

## University of Idaho

## 2023 – 2024 University Faculty Meeting Agenda

Meeting #3

Monday, April 29, 2024, at 3:00pm (PT) / 4:00pm (MT)  
Zoom only

President Scott Green Presiding

- I. Call to Order – President Green
- II. In Memoriam – President Green – **Attach. #1**
- III. Meeting Logistics – Faculty Secretary Francesca Sammarruca
- IV. Quorum – Faculty Secretary Francesca Sammarruca
- V. Approval of Minutes (vote) – President Green
  - Minutes of the 2023-2024 University Faculty Meeting #2 (December 6, 2023) – **Attach. #2**
- VI. Special Orders–Faculty Senate Jean-Marc Gauthier
  - Consent Agenda (vote)
    - University Committee Appointments for AY 2024-25 – **Attach. #3**
    - AY 2025-26 Sabbatical Approvals – **Attach. #4**
  - Proposed Changes/Additions to Faculty-Staff Handbook (vote)
    - FSH 3250 Flextime/Flexplace – **Attach. #5**
    - FSH 1640.64 Officer Education Committee – **Attach. #6**
    - FSH 1640.74 Sabbatical Leave Evaluation Committee – **Attach. #7**
    - FSH 1640.08 Admissions Committee – **Attach. #8**
    - FSH 2700 Student Evaluation of Teaching – **Attach. #9**
    - FSH 3500 Promotion and Tenure – **Attach. #10**
    - FSH 1640.58 Ubuntu – **Attach. #11**
    - FSH 3440 Compensation of Classified Employees – **Attach. #12**
    - FSH 3420 Faculty Salaries and FSH 4620 Academic Calendars – **Attach. #13 & #14**
    - FSH 3120 Faculty Obligations During Period of Appointment – **Attach. #15**
    - FSH 4120 Catalog Change Procedures and FSH 1640.93 University Committee for Academic Certificates in Sustainability – **Attach. #16 & #17**
    - FSH 5800 Malign Foreign Talent Recruitment Programs – **Attach. #18**
    - FSH 3490 General Salary Information – **Attach. #19**
    - FSH 1640.36 Dismissal Hearing Committee – **Attach. #20**
    - FSH 3480 Compensation for Service in Addition to Regular Duties – **Attach. #21**
  - Proposed Noncurricular Changes to the University Catalog
    - Admission Criteria – Contingent to the approval of the Faculty Senate on April 23, 2024 – **Attach. #22**

- Administrative Procedures Manual (Informational Item – no vote)
  - APM 30.18 Change Management – **Attach. #23**
  - APM 95.24 Vandal Alert Notification System – **Attach. #24**
  - APM 45.03 Definitions for Grants, Contracts and Gifts – **Attach. #25**
  - APM 45.04 Notice of Sponsored Projects and Establishment of Budgets – **Attach. #26**
  - APM 45.06 Allowable and Unallowable Sponsored Project Expenditures – **Attach. #27**
  - APM 45.07 Cost Transfers on Sponsored Projects – **Attach. #28**
  - APM 45.09 Effort Reporting and Personnel Activity Reports – **Attach. #29**
  - APM 45.10 Facilities and Administrative (Indirect) Rate – **Attach. #30**
  - APM 45.12 Sponsored Project Closeout and Recordkeeping Responsibilities – **Attach. #31**
  - APM 45.15 Subawards and Subcontracts – **Attach. #32**
  - APM 95.21 University Closures – **Attach. #33**
  - APM 50.51 Request for Job Reclassification – **Attach. #34**
  - APM 45.16 Sponsored Project Payment Management – **Attach. #35**
  - APM 45.17 Fixed-Price Sponsored Projects – **Attach. #36**
  - APM 45.08 Cost Sharing (“Match”) on Sponsored Projects – **Attach. #37**
  - APM 50.35 Compensation Guidelines for Exempt Positions (Deletion) – **Attach. #38**
  - APM 45.35 University of Idaho Unmanned Aircraft Systems (“UAS”) – **Attach. #39**
  - APM 20.60 Unrelated Business Income Tax – **Attach. #40**
  - APM 35.66 Laboratory Decommissioning – **Attach. #41**
  - APM 50.14 Name, Social Security Number and Address Changes – **Attach. #42**
  - APM 50.08 Evaluations for Classified and Exempt Staff – **Attach. #43**
  - APM 50.16 Criminal Background Check – **Attach. #44**

VII. Announcements and Remarks – President Green

VIII. Adjournments – President Green

# IN MEMORIAM

**Karen Guilfoyle**

Professor Emerita  
Curriculum and Instruction  
November 2023

**Dale Everson**

Professor Emeritus  
Statistics  
December 2023

**Alton Ward**

Professor Emeritus  
Animal, Veterinary and Food Sciences  
January 2024

**Fred Watts**

Professor and Department Chair Emeritus  
Civil and Environmental Engineering  
January 2024

**Doris Williams**

Professor Emeritus  
Family and Consumer Sciences  
February 2024

**Richard Hahn**

Professor and Director Emeritus  
Lionel Hampton School of Music  
April 2024

**Gerald Willett**

Professor Emeritus  
Civil and Environmental Engineering  
March 2024

**James Milligan**

Professor Emeritus  
Civil and Environmental Engineering  
April 2024

**Ruprecht Machleidt**

Distinguished Full Professor Emeritus  
Physics  
December 2023

University of Idaho

2023 – 2024 University Faculty Meeting Minutes – Pending Approval

Meeting #2

Wednesday, December 6, 2023, at 3:00pm (PT) / 4:00pm (MT)  
via Zoom

President Scott Green Presiding

- President Green called the meeting to order at 3:00pm (PT).
- President Green read the names of faculty who passed, as from information received by the Provost's Office since the previous University Faculty Meeting. Faculty omitted will be recognized at the next University Faculty Meeting.
- President Green requested a moment of silence in honor of the colleagues who passed away.
- Meeting Logistics – Faculty Secretary Sammarruca  
Secretary Sammarruca reviewed the criteria for eligible voting faculty (FSH 1520 II.1.) and the meeting protocol.
- Quorum count: Faculty Secretary Sammarruca
  - 98 voting members of the faculty were required for a quorum. 167 eligible voters were counted and thus a quorum was present.
- Approval of minutes – President Green
  - The minutes of the 2023-2024 University Faculty Meeting #1 (September 18, 2023) were approved as distributed.
- Special Orders – Faculty Senate Chair Jean-Marc Gauthier
  - Proposed Changes/Additions to the Faculty Staff Handbook (voting items)
    - FSH 1565 Academic Ranks and Responsibilities  
Changes have been made to **G-1. Lecturer** and **G-2 Visiting Faculty** to align with revised FSH 1520.
    - FSH 1520 II-1 Constitution of the University Faculty  
Article II, Section 1 has been revised to clarify that voting rights arise from faculty rank. Non-faculty in administrative roles do not have voting rights. Also, a conflict with FSH 1565 has been resolved regarding the terms on which visiting faculty and lecturers are granted voting rights.  
Vote on FSH 1565 and 1520: 141/144 yes; 3/144 no. Motion passes.
    - FSH 1620 University-Level Committees  
Comprehensive review. Revised to clarify procedures for university-level committees and to highlight that all faculty who have voting privileges, and all board-appointed staff are welcome to serve on committees.



- FSH 1640 Committee Directory  
Committee directory sections renamed for consistency with FSH 1620, and to clarify which committees are within the purview of Faculty Senate. Title of FSH 1640.69 updated to University Promotion and Tenure Committee.  
Vote on FSH 1620 and 1640: 156/157 yes; 1/157 no. Motion passes.
- FSH 1565 Academic Ranks and Responsibilities  
Section D-8 University Distinguished Professor was revised to make Extension faculty eligible for the rank of Distinguished Professor.  
Votes: 151/166 yes; 15/166 no. Motion passes.
- FSH 3320 Annual Performance Evaluations and Salary Determination of Faculty Members and Performance Evaluation of Academic Administrators, A-1.d Evaluation of Faculty by Supervisors.  
A-1.d was revised to clarify that chairs may confer with deans during the evaluation process. This reflects common practices.  
Votes: 156/164 yes; 8/164 no. Motion passes.
- FSH 1565 C-2 Scholarship and Creative Activities  
C-2 was revised to clarify how advising responsibilities can be credited for evaluative purposes.  
Votes: 138/144 yes; 6/144 no. Motion passes.
- FSH 2300 Student Code of Conduct & FSH 2400 Disciplinary Process for Alleged Violations of Student Code of Conduct  
FSH 2300 Student Code of Conduct and FSH 2400 University Disciplinary Process for Alleged Violations of Student Code of Conduct have been combined into one policy, FSH 2300 Student Code of Conduct and Resolution Process. Main changes: language more accessible and understandable for students; Removed processes related to Title IX sexual harassment to align with the recently revised FSH 6100; more clarity in the language around academic dishonesty resolution; Added language aligning with case law to follow best practices in student conduct policies; Added a section on free speech. This revision is accompanied by the proposed deletion of FSH 2400.  
Votes (on FSH 2300 and deletion of FSH 2400): 155/158 yes; 3/158 no. Motion passes.
- FSH 4620 Academic Calendar  
This revision delays all dates for Fall 2025, Spring 2026, and Summer 2026 by one week. The current dates for Academic Year 2025-26 align with WSU for Spring commencement on May 9, 2026. This will be a major challenge for the Moscow and Pullman communities and our families seeking housing and dining. UI's calendar currently "flips" to a later start in AY 26-27. With this revision, the change will take place during AY 25-26 to avoid concurrent spring commencements while still following the normal pattern of UI semesters. In addition, delaying all AY 25-26 dates avoids the hardship of earlier starts for many UI students who are involved in agricultural harvest or firefighting. Also, the irregular 14-week summer (normally 13 weeks) will shift from Summer 2026 to Summer 2025.  
Votes: 148/163 yes; 15/163 no. Motion passes.
- Informational items: Faculty Senate Vice Chair Kristin Haltinner
  - University of Phoenix Survey Results: A Preview

At the last UFM, faculty requested a survey to gauge employee support and opinions on the University of Phoenix affiliation. Faculty Senate formed a task force charged with developing such survey. The survey was sent to all employees of the university. Results came out this week, and, therefore, a thorough analysis has not yet been done. A complete report will be shared with everyone through the senators early in the spring semester.

