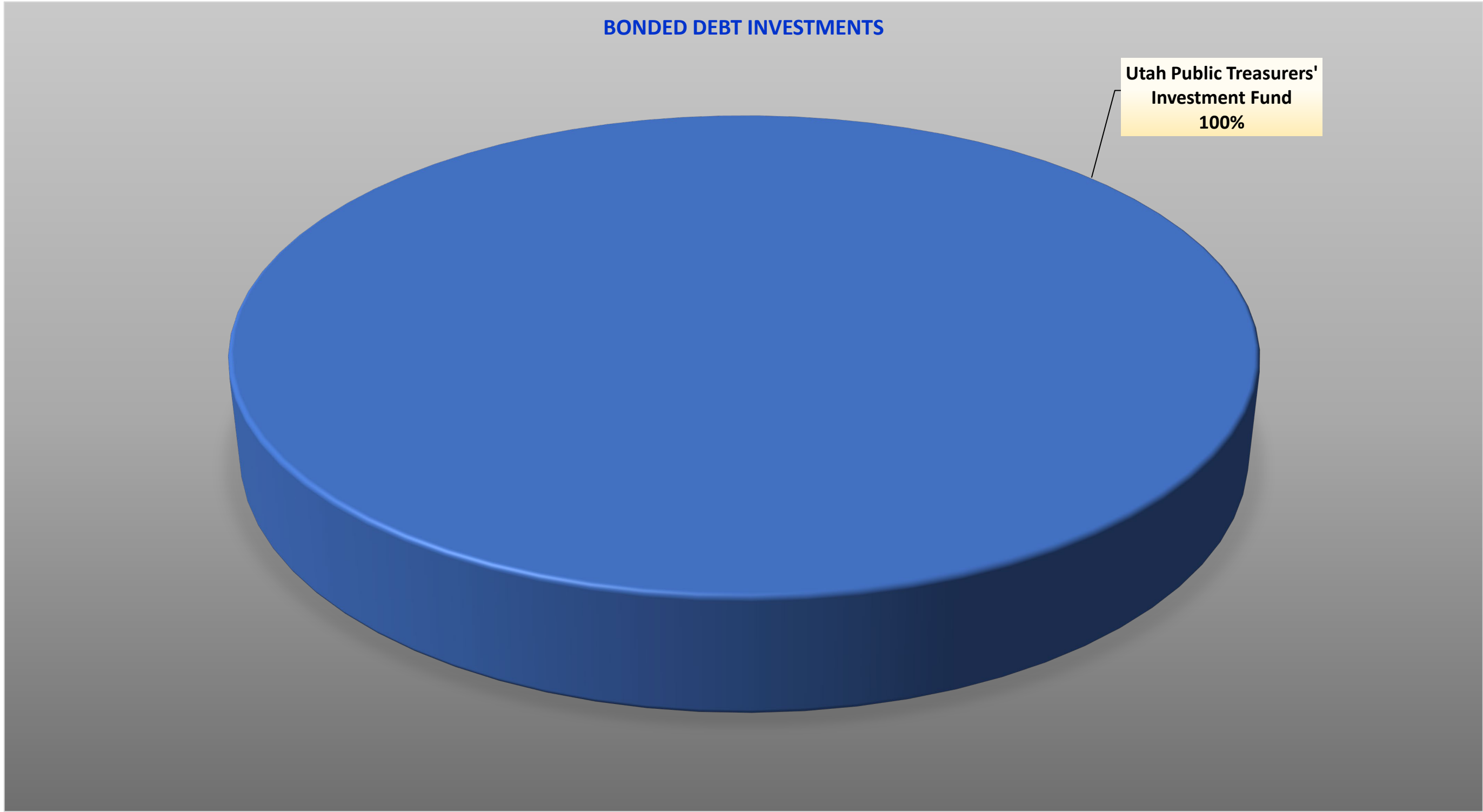
Funds Separately Invested*	April 2026 Cost Basis	April 2026 Fair Value	Change in Unrealized (G/L)
Cash Equivalents / Short Term Investments	\$183,896	\$183,896	
Common and Preferred Stock	7,059,245	8,020,259	
Other Funds	10,759,554	47,051,281	
Total	\$18,002,695	\$55,255,436	\$37,252,741

* Funds Separately Invested primarily consists of donor restricted individual securities donated to the University and managed by outside investment managers.





Bonded Debt Investments		March 2026 Fair Value	April 2026 Fair Value	Net Change in Fair Value
Utah Public Treasurers' Investment Fund	(Bond Proceeds during Construction and Debt Service Reserves)	\$25,787,561	\$14,619,277	
Total		\$25,787,561	\$14,619,277	(\$11,168,284)





*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: David T. Cowley, Vice President for Finance and Administrative Services
DATE: August 7, 2026
RE: Report of Investments for May 2026

FOR INFORMATION PURPOSES ONLY. NO ACTION REQUIRED.

In accordance with [Utah Board of Higher Education Policy R541](#), Management and Reporting of Institutional Investments requires institutional boards to review monthly investment reports.

The following is a report of Utah State University's investment holdings for the month ended May 2026. Investments are executed in accordance with the State Money Management Act, Rules of the State Money Management Council, and Uniform Prudent Management of Institutions Funds Act.

Attachments:

Signature Page
Investment Pool Holding Totals
Funds Separately Invested
Bonded Debt Investments





UTAH STATE UNIVERSITY
REPORT OF INVESTMENTS
May 2026

The following report is a list of Utah State University's investment holdings for the month ended May 2026. To the best of my knowledge, Utah State University is in compliance with the Utah State Money Management Act, Rules of the Utah State Money Management Council, Utah State Uniform Prudent Management of Institutional Funds Act, and Utah Board of Higher Education and University policies.

Wendy Keller

Wendy Keller
Controller

07/23/2026

Date

David T. Cowley

David T. Cowley
Vice President
for Finance and Administrative Services

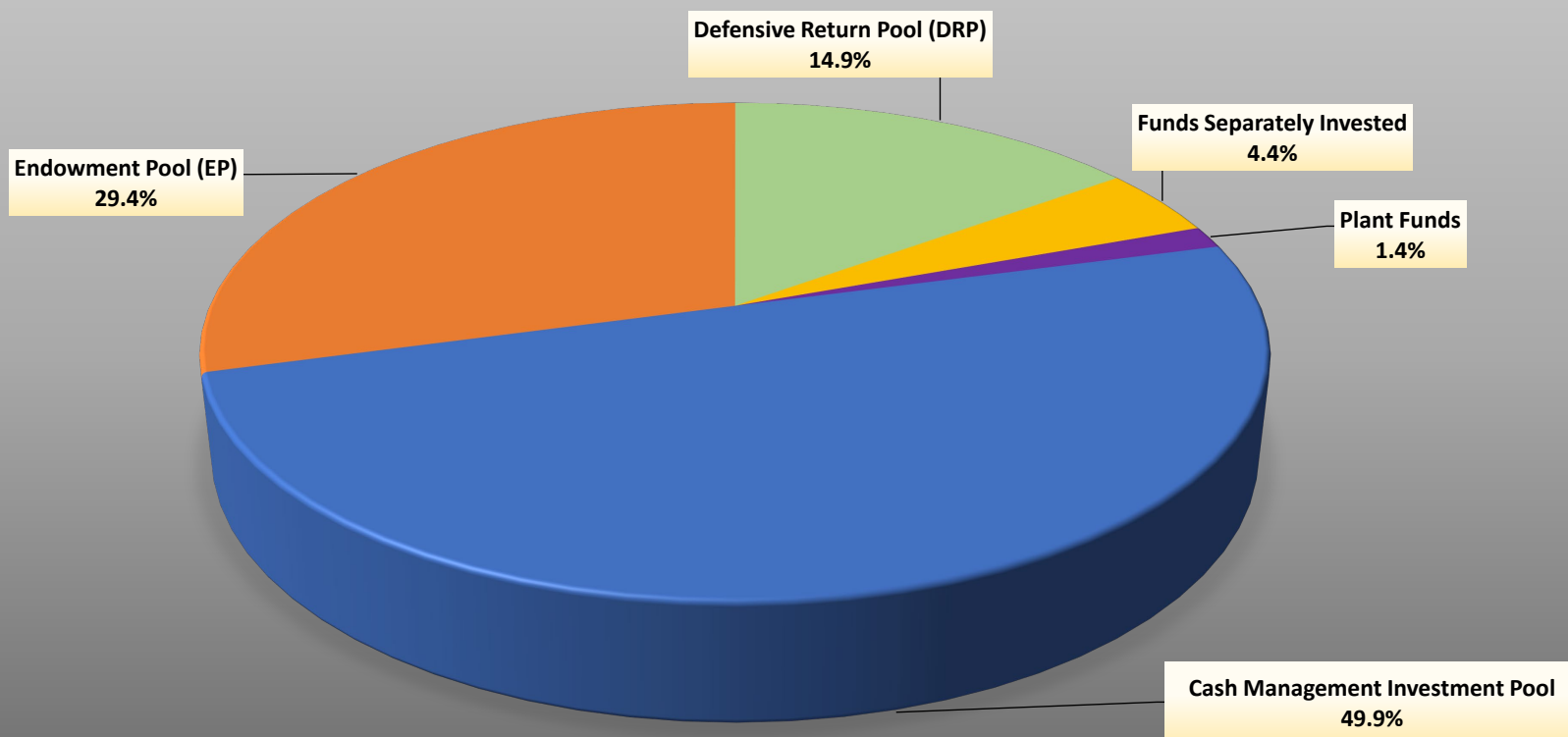
07/23/2026

Date



Investment Pool Holding Totals		May 2026 Fair Value
Cash Management Investment Pool		\$629,420,208
Endowment Pool (EP)	<i>(Does not include \$15.9 M invested in CMIP)</i>	368,782,400
Defensive Return Pool (DRP)	<i>(Does not include \$72.5 M invested in CMIP)</i>	188,475,074
Funds Separately Invested	<i>(Donor Restricted Individual Securities, Donor Required External Management)</i>	56,015,820
Plant Funds	<i>(Bond Proceeds during Construction and Debt Service Reserves)</i>	18,059,661
Total		\$1,260,753,163