- Spread Pay Task Force Recommendations and Challenges

Brief history: Last year, the Faculty Senate convened a task force charged with investigating the possibility of offering “spread pay” as a benefit for academic faculty currently on nine-month appointments. A survey was conducted to verify that faculty were interested. 570 faculty were on academic contracts, and 122 faculty were on the “legacy spread pay” system, currently in place. 63% of the survey respondents indicated that they would immediately switch to spread pay, given the option. Kristin described the complexity of the implementation. With our current spread pay schedule, we pay people in advance for their work during the latter weeks of the summer, and part of their pay is deferred to pay them in May and June. A schedule where employees are paid in advance of their work is inconsistent with state law. Thus, the legacy spread pay system needs to be discontinued regardless. A possible option is an updated deferred pay schedule, where a portion of faculty's paychecks are held and then paid out over the summer after their contract period. The 122 faculty currently on the old pay schedule will have to move to either a new deferred pay system or standard pay, where faculty receive paychecks over nine months. Either way, there would be three pay periods, or six weeks, in July and August when these faculty would not receive a paycheck. Payroll has offered to set up an option for faculty on the legacy spread pay schedule to have a portion of their salaries withheld during the spring semester and paid out in July and August of 2024. The task force recommended to the Senate that we begin offering deferred pay as a benefit starting academic year 2024-25. The Senate voted in support of this recommendation, but it's important to keep in mind that it's only a recommendation to bring to President Green for his consideration. Faculty Senate spent many hours of emotional discussions on this difficult choice. On the one hand, faculty currently on spread pay will be financially impacted by the move to defer pay; on the other, many of the faculty on standard pay wish to move to deferred pay. For some families, a six-week pause in pay can be devastating. But again, it's strictly a recommendation for the president to consider. We will continue to work on a solution.

Discussion:

Some faculty on the legacy spread pay payroll system expressed concern about having an unexpected six week break in pay as the payroll system reset/the deferred pay system was implemented.

Some faculty on the standard payroll schedule described the anxiety caused by missing pay periods every summer. Also, embedded in this three-month gap is the idea that faculty don't do any work in the summer, which is not true. They offered their expertise to help colleagues with accounting and financing matters.

More faculty on standard pay shared the struggle of saving several thousands of dollars over nine months to make sure their mortgage is paid.

Vice Chair Haltinner emphasized that Faculty Senate listened to all the voices of the constituents. They addressed spread pay again yesterday and went back to the same recommendation as the week before. Senators did not take this lightly. As this conversation continues, feedback is welcome and encouraged.

This concluded the Special Orders part of the meeting. APM items are informational only. Anyone who has questions or comments on those items should contact Faculty Senate Leadership, who will see that those questions are properly directed.

Back to President Green for announcements and remarks.

- President's Remarks and Announcements:

We have a lot to celebrate as a university and we appreciate the central role that you, our faculty, play in our success. I'll provide a few highlights and then open it up for questions.

Enrollment:

The last time we met, we had speculative enrollment numbers, but we can now confirm that we welcomed our second-largest freshman class in school history this fall – only behind last year's record. Overall, our enrollment is up 3.2%. At a time when many universities across the country are struggling, our steady growth is excellent news.

We also improved our retention rate, which is another key to strengthening our overall enrollment. Our freshman retention rate increased 1.4% over the prior year.

Research:

The U of I's research portfolio continues to expand and deepen. Our faculty and support units consistently punch above their weight, winning grants, publishing papers and presenting research around the world. In the fiscal year 2022 we set a record for research expenditures – \$115.6 million. This total does not include the record \$55 million grant for climate-smart agriculture in Idaho that we won last fall. We will begin benefiting from that grant this coming year.

Recently, the *Chronicle of Education* evaluated research categories under a new rubric that is being rolled out. They determined that several universities would fall out of the highest indicator of research activity, R1, in the next release in late 2025/early 2026. They identified the U of I as one of the universities that will replace them. We are on the cusp of reaching the strategic goal of being recognized among the greatest research institutions in the nation.

We're also finding new ways to highlight our research. In November we had a standing-room only crowd for our POP Talks, which featured eight faculty members giving very short presentations about their research. We've made those presentations into YouTube videos, and we'll be sharing them far and wide.

University of Phoenix:

A quick update to the timeline. We've approval from HLC – Phoenix's accreditors, and we're waiting to hear from NWCCU – our accreditors. We're still on track to go to the market in the first quarter of next year. We appreciate the strong support of our working groups and our employees that are contributing to the success of the affiliation going forward.

Events

It's an exciting time to be a Vandal! Our football team is one of the last eight teams standing in the FCS playoffs. We host Albany in our quarter final game Saturday at 7 p.m. We hope you can make it to the P1FCU Kibbie Dome on Saturday to cheer on our student-athletes.

Tomorrow night is our annual Holiday Concert at the ICCU Arena. This is always a great event for our community. The show begins at 7:30 p.m.

And of course, Saturday is our winter commencement at the ICCU Arena with two ceremonies, at 9:30 a.m. and 2 p.m. We hope you can be there to celebrate our graduates.

We appreciate your care for our students and your commitment to the University of Idaho. I hope you're able to spend time with your loved ones this holiday season. Go Vandals!

I'm happy to answer any questions you may have at this time. I think it would only be right to call on Kenton Bird for our first question. Dr. Bird is a U of I alum and he started as a part-time lecturer in the School of Journalism and Mass Media at the U of I in 1979. He joined the faculty full time in 1999 and earned tenure as an associate professor in 2005. He's taught and mentored hundreds of students in his career – many of whom have gone on to successful careers in media. Kenton served as the director of the School of Journalism and Mass Media from 2003 to 2015 and the director of General Education from 2015 to 2017. He's been an active, engaged faculty member and this is Kenton's final Faculty Meeting before he retires. We could always rely on him to kick off our Q&A with a great question. Congratulations, Dr. Bird!

Discussion:

Kenton Bird thanked the president for the kind introduction. He suggested returning to in-person meetings of the university faculty. From his long experience with shared governance, he has seen in-person meetings contributing to the collegiality that makes the University of Idaho so distinctive and have made his time here so rewarding.

**Faculty:** We are six weeks away from the opening of the Idaho Legislature 2024 session. How do you, as president, and we, collectively as faculty, demonstrate the value of higher education to an increasingly skeptical audience? What's your two-minute "elevator speech" for the State House about why the University of Idaho and our sister institutions deserve the continued support and investment of the people of Idaho?

**President Green:** Some people just refuse to hear the truth. They are politically motivated and don't care about higher education, but we prepare for that as well. Abraham Lincoln, a republican, signed into law the Morrill Act, which started one of the greatest educational systems in the world. The Morrill Act focused on mechanical arts, military science, engineering and agriculture (not at the exclusion of liberal arts). Signing that into law created land-grant institutions and research investments in the country. We became world leaders in agriculture, military science and engineering. Higher education and research in those areas improved our standard of living, our value as citizens and our ability to protect our country. This would be my two-minute speech to our elected officials.

**Faculty:** Today, we have seen the value of a large survey about the University of Phoenix. Would you be willing to consider a survey that reaches out to more people than just those in Faculty Senate regarding the spread pay issues that were raised earlier? We have 200 people online today. Senators are great ambassadors for us, but they are only 22 people. So, I'm wondering if you'd be willing to collect broader input, for instance from an informal straw poll, so you have the best information at your fingertips to make informed choices.

**President Green:** I believe that we need to understand all the issues and how we could mitigate them, and then put together a plan to take to our employees. Surveys are not very helpful if people's answers are based on fear and insufficient knowledge of the matter. I think that right

now we need to have a plan. What we have is a recommendation from the Senate that we will consider carefully. I realize the timeline is critical and we'll do our best. I'm not against surveys. The Phoenix survey is a good example of surveys conducted at the appropriate time. Had we done it in May, when rumors were spread and many of the facts were not yet out, we might have had a different result. People have asked great questions and we've done our best to answer them.

**Faculty:** Has there been any conversation about adding a parking deck or more parking spaces on campus so that faculty can access their buildings more easily?

**President Green:** We are looking at a master plan mostly about residential housing, and parking is part of that. I don't know whether there will ever be enough parking, but we brought in subject matter experts. We need to have sufficient parking space for students, and we'll act on that as best as we can.

There was an inquiry in the chat about onboarding, addressed by OIT Vice President Dan Ewart. There is an onboarding committee. They developed some proposed new processes to help along with onboarding as well as identified some mechanisms both from a process perspective and a technology perspective, with the primary goal being to get all the information we need to make an onboarding process smooth from the very beginning. If anyone is interested in seeing what the committee has come up with, please contact Dan Ewart. They have made progress and hope to kick off the project in early spring.

**Faculty:** To follow up on our progress towards R1 status, I always see research as part of a catalyst that ties just as closely to our teaching and our outreach. Once we reach R1 status, what do you see as the next goals and steps to enhancing and improving research, scholarship and education?

**President Green:** We're trying to build a *virtuous circle*. When you win a grant, you have money to hire post docs and bring in more graduate researchers, and (for some grants) potentially add some faculty and experts as part of the award. I personally can't do much to take us to the next level, but what I can do is create the environment for faculty to do so. We'll continue to focus on those areas where we have a competitive advantage, and there are many. The research we do here is amazing and we'll continue to grow it. There are faculty on this call that focus on teaching and are great teachers, and we need that. But it's important to get your students out into the field, lab, internship, writing program, or conference, where they learn by doing.

**Follow-up from faculty:** From some of the discussions I had with the State Board of Education, it's challenging to figure out what captures the interest and the upset of legislative members. We do have some champions and we have been working with them as best we can to communicate the value of higher education. I know how challenging it is to have that message received and not rejected by unwilling ears.