INVESTMENTS AS OF MAY 31, 2026

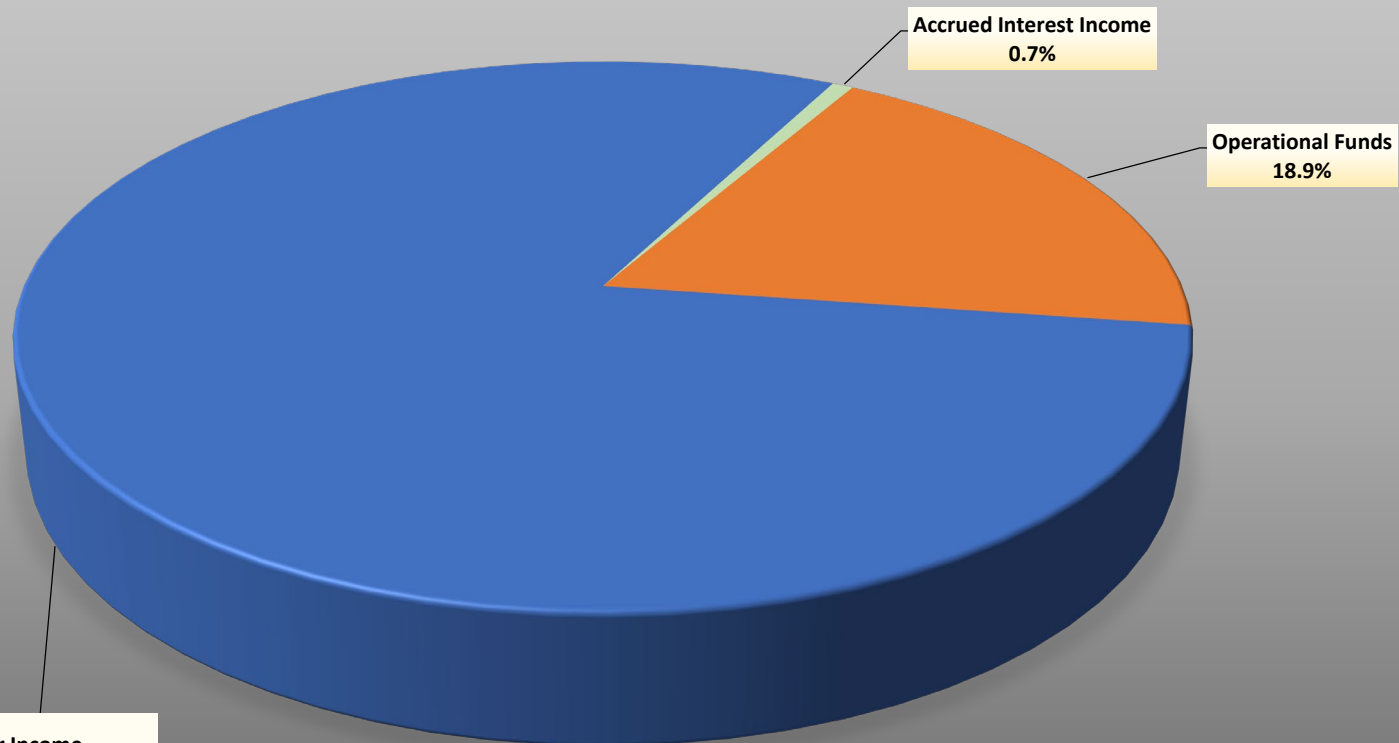




Investment Pool Holding Totals		Annualized Yield	May 2026 Par Value	May 2026 Cost Basis	May 2026 Fair Value	Unrealized (G/L)*
Operational Funds	(Cash and Cash equivalents & investments where maturities are one year or less)		\$119,253,000	\$119,335,814	\$119,233,030	(\$102,784)
Securities Invested for Income	(Investments intended to generate a consistent stream of income year over year with maturities between one and ten years)		527,495,000	527,744,276	505,872,637	(21,871,639)
Accrued Interest Income					4,314,541	
Total		3.62%	\$646,748,000	\$647,080,090	\$629,420,208	(\$21,974,424)

* Changes in unrealized gains or losses are based on the difference between the cost and current fair value. Like other public institutions, Utah State University practices a buy and hold to maturity strategy, therefore at maturity, principal balances will be returned at full par value. All investments are in compliance with the State of Utah Money Management Act.