**Faculty:** Several years ago, a study was done on how much money the University of Idaho pumps in to the Idaho economy for every dollar that the Legislature invests. It may still be somewhere in the files and could be updated. That might be something helpful with JFAC.

**President Green:** We're still doing it and we recently updated it. There's over a billion dollars of economic impact. When universities shrink and enrollment goes down, it has a profound economic impact on the state. I was just at the ribbon cutting for our new airport talking about what that flight to Boise meant for us and our enrollment. Our shops and restaurants are full, and our dorms are full to the point that we must rent hotel rooms to house all our students.

All this happened because of the university and is great for the community because it creates jobs. In addition, the university provides a tremendous choice of intellectually stimulating opportunities for the community. We have some problems in our own backyard, and we all need help. We also need to engage with legislature members from other parts of the state.

**Faculty:** Has there been any follow-up from the discussions about critical race theory?

**President Green:** It's been quiet, but it may change around January, when the legislature comes back into session. We've been preparing for it and monitoring with the IFF has been posting.

I appreciate you all and the great turnout today. This kind of participation shows that we're all engaged in our university.

- Adjournments  
The agenda being completed, President Green adjourned the meeting at 4:20pm.

Respectfully Submitted

Francesca Sammaruca  
Secretary of the University Faculty

Attach. #3

Committee	Employee Type	Last name	First Name	Last Yr. of Term
Academic Hearing Board	Faculty	Hansen	Keith	2025-26
Academic Hearing Board	Faculty	Nielson	Mark	2025-26
Academic Hearing Board	Faculty/Administrator	Soule	Terry	2024-25
Academic Hearing Board	Faculty	Turpin	Zachary	2026-27
Academic Hearing Board	Faculty	Liang	Xi	2025-26
Academic Petitions Committee	Faculty/Associate Dean	Harley	Grant	2024-25
Academic Petitions Committee	Faculty/Associate Dean	Craig	Traci	2024-25
Academic Petitions Committee	Faculty	Baggs	Belle	2026-27
Academic Petitions Committee	Registrar or Designee	Brown	Lindsey	N/A
Academic Petitions Committee	Faculty/CTC	Kitzrow	Martha	2025-26
Academic Petitions Committee	Faculty	Abdel-Rahim	Ahmed	2025-26
Academic Petitions Committee	Faculty/Alternate/Associate Dean			2026-27
Academic Petitions Committee	Faculty/Alternate/Associate Dean			2026-27
Academic Petitions Committee	Faculty/Alternate			2026-27
Academic Petitions Committee	Faculty/Alternate	Attebury	Ramirose	2024-25
Academic Petitions Committee	Faculty/Alternate/CTC			2026-27
Administrative Hearing Board	Faculty	Thorne	Deborah	2026-27
Administrative Hearing Board	Registrar or Designee	Hubbard	Dwaine	N/A
Administrative Hearing Board	Student Accounts Manager or Designee	Cornwall	Leila	N/A
Administrative Hearing Board	Faculty	Bernards	Matthew	2024-25
Administrative Hearing Board	Staff	Severson	Jess	2026-27
Administrative Hearing Board	Student			2024-25
Administrative Hearing Board	Faculty/Law	Adams	Mark	2024-25
Administrative Hearing Board	Faculty	Gordon	Stefan	2025-26
Admissions Committee	Director Counseling & Testing Center or Designee	Lambeth	Gregory	N/A
Admissions Committee	Director of Admissions or Designee	Goodwin	Melissa	N/A
Admissions Committee	Faculty	Scheef	Andrew	2025-26
Admissions Committee	Faculty	Fox-Amato	Matt	2024-25
Admissions Committee	Faculty	Hong	Zonglie	2025-26
Admissions Committee	Faculty	Omodt	Kelly	2025-26

Admissions Committee	Faculty	Manker	Gretchen	2024-25
Admissions Committee	Faculty/American Language & Culture Program (A	Hussein	Ibtesam	2025-26
Admissions Committee	Faculty/Alternate	Haltinner	Kristin	
Admissions Committee	Faculty/Alternate	Gilbert	Laurel	
Admissions Committee	Faculty/Alternate			
Admissions Committee	Faculty/Alternate	Li	Feng	
Admissions Committee	Professional Advisor	Wnek	Zachary	N/A
Admissions Committee	Student Support Services designee	Fausto	Mercedes	N/A
Admissions Committee	Student Support Programs (optional)	Mai	Nhu	N/A
Admissions Committee	Office of Multicultural Affaris	Martinez	Jesse	2024-25
Admissions Committee	Ubuntu Chair or Designee			2024-25
Americans with Disabilities Act Advisee	Center for Disability Access and Resources or De	Voss	Cory	N/A
Americans with Disabilities Act Advisee	Director Counseling & Testing or Designee	Mushlitz	Ally	N/A
Americans with Disabilities Act Advisee	Director of the OCRI or Designee	Wernz	Jackie	N/A
Americans with Disabilities Act Advisee	Staff	Feldman	Amber	2024-25
Americans with Disabilities Act Advisee	Faculty/Library	Stone	Julia	2024-25
Americans with Disabilities Act Advisee	OIT Director or Designee	English	Tom	N/A
Americans with Disabilities Act Advisee	Faculty/Disability experience knowledge	Luvaas	Eric	2025-26
Americans with Disabilities Act Advisee	Student/Graduate			2024-25
Americans with Disabilities Act Advisee	Faculty	Eichner	Katrina	2024-25
Americans with Disabilities Act Advisee	Director of Housing and Residence Life	Kerr	Julie	N/A
Americans with Disabilities Act Advisee	Staff	Bass	Kaity	2024-25
Americans with Disabilities Act Advisee	Public Safety & Security or Designee	Lovell	Bruce	N/A
Americans with Disabilities Act Advisee	Center on Disabilities and Human Development	Kramer	Krista	N/A
Americans with Disabilities Act Advisee	Facilities Director or Designee	Pankopf	Ray	N/A
Americans with Disabilities Act Advisee	Parking & Transportation Services	Schwartz	Nik	N/A
Americans with Disabilities Act Advisee	Executive Director for Human Resources or Desig	Lindquist	Steven	N/A
Americans with Disabilities Act Advisee	General Counsel Representative	Rytter	Kim	N/A
Americans with Disabilities Act Advisee	Student/Undergraduate			2024-25



Institutional Animal Care and Use Cc Members placed by ORED; post roster online

Institutional Biosafety Committee	Members placed by ORED; post roster online	Rowley	Paul	2024-25
Institutional Biosafety Committee	Members placed by ORED; post roster online	McClanahan	Russell	N/A
Institutional Biosafety Committee	Members placed by ORED; post roster online	Russell	Steven	N/A
Institutional Biosafety Committee	Members placed by ORED; post roster online			2026-27
Institutional Biosafety Committee	Members placed by ORED; post roster online			2026-27
Institutional Biosafety Committee	Members placed by ORED; post roster online	Schiele	Nathan	2024-25
Institutional Biosafety Committee	Members placed by ORED; post roster online	Skibiel	Amy	2024-25
Institutional Biosafety Committee	Members placed by ORED; post roster online			2026-27
Institutional Biosafety Committee	Members placed by ORED; post roster online	Boyer	Josephine	2024-25
Institutional Biosafety Committee	Members placed by ORED; post roster online	Harner	Arch	N/A
Institutional Biosafety Committee	Members placed by ORED; post roster online	Shahat	Samir	N/A
Borah Foundation Committee	Faculty	Darragh	Janine	2025-26
Borah Foundation Committee	Associate Director of the Martin Institute	Afatchao	Kodjotse	N/A
Borah Foundation Committee	Faculty	Vierling	Lee	2024-25
Borah Foundation Committee	Faculty	Scarnecchia	Dennis	2025-26
Borah Foundation Committee	Student			2024-25
Borah Foundation Committee	Student			2024-25
Borah Foundation Committee	Faculty	Prorak	Diane	2024-25
Borah Foundation Committee	Student			2024-25
Borah Foundation Committee	Faculty	Krishna	Bal	2025-26
Borah Foundation Committee	Staff	Carrel	Shelby	2025-26
Borah Foundation Committee	Staff	Hull	Emily	2025-26
Borah Foundation Committee	Student	Weber	Ella	2024-25
Borah Foundation Committee	Faculty	Roy	Allison	2025-26
University Budget & Finance Commit	Budget Office Representative	Mahoney	Trina	N/A
University Budget & Finance Commit	Faculty/At-Large	Kersting-Lark	Dulce	2025-26

University Budget & Finance Commit Faculty/CAA	Johnson	Aaron	2026-27
University Budget & Finance Commit Faculty/CALS	Becker	Hydee	2026-27
University Budget & Finance Commit Faculty/CBE	Groza	Mya	2025-26
University Budget & Finance Commit Faculty/CEHHS	Kim	Juhee	2025-26
University Budget & Finance Commit Faculty/CLASS	Lange	Michelle	2025-26
University Budget & Finance Commit Faculty/CNR	Latta	Greg	2025-26
University Budget & Finance Commit Faculty/COS	Ridenhour	Benjamin	2025-26
University Budget & Finance Commit Faculty/ENGR	Li	Feng	2025-26
University Budget & Finance Commit Faculty/LAW	Gerwick Couture	Wendy	2026-27
University Budget & Finance Commit Faculty/Senate Member			2024-25
University Budget & Finance Commit Provost & Executive Vice President	Lawrence	Torrey	N/A
University Budget & Finance Commit Staff/Academic Affairs	Buchert	Charity	2024-25
University Budget & Finance Commit Staff/Advancement	Doering	Zachary	2025-26
University Budget & Finance Commit Staff/Finance & Administration	Richards	Kenwyn	2025-26
University Budget & Finance Commit Staff/ITS	Amos	Teresa	2024-25
University Budget & Finance Commit Staff/ORED	Franklin	Chelsea	2025-26
University Budget & Finance Commit Student/ASUI			2024-25
University Budget & Finance Commit Student/Graduate/GPSA			2024-25
University Budget & Finance Commit Student/Law/SBA			2024-25
University Budget & Finance Commit Vice President for Finance and Administration or	Foisy	Brian	N/A
Campus Planning Advisory Committee Faculty	Pyo	TH	2024-25
Campus Planning Advisory Committee Student			2024-25
Campus Planning Advisory Committee Vice President for Information Technology (CIO)	Ewart	Daniel	N/A
Campus Planning Advisory Committee Vice President for Finance and Administration or	Salisbury	Kim	N/A
Campus Planning Advisory Committee Assistant Vice President for Facilities	Vineyard	Rusty	N/A
Campus Planning Advisory Committee Faculty Senate			2024-25
Campus Planning Advisory Committee Faculty Senate			2024-25
Campus Planning Advisory Committee Faculty	Perret	Robert	2024-25
Campus Planning Advisory Committee Faculty	Fehrenkamp	Bethaney	2025-26
Campus Planning Advisory Committee Coordinator for CDAR or designee	Voss	Cory	N/A
Campus Planning Advisory Committee Staff	Matson	Eric	2024-25

Campus Planning Advisory Committee	Faculty	Kennedy	Brian	2025-26
Classified Position Appeal Board	Classified Staff			
Classified Position Appeal Board	Faculty/Administrator			
Classified Position Appeal Board	Classified Staff			
Classified Position Appeal Board	Classified Staff/Supervisor			
Classified Position Appeal Board	Faculty/Administrator			
Classified Position Appeal Board	Classified Staff/Supervisor			
Classified Position Appeal Board	Director of Employment Services			
Commencement Committee	Faculty	Kenyon	Jylisa	2025-26
Commencement Committee	Registrar	Brown	Lindsey	N/A
Commencement Committee	Faculty	Wilson	Miranda	2025-26
Commencement Committee	Faculty	Park	Young	2025-26
Commencement Committee	Faculty	Barannyk	Lyudmyla	2024-25
Commencement Committee	Faculty	Moritz	Cleave	2026-27
Commencement Committee	Honors Student			
Committee on Committees	Vice Chair/Fac Senate			2024-25
Committee on Committees	Staff Council Elections Chair			2026-27
Committee on Committees	Student/ASUI President or Designee			2024-25
Committee on Committees	Faculty	Seamon	Richard	2026-27
Committee on Committees	Faculty	Chen	Linda	2026-27
Committee on Committees	Faculty	Meeuf	Russell	2024-25
Committee on Committees	Faculty	Campbell	Sarah	2024-25
Committee on Committees	Faculty Secretary	Sammarruca	Francesca	N/A
Committee on Committees	Faculty	Blaine	Anna	2024-25
Committee on Committees	Faculty	Lee	Katherine	2025-26
Dismissal Hearings Committee	Faculty	Powell	Madison	2026-27
Dismissal Hearings Committee	Faculty/Administrator/Alternate	Butterfield	Sean	2026-27
Dismissal Hearings Committee	Faculty	Spear	Rhett	2024-25
Dismissal Hearings Committee	Faculty/Alternate	Johnston	Jason	2026-27
Dismissal Hearings Committee	Faculty/Alternate	Zhao	Meng	2025-26
Dismissal Hearings Committee	Faculty/Administrator/Alternate	Hollingshead	Aleksandra	2024-25

Dismissal Hearings Committee	Faculty/Alternate	Brehm	Matthew	2025-26
Dismissal Hearings Committee	Faculty/Alternate	Hampton	Leah	2025-26
Dismissal Hearings Committee	Faculty/Administrator	Strand	Eva	2025-26
Dismissal Hearings Committee	Faculty/Alternate	Dublin	Merritt	2024-25
Dismissal Hearings Committee	Faculty	Devezer	Berna	2026-27
Dismissal Hearings Committee	Faculty	Albertson	Doug	2024-25
Dismissal Hearings Committee	Faculty/Alternate	Ball	Katherine	2024-25
Dismissal Hearings Committee	Faculty/Alternate	Loiacono	Catherine	2026-27
Instructional Space Committee	Registrar or Designee	Unzicker	Ted	N/A
Instructional Space Committee	Faculty	Prather	Timothy	2024-25
Instructional Space Committee	Facilities			N/A
Instructional Space Committee	Center for Excellence Teaching & Learning Repre:	Habib	Douglas	N/A
Instructional Space Committee	Student/ASUI Representative			2024-25
Instructional Space Committee	Purchasing Representative			N/A
Instructional Space Committee	Registrar Office Representative	Clevy	June	N/A
Instructional Space Committee	Faculty	Locke	Kenneth	2024-25
Instructional Space Committee	Director of General Education	Panttaja	Dean	N/A
Instructional Space Committee	Faculty	Kitchel	Allen	2024-25
Instructional Space Committee	Student/ASUI Representative			2024-25
Instructional Space Committee	Information Technology Representative	Schmidt	Ken	N/A
Instructional Space Committee	Facilities	Vineyard	Rusty	N/A
Faculty and Staff Policy Group	Staff	Keim	Elissa	2026-27
Faculty and Staff Policy Group	Faculty	Perrigue	Anne	2025-26
Faculty and Staff Policy Group	Staff	Amos	Teresa	2025-26
Faculty and Staff Policy Group	Faculty Secretary	Sammarruca	Francesca	N/A
Faculty and Staff Policy Group	Faculty/Senate Member			2024-25
Faculty and Staff Policy Group	Policy Coordinator or Designee	Whitney	Diane	N/A
Faculty and Staff Policy Group	Faculty	Nelson	Sarah	2024-25
Faculty and Staff Policy Group	Staff/Council Member	Jameson	Arlette	2024-25
Faculty Affairs Committee	Faculty	Murphy	Tim	2026-27
Faculty Affairs Committee	Faculty	McGriff	Michael	2026-27

Faculty Affairs Committee	Faculty	Chapman	Erin	2026-27
Faculty Affairs Committee	Faculty	Pennick	Chelsea	2027-28
Faculty Affairs Committee	Vice Provost for Faculty	Kelly-Riley	Diane	N/A
Faculty Affairs Committee	Faculty	Hormel	Leontina	2025-26
Faculty Affairs Committee	Faculty/Department Chair	Holyoke	Laura	2027-28
Faculty Affairs Committee	Faculty	Robertson	Dakota	2025-26
Faculty Affairs Committee	Faculty Secretary	Sammarruca	Francesca	N/A
Faculty Affairs Committee	Faculty	Gunder	Jessica	2024-25
Faculty Affairs Committee	Faculty	Blevins	Kathryn	2024-25
Faculty Appeals Hearing Board	Faculty	Kerr	Ashley	2025-26
Faculty Appeals Hearing Board	Faculty	Wulfhorst	JD	2025-26
Faculty Appeals Hearing Board	Faculty	Skinner	Kate	2025-26
Faculty Appeals Hearing Board	Faculty	Overton	Michael	2024-25
Faculty Appeals Hearing Board	Faculty	Stauffer	Larry	2025-26
Faculty Appeals Hearing Board	Faculty/Alternate	Scofield	Rebecca	2025-26
Faculty Appeals Hearing Board	Faculty/Alternate	Schwarzlaender	Mark	2026-27
Faculty Appeals Hearing Board	Faculty/Alternate	Pimentel	David	2025-26
Faculty Appeals Hearing Board	Faculty/Alternate	Schab	Aaron	2025-26
Faculty Appeals Hearing Board	Faculty/Off Campus/Alternate	Borrelli	R.A.	2024-25
Faculty Appeals Hearing Board	Faculty/Off Campus/Alternate	Qiang	You	2026-27
Faculty Appeals Hearing Board	Faculty/Off Campus/Alternate	Roberson	Dakota	2025-26
Faculty Appeals Hearing Board	Faculty/Department Chair	Goebel	Charles	2026-27
Faculty Appeals Hearing Board	Faculty/Department Chair/Alternate	Scruggs	Philip	2025-26
Faculty Appeals Hearing Board	Faculty/Department Chair/Alternate	Butterfield	Sean	2025-26
Arts Committee	Faculty	Yumna	Kurdi	2026-27
Arts Committee	Moscow Arts Commission Art Director or Designee	Cherry	Megan	N/A
Arts Committee	Faculty	Sielert	Vanessa	2025-26
Arts Committee	Administrator/Designated by the President			N/A
Arts Committee	Administrator/Designated by the President			N/A
Arts Committee	Administrator in the Arts	Corry	Shauna	N/A
Arts Committee	Staff	Huck	Amy	2025-26

Arts Committee	Faculty	Smith	Rochelle	2025-26
Arts Committee	Student/ASUI Fine Arts Committee when possible			2024-25
Arts Committee	Facilities Management	Pankopf	Raymond M.	N/A
Arts Committee	Faculty	Klement	David	2024-25
Arts Committee	Faculty	McCleary	Lauren	2025-26
Arts Committee	Student			2024-25
Arts Committee	UI Foundation or Designee	Linduist	Shawna	N/A
Arts Committee	Library Special Collections	Kersting-Lark	Dulce	N/A
Grievance Committee for Student	Er Student			2024-25
Grievance Committee for Student	Er Staff/Council Member	Noble	Tami	2024-25
Grievance Committee for Student	Er Student			2024-25
Grievance Committee for Student	Er Faculty/Senate Member			2024-25
Grievance Committee for Student	Er Student			2024-25
Honors Program Committee	Director of University Honors Program	Reineke	Sandra	N/A
Honors Program Committee	Faculty	Zajchowski	Chris	2025-26
Honors Program Committee	Faculty	Trujillo-Barrera	Andres	2024-25
Honors Program Committee	Faculty	Aston	D. Eric	2024-25
Honors Program Committee	Faculty	Thompson-Frankli	Samantha	2025-26
Honors Program Committee	Faculty	Frost	Keith	2026-27
Honors Program Committee	Faculty	McDunn	Benjamin	2025-26
Honors Program Committee	Academic Dean (annual appointment)	McMurtry	Jerry	2024-25
Honors Program Committee	Program Coordinator of University Honors Program			N/A
Honors Program Committee	President of Honors Student Advisory Board or Designee			2024-25
Institutional Review Board	Members placed by ORED; post roster online			
Information Technology Committee	Faculty	Gunn	Danielle	2025-26
Information Technology Committee	Vice President for Research or Designee	Ehlert	Blair	N/A
Information Technology Committee	Registrar or Designee	Hubbard	Dwayne	N/A
Information Technology Committee	Vice President for Finance and Administration or	Milleson	Jake	N/A
Information Technology Committee	Vice Provost for Digital Learning or Designee	Udas	Ken	N/A
Information Technology Committee	Vice President for Information Technology or Designee	Amos	Teresa	N/A
Information Technology Committee	Director of CETL or Designee	Quallen	Sean	N/A