CASH MANAGEMENT INVESTMENT POOL



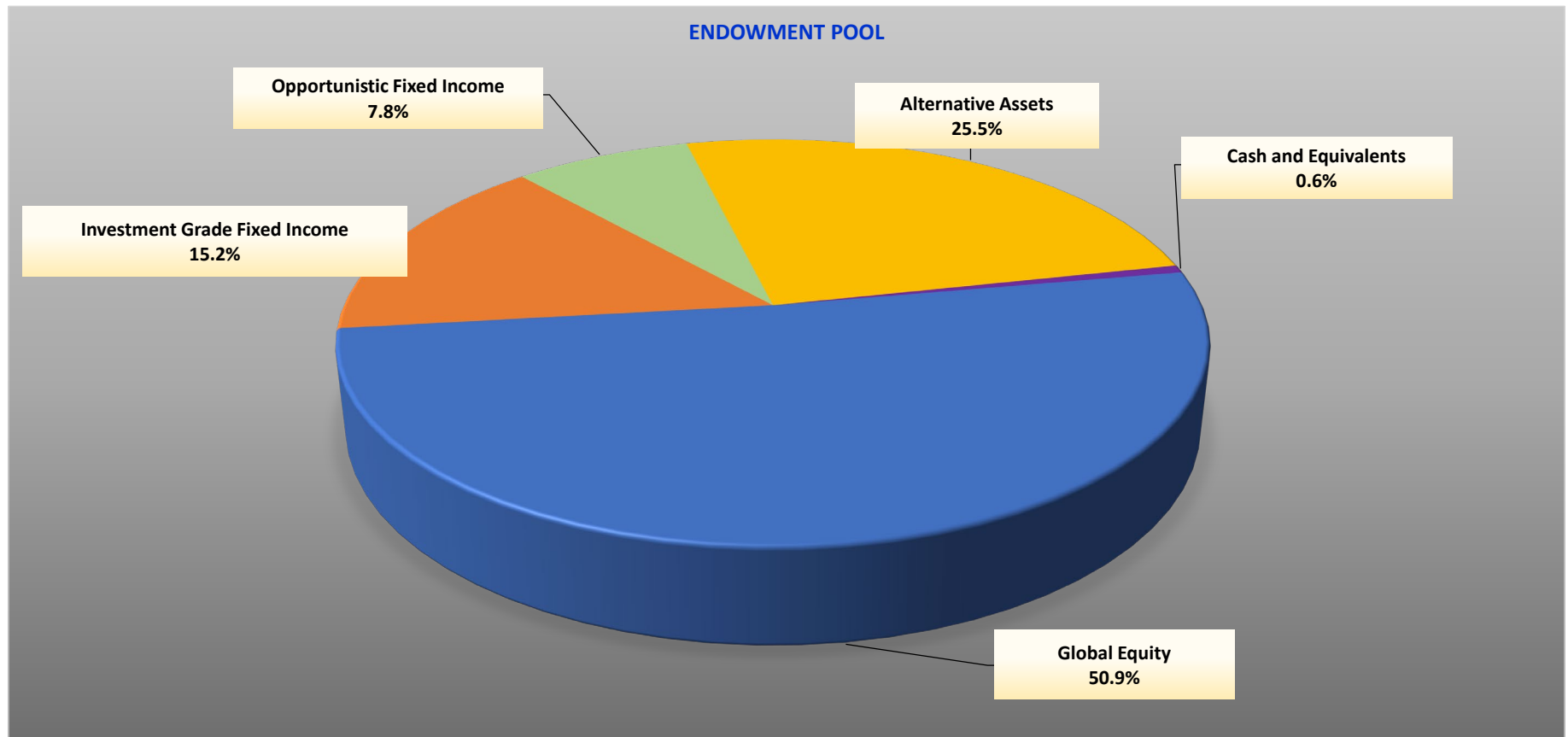
Securities Invested for Income
80.4%

Accrued Interest Income
0.7%

Operational Funds
18.9%

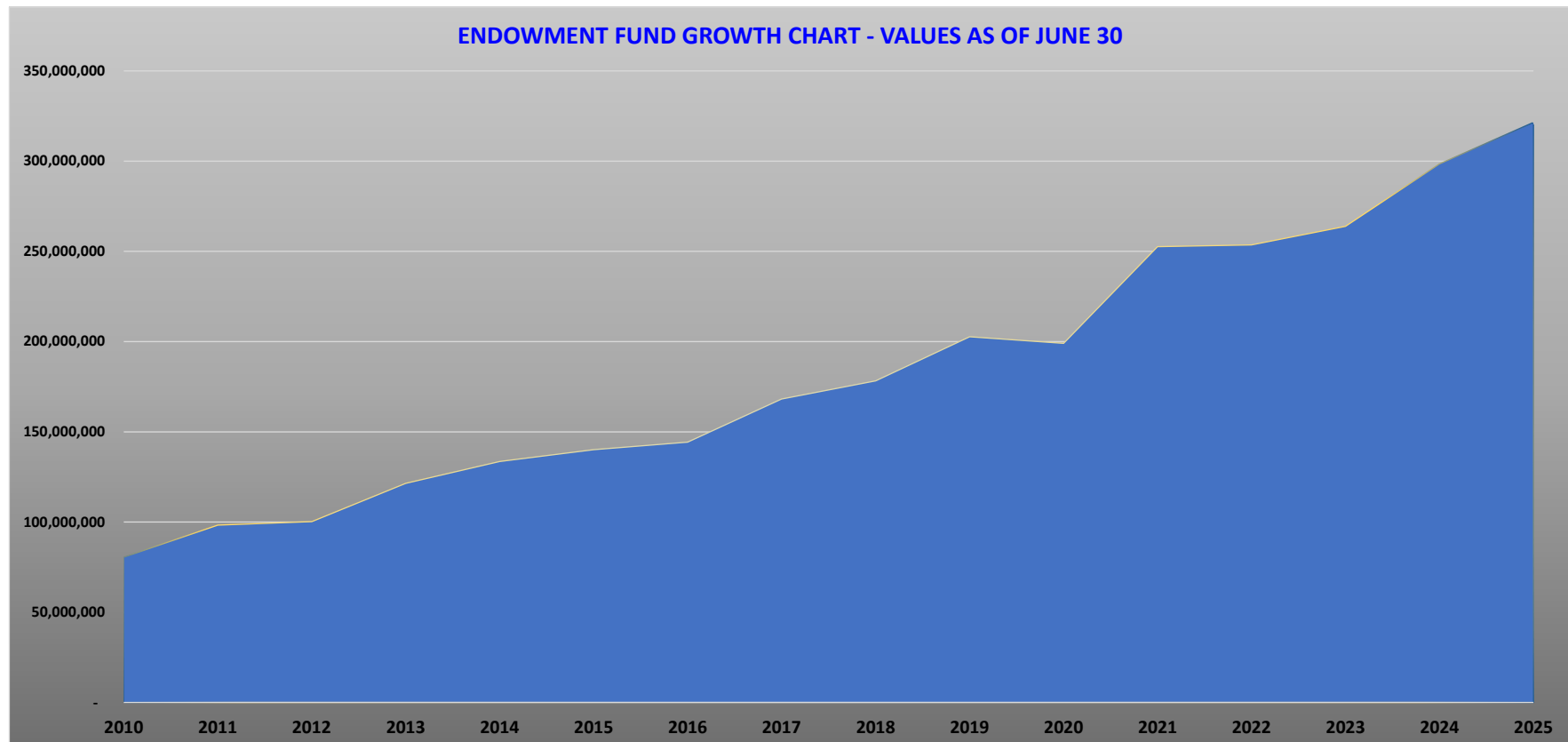


Investment Pool Holding Totals	Change From Prior Year			Change From Prior Month		
	May 2025 Fair Value	May 2026 Fair Value	Net Change from Prior Year	April 2026 Fair Value	May 2026 Fair Value	Net Change from Prior Month
Global Equity	\$158,858,741	\$195,980,650		\$190,815,242	\$195,980,650	
Investment Grade Fixed Income	48,811,619	58,510,040		56,893,194	58,510,040	
Opportunistic Fixed Income	29,239,966	29,990,416		30,057,010	29,990,416	
Alternative Assets	86,789,842	97,869,375		97,152,467	97,869,375	
Cash and Equivalents	2,506,502	2,309,207		1,741,761	2,309,207	
Total	\$326,206,670	\$384,659,688	\$58,453,018	\$376,659,674	\$384,659,688	\$8,000,014