Information Technology Committee	Faculty	Barnes	Jason	2025-26
Information Technology Committee	Faculty	Woolley	Darryl	2025-26
Information Technology Committee	Faculty	Zadehgol	Ata	2025-26
Information Technology Committee	Faculty	Shih	Ting-Yen	2024-25
Information Technology Committee	Faculty/Library	Dong	Hanwen	2025-26
Information Technology Committee	Faculty/Off Campus	Vakanski	Alex	2024-25
Information Technology Committee	Student Computing Advisory Committee or Designee			
Intellectual Property Committee	Faculty			
Intellectual Property Committee	Faculty			
Intellectual Property Committee	Faculty/Alternate			
Intellectual Property Committee	Faculty			
Intellectual Property Committee	Faculty			
Intellectual Property Committee	Faculty/Alternate			
Intellectual Property Committee	Director of Tech Transfer or Designee			N/A
Intellectual Property Committee	Faculty/Department Chair			
Ubuntu	Student Affairs Representatives	Ropski	Beth	2024-25
Ubuntu	Director CDAR or Designee	Gash	Katelyn	2026-27
Ubuntu	Director of International Programs or Designee	Kestle	Mimi	2026-27
Ubuntu	Equity, Diversity and Inclusion Appointee	Rodriguez	Denessy	2025-26
Ubuntu	Faculty	Howard	Tasha	2025-26
Ubuntu	Faculty	Cieslik-Miskmen	Caitlin	2026-27
Ubuntu	Faculty	Hollingshead	Aleksandra	2024-25
Ubuntu	Faculty	Ritcher	Jamaica	2025-26
Ubuntu	Human Resources Representative	Terwilliger	Brandi	N/A
Ubuntu	Director of OCRI	Wernz	Jackie	N/A
Ubuntu	Staff	Armitage	Kali	2024-25
Ubuntu	Staff/Council Member	Gutierrez-Aguirre	David	2024-25
Ubuntu	ASUI Director of Diversity Affairs or Designee			2024-25
Ubuntu	Student/Graduate			2024-25
Ubuntu	Student/Undergraduate			2024-25
Library Affairs Committee	Faculty/Library	Seiferle-Valencia	Marco	2024-25

Library Affairs Committee	Faculty/Humanities	Klement	David	2025-26
Library Affairs Committee	Student/Undergraduate			2024-25
Library Affairs Committee	Dean Library Services	Hunter	Ben	N/A
Library Affairs Committee	Faculty/Sciences	Hedman	Matthew	2024-25
Library Affairs Committee	Faculty	Olsen Nelson	Nora	2025-26
Library Affairs Committee	Faculty/CLASS	Grindal	Matt	2024-25
Library Affairs Committee	Student/Graduate			2024-25
Officer Education Committee	Faculty	Awwad-Rafferty	Rula	2025-26
Officer Education Committee	Head of Aerospace Studies (WSU)	Jeffers	Nickolas	N/A
Officer Education Committee	Faculty	Smith	Bill	2026-27
Officer Education Committee	Vice Provost for Academic Affairs or or Designee	Kelly-Riley	Diane	N/A
Officer Education Committee	Head of Naval Science	Lockard	Price	N/A
Officer Education Committee	Faculty	Bauscher	Rich	2024-25
Officer Education Committee	Head of Military Science	Warren	Ross	N/A
Officer Education Committee	Student			2024-25
Officer Education Committee	Student/ROTC			2024-25
Parking Committee	Staff	Smith	Randy	2025-26
Parking Committee	Staff	Bogar	Ashley	2024-25
Parking Committee	Parking Coordinator	Schwartz	Nikolas	N/A
Parking Committee	Staff	Gorham	Claire	2026-27
Parking Committee	Student			2024-25
Parking Committee	Student			2024-25
Parking Committee	Faculty	Ekins	James	2024-25
Parking Committee	Faculty	McBrayer	Markie	2024-25
Parking Committee	Faculty	Ruble	Alex	2024-25
Radiation Safety Committee	Faculty/Technical	Cole	Doug	2024-25
Radiation Safety Committee	Director of EHS and University Safety Officer	Abd El-Fatah	Samir I.	N/A
Radiation Safety Committee	Radiation Safety Officer			N/A
Radiation Safety Committee	Faculty/Technical	Ahmadzadeh	Amin	2024-25
Radiation Safety Committee	Faculty/Technical	Cassel	Elizabeth	2024-25
Radiation Safety Committee	Faculty/Technical, Dean or Dept. Chair	Fairly	Jerry	2024-25



Radiation Safety Committee	Faculty/Technical	Fortunato	Elizabeth	2024-25
Radiation Safety Committee	Faculty/Technical	Hong	Zonglie	2024-25
Radiation Safety Committee	Faculty/Technical	Stoian	Sebastian	2024-25
Radiation Safety Committee	Faculty/Technical	Williams	Tom	2024-25
Radiation Safety Committee	Faculty/Technical	Xiao	Fangming	2024-25
Sabbatical Leave Evaluation Committee	Faculty/Natural Science	Powell	Madison	2025-26
Sabbatical Leave Evaluation Committee	Faculty	Hickman	Dan	2025-26
Sabbatical Leave Evaluation Committee	Faculty	Vella	Chantal	2024-25
Sabbatical Leave Evaluation Committee	Vice Provost of Academic Affairs or Designee	Kelly-Riley	Diane	N/A
Sabbatical Leave Evaluation Committee	Faculty/Humanities	Rodriguez	Javier	2026-27
Sabbatical Leave Evaluation Committee	Faculty/Social Sciences	Smentkowski	Brian	2026-27
Safety and Loss-Control Committee	Asstistant VP of Facilities or Designee	Vineyard	Rusty	N/A
Safety and Loss-Control Committee	Commander, Moscow Police Department	Berrett	Tyson	N/A
Safety and Loss-Control Committee	Director of Environmental Health & Safety	Abd El-Fatah	Samir	N/A
Safety and Loss-Control Committee	Director of Student Health Services or Designee			N/A
Safety and Loss-Control Committee	Director of University Residences or Designee	Ray	Corey	N/A
Safety and Loss-Control Committee	Event Support Services	Sheffler	KC	N/A
Safety and Loss-Control Committee	Faculty/CAA	Lew	Roger	2024-25
Safety and Loss-Control Committee	Faculty/CALS	Lynch	Laurel	2025-26
Safety and Loss-Control Committee	Faculty/CBE	Stone	Robert	2026-27
Safety and Loss-Control Committee	Faculty/CEHHS	Pomerantz	Kirsten	2024-25
Safety and Loss-Control Committee	Faculty/CLASS	Cohen	Rajal	2025-26
Safety and Loss-Control Committee	Faculty/CNR	Cal	Lili	2024-25
Safety and Loss-Control Committee	Faculty/COS	Hernandez Vargas	Esteban Abelar	2025-26
Safety and Loss-Control Committee	Faculty/ENGR	Mirkouei	Amin	2024-25
Safety and Loss-Control Committee	Faculty/LAW	Murphy	Tim	2024-25
Safety and Loss-Control Committee	Faculty/Library	Weymouth	Andrew	2026-27
Safety and Loss-Control Committee	OIT Represetative	Hall	Cass	N/A
Safety and Loss-Control Committee	Occupational Safety Specialist			N/A
Safety and Loss-Control Committee	Research & Economic Development	Cavolo	Bryon	N/A
Safety and Loss-Control Committee	Risk Manager or Designee			N/A

Safety and Loss-Control Committee	Senior Human Resources Executive or Designee	Lindquist	Steven	N/A
Safety and Loss-Control Committee	Staff Council Representative	Barber	Matthew	2024-25
Safety and Loss-Control Committee	Student/Graduate			2024-25
Safety and Loss-Control Committee	Student/Undergraduate			2024-25
Scientific Misconduct Committee	Faculty/Tenured	Prather	Tim	2025-26
Scientific Misconduct Committee	Faculty/Tenured	Kobziar	Leda	2024-25
Scientific Misconduct Committee	Faculty/Tenured	Kassem	Emad	2026-27
Scientific Misconduct Committee	Faculty/Tenured	Waits	Lisette	2024-25
Scientific Misconduct Committee	Faculty/Tenured			2026-27
Scientific Misconduct Committee	Faculty/Tenured	Tohaneanu	Stefan	2024-25
Scientific Misconduct Committee	Faculty/Tenured - Alternate	Boris Tarre	Marta	2025-26
Scientific Misconduct Committee	Faculty/Tenured - Alternate			2024-25
Scientific Misconduct Committee	Faculty/Tenured - Alternate	Borrelli	R.A.	2025-26
University Staff Compensation Comr	Vice President for Finance and Administration or	Salisbury	Kim	N/A
University Staff Compensation Comr	Senior Executive of Human Resources	Terwilliger	Brandi	N/A
University Staff Compensation Comr	Staff/Off-Campus	St. John	Tammy	2026-27
University Staff Compensation Comr	Staff/Off-Campus	Owens	Jason	2024-25
University Staff Compensation Comr	Staff	Taff	Heather	2026-27
University Staff Compensation Comr	Staff/Staff Council	Mattoon	Michele	2024-25
University Staff Compensation Comr	Staff	Anderson	Eric	2024-25
University Staff Compensation Comr	Staff	Brown	Lindsey	2025-26
University Staff Compensation Comr	Staff	Bunney	Cretia	2025-26
University Staff Compensation Comr	Staff	Myers	Whitney	2026-27
University Staff Compensation Comr	Staff	Osborne	Kimberly	2025-26
Student Conduct Board	Faculty	Heimgartner	Candi	2025-26
Student Conduct Board	Staff	Hofmaister	Emma	2026-27
Student Conduct Board	Student/Graduate			2024-25
Student Conduct Board	Faculty	Bailey	Josh	2024-25
Student Conduct Board	Staff	Tomlin	Erin	2025-26
Student Conduct Board	Student			2024-25
Student Conduct Board	Faculty	Udekwu	Klas	2025-26