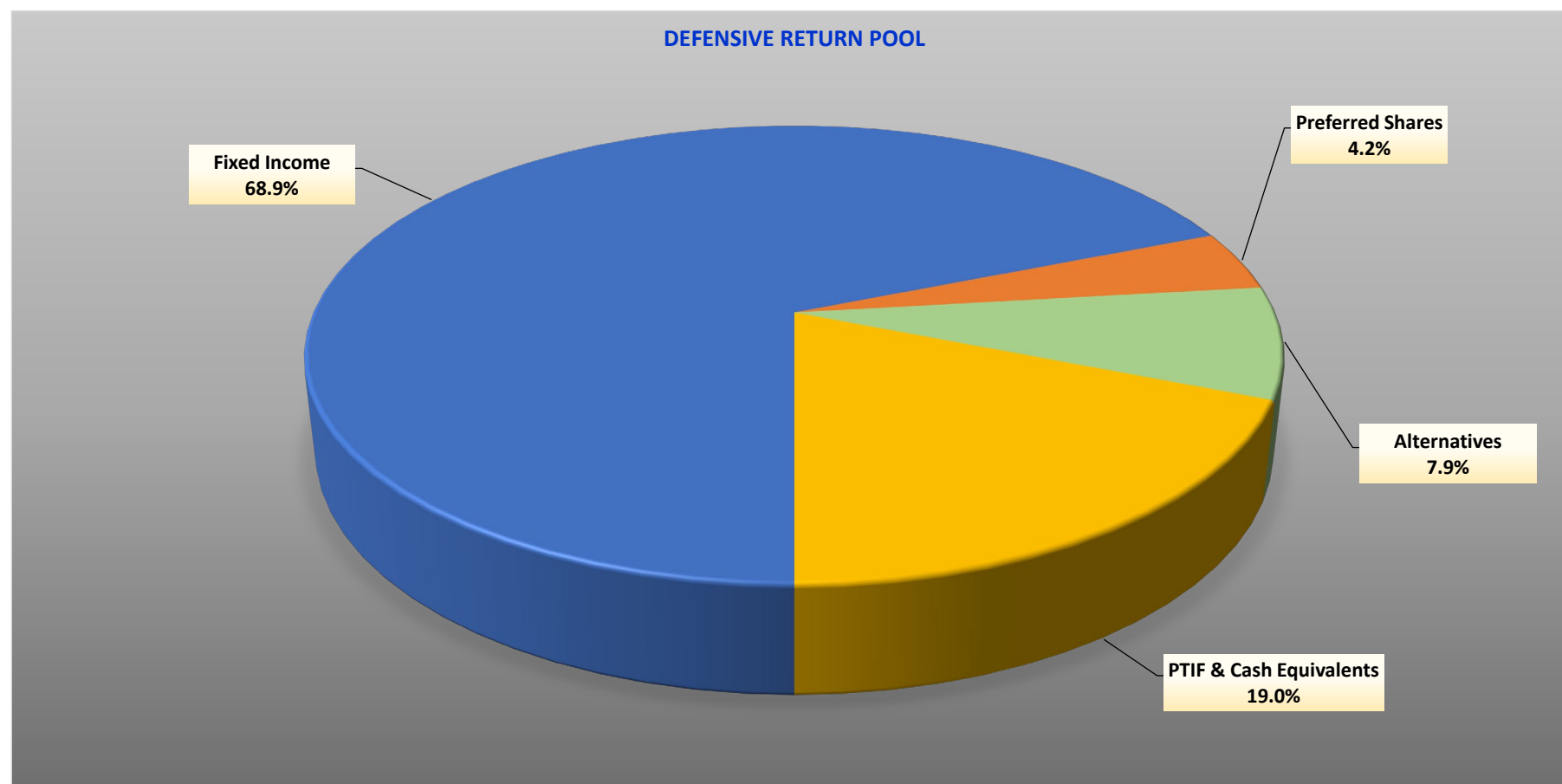


Investment Pool Holding Totals	Asset Allocation		Performance as of May 31, 2026			
	Current Allocation	Target	1 Year %	3 Years %	5 Years %	10 Years %
Global Equity	50.9%	48.0%				
Investment Grade Fixed Income	15.2%	11.5%				
Opportunistic Fixed Income	7.8%	7.5%				
Alternative Assets	25.5%	33.0%				
Cash and Equivalents	0.6%	0.0%				
Total Fund Aggregate	100%	100%	15.2%	11.6%	7.4%	8.6%
Benchmark			19.8%	14.1%	8.4%	9.3%