Student Conduct Board	Faculty	Kim	Juhee	2024-25
Student Conduct Board	Student			2024-25
Student Conduct Board	Staff	Exline	Annie	2024-25
Student Conduct Board	Faculty	Martin	Todd	2025-26
Student Conduct Board	Staff	Cook	Christopher	2025-26
Student Conduct Board	Student			2024-25
Student Conduct Board	Student			2024-25
Student Conduct Board	Faculty	Sweet	Dawn	2026-27
Student Conduct Board	Faculty	Smith	Kasee	2025-26
Student Conduct Board	Staff	Asplund	Stacy	2026-27
Student Conduct Board	Staff	Jameson	Arlette	2024-25
Student Conduct Board	Staff	Goodwin	Jen	2026-27
Student Conduct Board	Student/Law			2024-25
Student Conduct Board	Student			2024-25
Student Financial Aid Committee	Faculty	Billing	Carol	2025-26
Student Financial Aid Committee	Staff Designated by Director of Student Financial Aid	Arevalos	Evelina	N/A
Student Financial Aid Committee	Director of Student Financial Aid	Croyle	Randi	N/A
Student Financial Aid Committee	Faculty	Becker	Hydee	2025-26
Student Financial Aid Committee	Student			2024-25
Student Financial Aid Committee	Faculty	Sarathchandra	Dilshani	2026-27
Student Financial Aid Committee	Faculty	Pula	Kacy	2024-25
Student Financial Aid Committee	Student			2024-25
Student Financial Aid Committee	Student Support Staff Representative	Damron	Cori	N/A
Student Financial Aid Committee	Faculty	Mirkouei	Amin	2024-25
University Teaching Committee	Faculty	Halverson	Rachel	2026-27
University Teaching Committee	Faculty	Strickland	Michael	2025-26
University Teaching Committee	Faculty	Miller	Brant	2025-26
University Teaching Committee	Faculty	Drake	Tom	2024-25
University Teaching Committee	Associate Dean			2026-27
University Teaching Committee	Institutional Effectiveness and Accreditation Representative			N/A
University Teaching Committee	Director of General Education			N/A

University Teaching Committee	Director of CETL or Designee	Smentowski	Brian	N/A
University Teaching Committee	Student/Graduate or Undergraduate			2024-25
University Teaching Committee	Faculty	Edgar	Don	2026-27
University Teaching Committee	Faculty	Launchbaugh	Karen	2026-27
University Advising Committee	Faculty	Swenson	Matthew	2025-26
University Advising Committee	Executive Director of Student Success Initiatives	Lebeau	Jennifer	N/A
University Advising Committee	Academic Advisor	Weso	Keniahkiw (Kay	2024-25
University Advising Committee	Associate Dean	Strand	Eva	2026-27
University Advising Committee	Faculty	Kittell	Ellen	2025-26
University Advising Committee	Faculty	Vella	Chantal	2025-26
University Advising Committee	Faculty	Vos	Jaap	2025-26
University Advising Committee	Faculty	McDunn	Benjamin	2026-27
University Advising Committee	Student/Undergraduate			2024-25
University Advising Committee	Student/Undergraduate			2024-25
University Advising Committee	University Advising Services Director	Bertlin	Shawna	2025-26
University Committee for General Ec	Asst. Director of Institutional Research and Assess. or Designee			N/A
University Committee for General Ec	CLASS Dean or Designee	Quinlan	Sean	N/A
University Committee for General Ec	COS Dean or Designee	Nielsen	Mark	N/A
University Committee for General Ec	Director of Academic Advising or Designee	Bertlin	Shawna	N/A
University Committee for General Ec	Director of General Education	Panttaja	Dean	N/A
University Committee for General Ec	Faculty/CAA	McCleary	Lauren	2025-27
University Committee for General Ec	Faculty/CALS	Glaze	Benton	2025-26
University Committee for General Ec	Faculty/CBE	Stuen	Eric	2024-25
University Committee for General Ec	Faculty/CEHHS	Dixon	Raymond	2024-25
University Committee for General Ec	Faculty/CNR			2026-27
University Committee for General Ec	Faculty/ENGR	Moberly	James	2024-25
University Committee for General Ec	Faculty/Library	Rodrigues	Tyler	2024-25
University Committee for General Ec	Faculty/SBOE GEM - Humanistic & Artistic	Volem	Margot	2025-26
University Committee for General Ec	Faculty/SBOE GEM - Humanistic & Artistic	Slater	Christine	2026-27
University Committee for General Ec	Faculty/SBOE GEM - Mathematical	Boester	Tim	2025-26
University Committee for General Ec	Faculty/SBOE GEM - Mathematical	Welhan	Manuel	2024-25

University Committee for General Ec Faculty/SBOE GEM - Oral Comm.	Carter	Diane	2024-25
University Committee for General Ec Faculty/SBOE GEM - Oral Comm.	Folwell	Annette	2024-25
University Committee for General Ec Faculty/SBOE GEM - Scientific	Heinse	Robert	2024-25
University Committee for General Ec Faculty/SBOE GEM - Scientific	Cross	Jeff	2025-26
University Committee for General Ec Faculty/SBOE GEM - Social & Behavioral	Kolpan	Katharine	2025-26
University Committee for General Ec Faculty/SBOE GEM - Social & Behavioral	Thorsteinson	Todd	2024-25
University Committee for General Ec Faculty/SBOE GEM - Written Comm.	Perry	Emma	2026-27
University Committee for General Ec Faculty/SBOE GEM - Written Comm.	Oswald	Oscar	2024-25
University Committee for General Ec Registrar or Designee	Frost	Rebecca	N/A
University Committee for General Ec Student/Undergraduate			2024-25
University Committee for General Ec Student/Undergraduate			2024-25
University Assessment and Accreditation Associate Director of Assessment and Accreditation			--
University Assessment and Accreditation Office of Equity, Diversity, and Inclusion Representative	Anthony-Stevens	Vanessa	N/A
University Assessment and Accreditation Faculty/CAA	Sonnichsen	Mike	2024-25
University Assessment and Accreditation Faculty/CALS	Hamilton	Melissa	2026-27
University Assessment and Accreditation Faculty/CBE	Sisodiya	Sanjay	2025-26
University Assessment and Accreditation Faculty/CLASS	Johnson	Robin	2025-26
University Assessment and Accreditation Faculty/CNR			2026-27
University Assessment and Accreditation Faculty/COS	Ytreberg	Marty	2025-26
University Assessment and Accreditation Faculty/EHHS	Raney	Taylor	2024-25
University Assessment and Accreditation Faculty/Engineering	Raja	Krishnan	2026-27
University Assessment and Accreditation Faculty/Graduate Studies	Soria	Krista	2026-27
University Assessment and Accreditation Faculty/Law	Wellman	Karen	2026-27
University Assessment and Accreditation Faculty/Library	Kenyon	Jeremy	2026-27
University Assessment and Accreditation Recorder, Office of Assessment and Accreditation			N/A
University Assessment and Accreditation Strategic Enrollment Management Representative	McMullin	Kristen	N/A
University Assessment and Accreditation Student Affairs Representative			N/A
University Assessment and Accreditation Vice Provost of Academic Initiatives or Designee	Gorzelsky	Gwen	N/A
University Curriculum Committee Director of General Education			N/A
University Curriculum Committee Faculty Secretary or Designee	Sammarruca	Francesca	N/A
University Curriculum Committee Faculty/At-Large	Phillips	Derrick	2025-26

University Curriculum Committee	Faculty/CAA	Isenberger	Stacy	2026-27
University Curriculum Committee	Faculty/CALS	Doumit	Stacey	2024-25
University Curriculum Committee	Faculty/CBE			2025-26
University Curriculum Committee	Faculty/CEHHS	Paul	Dave	2024-25
University Curriculum Committee	Faculty/CLASS	James	Erin	2024-25
University Curriculum Committee	Faculty/CNR	Shook	Steven	2024-25
University Curriculum Committee	Faculty/COS	Buzbas	Erkan	2025-26
University Curriculum Committee	Faculty/ENGR			2026-27
University Curriculum Committee	Faculty/LAW	Adams	Mark	2024-25
University Curriculum Committee	Faculty/Library	Lee	Norman	2026-27
University Curriculum Committee	Registrar or Designee	Brown	Lindsey	N/A
University Curriculum Committee	Student/Graduate			2024-25
University Curriculum Committee	Student/Undergraduate/Upper Division			2024-25
University Curriculum Committee	Student/Undergraduate/Upper Division			2024-25
University Curriculum Committee	Vice Provost Academic Initiatives or Designee	Gorzelsky	Gwen	N/A
University Security & Compliance Cc	Executive Director Public Safety & Security	Espey	Lee	N/A
University Security & Compliance Cc	Title IX Coordinator			N/A
University Security & Compliance Cc	Faculty	Callister	David	2025-26
University Security & Compliance Cc	Moscow Police Department Representative	Berrett	Tyson	N/A
University Security & Compliance Cc	General Counsel Representative	Rytter	Kim	N/A
University Security & Compliance Cc	EHS Safety Specialist	Daniels	Kelvin	N/A
University Security & Compliance Cc	Dean of Students	Eckles	Blaine	N/A
University Security & Compliance Cc	Faculty	Kitchel	Allen	2025-26
University Security & Compliance Cc	Student/Undergraduate			2024-25
University Security & Compliance Cc	Faculty/Staff Off-site Representative	de Almeida Teixeira	Gustavo	2024-25
University Security & Compliance Cc	Staff/Staff Council	Stanton	Mark	2024-25
University Security & Compliance Cc	Student/Undergraduate			2024-25
University Security & Compliance Cc	Student/Graduate			2024-25



MEMORANDUM

**TO:** Jean-Marc Gauthier, Chair, Faculty Senate  
Kristin Haltinner, Vice Chair, Faculty Senate

**FROM:** Torrey Lawrence, Provost and Executive Vice President  
Diane Kelly-Riley, Vice Provost for Faculty

Handwritten signatures of Torrey Lawrence and Diane Kelly-Riley in black ink.

**DATE:** April 12, 2024

**SUBJECT:** Items for Faculty Senate

---

Please see the below table with the faculty members who were approved for a sabbatical in the 2025-26 Academic Year.

NAME	COLLEGE	DEPARTMENT	SABBATICAL TERM
Rachel Halverson	College of Letters, Arts and Social Sciences	School of Global Studies	Fall 2025
Casey Johnson	College of Letters, Arts and Social Sciences	Politics & Philosophy	AY 2025-26
Tracey Johnson	College of Natural Resources	Fish & Wildlife Sciences	Spring 2026
Samuel Newton	College of Law	N/A	AY 2025-26
Alexandra Teague	College of Letters, Arts and Social Sciences	English	AY 2025-26
Lisette Waits	College of Natural Resources	Fish & Wildlife Sciences	AY 2025-26



POLICY COVER SHEET

For instructions on policy creation and change, please see
https://www.uidaho.edu/governance/policy

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to ui-policy@uidaho.edu.

Faculty Staff Handbook (FSH)

Policy Number & Title: FSH3250 Flextime/Flexplace (Requesting title change to Flexwork)

Administrative Procedures Manual (APM)

Policy Number & Title:

\*Note: If revision or deletion, request original document from ui-policy@uidaho.edu. All changes must be made using "track changes."

Comprehensive Review was Conducted

Originator: Brandi Terwilliger, Director of Human Resources

Policy Sponsor, if different from Originator: Brian Foisy, VP Finance and Administration

Handwritten signature and date: 11.9.22

Reviewed by General Counsel X Yes \_\_\_ No Name & Date: Kim Rytter, 12/20/22

- 1. Policy/Procedure Statement: Briefly explain the reason for the proposed addition, revision, and/or deletion. Updated throughout to revise procedures and ensure compliance with export control requirements in international flexwork arrangements. A committee met and developed the recommendations with inclusion from Provost Office, VP Foisy, OIT, Export Controls, International Program Office, etc. Faculty Staff Policy Group also reviewed.
2. Fiscal Impact: What fiscal impact, if any, will this addition, revision, or deletion have? None
3. Related Policies/Procedures: Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it. APM70.23
4. Effective Date: This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy. ASAP as this is having an impact on individuals currently.



UI FACULTY-STAFF HANDBOOK  
CHAPTER THREE:  
EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

---

3250

FLEXTIME/FLEXPLACE~~Flexwork~~

LAST REVISION: ~~2022~~January 2023~~09~~

**A. A. PURPOSE.** This policy establishes the conditions under which employees may be allowed a change in work location or schedule. This policy addresses only discretionary flexwork arrangements; procedures for accommodations of disability are addressed in FSH 6420. The purpose of flexitime/flexplaceflexwork is to accommodate the personal needs of employees and/or to enable university departments to provide services for more hours each day. A department may use flexitime and flexplaceflexwork when either it would help an employee better accommodate personal needs and where the arrangement would not adversely affect productivity of the employee's department or the ability of the department to provide service for faculty, staff, and students.

**B. SCOPE.** This policy applies to all University of Idaho employees.

**C. DEFINITIONS.**

**aC-1. Flexwork is a request initiated by the employee for aFlexwork. A change of work location or work schedule from what was assigned that originally assigned and is when the original assignment can be accomplished differently required in order for the employee to perform University business, programs, or purposes.**

**b. Domestic Flexwork is a flexwork request for a change of work location within the United States.**

**beC-2. International Flexwork. is a flexwork request for aA change of work location to a location outside of the United States. Because work located in U.S. territories requires similar review, it is included in the definition of International Flexwork.**

**D. POLICY.** Units may use flexwork to provide services for more hours each day or when it would help an employee better accommodate personal needs, if the arrangement would not adversely affect productivity of the employee's unit or the ability of the unit to provide service for employees, students, and/or the public.

**BCD-1. CRITERIA CONSIDERATIONS FOR IN AUTHORIZING FLEXTIME OR FLEXPLACEFLEXWORK.** Criteria Considerations applied in evaluating requests for flexitime and/or flexplaceflexwork shall include, but are not limited to: 1) the effect on productivity of the employee, 2) the ability of co-workers to accomplish their work, and 3) the effect on productivity of the department/unit; 4) the degree to which the accommodation is necessary in order to allow the employee to retain his or her job; and 5) whether the arrangement is expected to be temporary or ongoing.

**D-2. INTERNATIONAL FLEXWORK.** In some cases, International flexwork includes arrangements may shall be treated as University International Travel as defined by APM 70.23. Employees requesting an International flexplaceflexwork arrangement may not take any University-owned equipment with them travel unless they comply with the requirements in APM 70.23.

**~~E~~D-3. FLEX HOURS.** ~~The flex hours enumerated below apply to employees working in departments which operate on a typical business office schedule. All~~Most university departments units which that provide business or student services are open between the hours of 8:00 a.m. and 5:00 p.m. Monday through Friday, with summer hours between 7:30 a.m. and 4:30 p.m. (Pacific Time for Moscow and surrounding areas and Mountain Time for Boise and surrounding areas). Such departments units are expected to be staffed during these hours, except for the noon hour in small departments units. Hours of operation for other departments units are influenced by the services they provide and the needs of ~~faculty, staff, employees~~, students, and the public.

**~~E~~D-E. PROCEDURES FOR OBTAINING APPROVAL OF FLEXTIME OR FLEXPLACE FLEXWORK.** An employee's ~~flextime-flexwork schedule or flexplace~~ arrangement ~~must be~~ is expected to be individually approved in writing and in advance by the ~~departmental-employee's supervisor and other authorities as identified by guidance maintained on the Human Resources website administrator and approved by the dean or director and/or Vice President/Provost in accordance with procedures of the college or administrative unit university.~~ A flextime ~~f~~Flexwork arrangement ~~schedule must be set at the beginning of each semester and remain in effect until the end of the semester can be requested at any time through the established flexwork process. and Approved flexwork arrangements may be renewed. Approved requests will ordinarily have a duration of up to six months. -In some situations, approval may be granted for up to one year.-~~

**~~E~~E-1.** ~~The departmental-administratorsupervisor and the employee requesting flexwork must determine measures of productivity prior to approval of the flexwork request. The measure of productivity must be approved by the employee's chain of supervision up to Vice President or Provostas identified by guidance maintained on the Human Resources website. The measure of productivity will be incorporated into the flexwork agreement. When work at home is to be incorporated into an approved flextime flexwork arrangement (flexplace), duration (not to exceed six months) of approval for off-site work and measures of productivity will be determined in advance by the departmental administrator and the employee, with the concurrence of the dean or director and/or Vice President/Provost, and incorporated into the flextime/flexplaceflexwork agreement.~~

**~~a~~E-2.** If the flexwork request ~~working at home~~ requires relocation of university equipment, such as a computer and peripheral equipment, the relocated equipment will be inventoried ~~by the unit. Contact and appropriate arrangements made with the~~ Risk Management Office to ~~discuss property coverage and contact~~ ~~the Office of Information Technology regarding computer security. insure it.~~ The ~~departmental-administratorsupervisor~~ is expected to verify return of the equipment when the ~~flexplace-flexwork~~ arrangement ceases.

**~~b~~E-3.** If the flexwork ~~request~~ arrangement contemplates work at an alternate location, the ~~e~~Employees working at a flexplace ~~must maintain adequate internet connectivity~~ ~~adequate~~ to support security and management software on any assigned technology resources. ~~home must be accessible by telephone (where applicable). When technology support is necessary, the employee may be required to be available during university business hours.~~

**~~e~~E-4.** Employees granted a flexwork ~~request~~ arrangement for a change of work location ~~working at a flexplace~~ ~~must be available~~ ~~accessible~~ for ~~real-time~~ synchronous communications (e.g., telephone or ~~web-video~~ conference) during designated working hours unless otherwise approved by the ~~department~~ unit.

**E-5.** Employees granted a Flexwork arrangement are responsible for ensuring their workstation design meets supportive ergonomic and human factors guidelines.

## Version History

Amended 2023. Updated throughout to revise procedures and ensure compliance with export control requirements in international flexwork arrangements. Comprehensive review.

**Amended July 2009.** Changed Human Resource Services to Human Resources.

**Amended July 2000.** Editorial changes to D-1 a.

**Amended July 1997.** Editorial changes.

**Adopted July 1994.**



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 1640.64 OFFICER EDUCATION COMMITTEE**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Policy originator: Diane Kelly-Riley, Vice Provost for Faculty**

**Policy sponsor, if different from originator:**

**Reviewed by General Counsel:** \_\_ Yes X No Name & Date:

**Comprehensive review?** \_\_ Yes X No

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
Structure revised to replace Vice Provost for Academic Affairs with Vice Provost for Faculty. The VP for Academic Affairs position no longer exists. Its functions were split into the VP for Faculty and VP for Academic Initiatives.
- 2. Fiscal Impact:** What fiscal impact, if any, will this change have?  
None.
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
None.
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

## UI FACULTY-STAFF HANDBOOK

### Chapter I: HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

#### Section 1640: Committee Directory

---

#### 1640.64

#### OFFICER EDUCATION COMMITTEE

**A. FUNCTION.** [See also 1565 G.]

**A-1.** To be concerned with the academic integrity of the Officer Education Program (OEP).

**A-2.** To advise the president, the faculty, and the Departments of Aerospace Studies (WSU), Military Science, and Naval Science on academic matters concerning OEP.