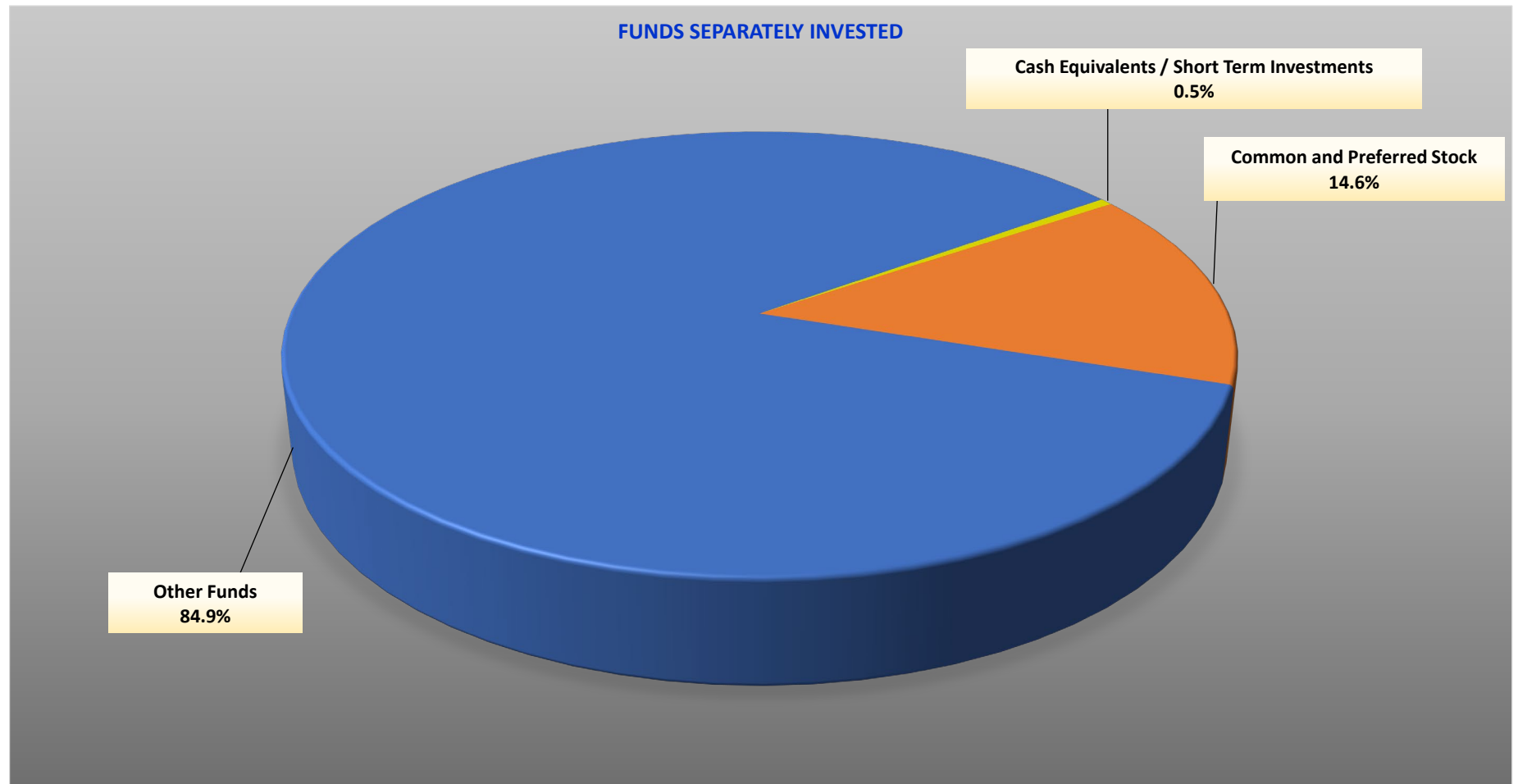
Investment Pool Holding Totals		April 2026 Fair Value	May 2026 Fair Value	Net Change in Fair Value
Fixed Income	(Includes \$72.5 M invested in CMIP)	\$181,883,935	\$179,875,182	
Preferred Shares		11,234,194	11,037,312	
Alternatives		20,365,424	20,584,378	
PTIF & Cash Equivalents		48,994,210	49,468,010	