**A-3.** To review and recommend to the University Curriculum Committee courses to be offered by the above-named departments.

**A-4.** To carefully review and evaluate the academic credentials of proposed OEP instructional appointments and to report these evaluations and recommendations to the vice provost of academic affairs.

**A-5.** To assist the OEP to integrate effectively within the UI community.

**B. STRUCTURE.** Heads of the Departments of Aerospace Studies (WSU), Military Science, and Naval Science, three other members of the faculty, (one of whom serves as chair), the Vice Provost for ~~Academic Affairs~~Faculty, or designee (ex officio), and two students (one ROTC and one non-ROTC).

**UI FACULTY-STAFF HANDBOOK**

Chapter I: HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

Section 1640: Committee Directory

---



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 1640.74 SABBATICAL LEAVE EVALUATION COMMITTEE**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Policy originator: Diane Kelly-Riley, Vice Provost for Faculty**

**Policy sponsor, if different from originator:**

**Reviewed by General Counsel:** \_\_Yes X\_No Name & Date:

**Comprehensive review?** \_\_Yes X\_No

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
Structure revised to replace Vice Provost for Academic Affairs with Vice Provost for Faculty. The VP for Academic Affairs position no longer exists. Its functions were split into the VP for Faculty and VP for Academic Initiatives.
- 2. Fiscal Impact:** What fiscal impact, if any, will this change have?  
None
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
None
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

**1640.74**

**SABBATICAL LEAVE EVALUATION COMMITTEE**

**A. FUNCTION.** To review applications for sabbatical leave, to make recommendations to the Faculty Senate for approval and referral to the president, to review the reports of those returning from sabbatical leave, and to evaluate annually the results of the program. [See also 3720.]

**B. STRUCTURE.** Five faculty members (with at least one representative each from the humanities, natural sciences, and social sciences) and ~~vice provost of academic affairs~~ Vice Provost for Faculty, or designee (w/o vote).





## POLICY COVER SHEET

For instructions on policy creation and change, please see <https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

**Faculty Staff Handbook (FSH)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title: **FSH 1640.08 ADMISSIONS COMMITTEE**

**Administrative Procedures Manual (APM)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator: Kristin Haltinner**

**Policy Sponsor, if different from Originator: Torrey Lawrence, Provost**

**Reviewed by General Counsel**      \_\_\_ Yes  No      Name & Date:

1. **Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

The Vandal Gateway Program requests inclusion on the Admissions Committee as a nonvoting member. Like the other nonvoting members on the committee, the Vandal Gateway Program director has important insights into the types of support offered at UI for people requesting admissions appeals.

The Admissions Committee chair ran this by the committee and it was supported.

2. **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

None

3. **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

None

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## UI FACULTY-STAFF HANDBOOK

### Chapter I: HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

#### Section 1640: Committee Directory

---

#### 1640.08

#### ADMISSIONS COMMITTEE

**A. FUNCTION.** To act on applications for admission to UI in the cases of undergraduate applicants who do not meet minimum requirements for admission but who request a review. The Admissions Committee also evaluates and acts on applications of undergraduate students to special UI programs requiring minimum qualifications lower than those for regular admission to the University of Idaho. The Admissions Committee also hears appeals from disenrollment when that disenrollment is the result of the presentation of incomplete or false information on initial application as an undergraduate at UI. Decisions of this committee may be appealed as stated in [FSH 2500](#). (Similar applications for admission to the College of Graduate Studies are acted on by the Graduate Council, and its decisions may be appealed as stated in [FSH 2500](#); those for admission to the College of Law are acted on by that college's Committee on Admissions, and its decisions may be appealed, in order, to the full faculty of the college and, when they consent to hear the appeal, to the president of the university and the regents.)

**A-1.** This committee traditionally meets during the summer.

**B. STRUCTURE.** Five members of the faculty, director of counseling and testing center or designee, chair of Ubuntu or designee, a member of the American Language and Culture Program faculty, and the following without vote: director of admissions (or designee), ~~a~~ Student Support Services designee, a representative from the Office of Multicultural Affairs, a professional advisor, [the director of the Vandal Gateway Program or designee](#), and up to two representatives from student support programs. To assure a quorum, alternates for the faculty positions are appointed by the chair of the Admissions Committee from a list of those who have previously served on the Committee. *f*



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 2700 STUDENT EVALUATION OF TEACHING**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Erin Chapman (former Student Feedback on Teaching Senate Taskforce Chair)  
Alistair Smith (FAC Chair, and former Student Feedback on Teaching Senate Taskforce Chair)**

**Policy sponsor, if different from originator: Gwen Gorzelsky, Vice Provost Academic Initiatives**

**Reviewed by General Counsel:**  Yes  No Name & Date: Kim Rytter, 4/8/23

**Comprehensive review?**  Yes  No

**1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Revision of FSH 2700 Student Evaluations of Teaching. Revisions to FSH 2700, which involved a multi-year Senate Taskforce that included representatives from ASUI leadership and input from the Faculty Affairs Committee and the University Teaching Committee, were focused on reducing bias and discrimination associated with the questions that are counted towards candidate’s student course evaluation summaries used in the tenure and promotion processes.

Revision aligns FSH 2700 with changes already approved under FSH 1565 C.1.a that reframed evaluations to instead feedback on teaching effectiveness. The format of the policy was updated to align it with the rest of the FSH, namely by adding purpose, scope, policy, and procedure sections. Revisions also included clarifying when mid-semester formative feedback occurs, and how the data can be used. Revisions also introduced an appeals mechanism for instructors to challenge inclusion of feedback in their records. As part of the revisions process, a new standard form for mid-semester formative feedback was created (it did not exist previously) and a revised standard form for end-of-semester formative feedback was developed. Finally, a mechanism to support instructors not meeting teaching effectiveness expectations was introduced.

**2. Fiscal Impact:** What fiscal impact, if any, will this change have?

Minimal. Will require updating forms in anthology.

**3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

FSH 3500 Promotion and Tenure

- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

UI FACULTY-STAFF HANDBOOK  
CHAPTER TWO:  
STUDENT AFFAIRS POLICIES

2700  
STUDENT ~~EVALUATION OF~~FEEDBACK ON TEACHING

**OWNER:**

Vice Provost for Academic Initiatives  
Dean Panttaja  
panttaja@uidaho.edu

**LAST REVISION:** July 2008

**CONTENTS:**

- A. Purpose
- B. Scope
- ~~BC. Policies Policy and Procedures~~
- D. Procedure

**A. PURPOSE.** Student ~~evaluation of~~feedback on teaching has two ~~divergent~~ purposes. First, student ~~evaluations~~ feedback assists individual instructors in improving ~~their own teaching~~ course design, delivery, assessment, and expectations ("instructor," as used in this section, refers to any teaching member of the faculty or staff, including graduate teaching assistants). Second, ~~they student~~ feedback assists academic administrators in counseling instructors about their teaching and ~~they are~~ the feedback is carefully weighed as a factor in ~~judging~~ evaluating the teaching component in tenure, promotion, and salary determinations. ~~To achieve the first of these purposes instructors are urged to provide their students mechanisms for evaluation throughout the academic term. To assist academic administrators in evaluation, the following policy and procedures have been adopted.~~

**B. SCOPE.** This policy applies to all instructors and students at the University of Idaho.

Formatted: Font: Bold

**BC. POLICIES AND PROCEDURES.**

~~**B-1.**~~ All students will have the opportunity to evaluate each of their instructors in all sections of all courses during every academic term.

**D. PROCEDURE**

Formatted: Font: Bold

**D-1.** The Office of the Provost is responsible for oversight of the administration of the feedback process, except for feedback in the College of Law and the WWAMI Regional Medical Education Program, which will be administered by those programs.

**D-2.** Standard university forms for anonymous mid-term formative feedback (D-3) and end-of-semester feedback (D-4), as approved by the faculty, will be used by all instructors in all of their classes, except in the College of Law and the WWAMI Regional Medical Education Program, which will use evaluative devices tailored to their needs. The student evaluation summary referred to in FSH 3500 D-2 c shall comprise the questions denoted by an asterisk in form D-4.

**D-3.** Mid-term formative feedback on teaching may take place during the three-week period centered on the mid-term week of the academic term or the proportion thereof for courses of less than a semester duration. The feedback will be made available to faculty two weeks after mid-terms to encourage student input for faculty seeking to improve teaching. The data generated through the mid-term formative evaluation process shall be for evaluative use by the faculty member. The data are not considered part of the faculty member's record and are not to be used in any evaluation of the faculty member, unless included in the record at the discretion of the faculty member.

**UI FACULTY-STAFF HANDBOOK**  
Chapter II: STUDENT AFFAIRS POLICIES  
Section 2700: Student Evaluation of Teaching  
July 2008

---

D-4. End-of-term feedback on teaching shall take place during the last three weeks of the academic term (excluding final exam week) or the proportion thereof for courses of less than a semester duration.

D-5. All student feedback on teaching will be provided to the instructor, irrespective of response rates or class size (excluding courses where only a single student is enrolled).

D-6. The Office of the Provost shall see that a database is maintained of end-of-term feedback for at least the last five academic years. The data shall be made available to colleges and academic units as needed, and the numerical summaries of an instructor's end-of-term feedback shall be made available to students or other members of the university community upon request.

D-7. The Office of the Provost, in conjunction with the University Teaching Committee, will review the student feedback on teaching forms and processes at least every five years.

D-8. Student feedback on teaching must comply with all university policy, including FSH 2300 Student Code of