Total		\$262,477,763	\$260,964,882	(\$1,512,881)





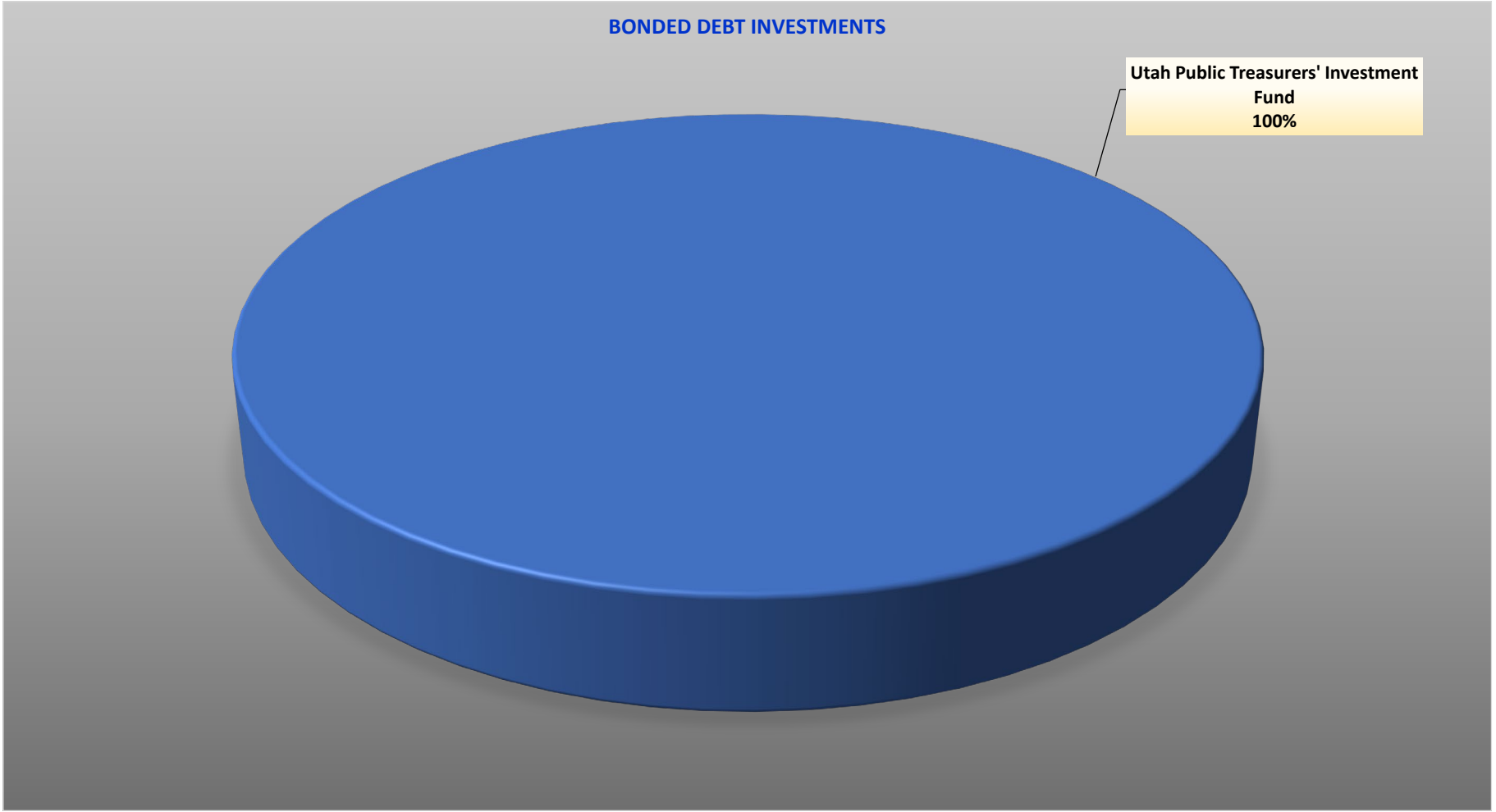
Funds Separately Invested*	May 2026 Cost Basis	May 2026 Fair Value	Change in Unrealized (G/L)
Cash Equivalents / Short Term Investments	\$282,211	\$282,211	
Common and Preferred Stock	7,116,807	8,155,135	
Other Funds	10,703,452	47,578,474	
Total	\$18,102,470	\$56,015,820	\$37,913,350

* Funds Separately Invested primarily consists of donor restricted individual securities donated to the University and managed by outside investment managers.





Bonded Debt Investments		April 2026 Fair Value	May 2026 Fair Value	Net Change in Fair Value
Utah Public Treasurers' Investment Fund	(Bond Proceeds during Construction and Debt Service Reserves)	\$14,619,277	\$18,059,661	
Total		\$14,619,277	\$18,059,661	\$3,440,384





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David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: President Brad Mortensen
DATE: August 7, 2026
RE: USU ASPIRE Foundation Board Member Updates

FOR INFORMATION PURPOSES ONLY. NO ACTION REQUIRED.

Executive Summary:

The Utah State University ASPIRE Foundation is entering a new phase of organizational development as it continues its planned transition toward operating as an independent nonprofit entity while maintaining a close relationship with Utah State University. To support this transition and strengthen their governance structure, several changes to the ASPIRE Foundation Board of Directors are being proposed. These changes are intended to align board leadership with the organization's evolving needs, establish appropriate separation between board oversight and executive management, and position the Foundation for long-term success as it expands its operations and impact.

The proposed actions include:

- the removal of John O'Neil from the Board following his departure from Utah State University
- the removal of Regan Zane as a board member and chair while he continues to serve as ASPIRE Foundation CEO
- the appointment of Oliver Gross as the new Board Chair. Oliver Gross brings extensive industry leadership experience and has strong support from the current ASPIRE Foundation Board.

These governance changes are being presented pursuant to Article III, Section 3.2(c) and (d) of the ASPIRE Foundation Bylaws, which require Executive Committee concurrence (which was requested and received by President Mortensen) and received for board membership and leadership modifications. The changes were proposed to become effective July 1, 2026, coinciding with the start of the Foundation's new fiscal year.





*Tessa White, Chair | Gina Gagon, Vice Chair
Max Alder | Ryan Dent | Brett Hugie
David H. Huntsman | Luke Johnson | Kacie Malouf
David A. Petersen | Jacey Skinner | Clark Whitworth
Janalyn Brown, Secretary*

MEMORANDUM

TO: Utah State University Board of Trustees
FROM: Utah State University
DATE: August 7, 2026
RE: Annual Trustee Trainings

FOR INFORMATION PURPOSES ONLY.

Trustees play an important role in supporting the mission and long-term success of the organization. As stewards of the organization, they are responsible for providing oversight, safeguarding resources, and ensuring adherence to applicable legal, ethical, and organizational requirements. The required trainings provide important information about current policies, procedures, and other key topics that help trustees remain informed and effective in their service. Completing these trainings helps ensure all trustees have a shared understanding of their responsibilities, governance expectations, and the resources needed to support informed decision-making.

The following trainings must be completed by trustees in Learn Blue by August 31:

- Title IX Training
- GRAMA Training
- Conflict of Interest Training
- UPR Disclosure

Timely completion of these trainings demonstrates a commitment to effective stewardship and helps the board fulfill its responsibilities with confidence and accountability. All trustees are encouraged to complete the required courses as soon as possible to support the board's ongoing success and effectiveness.

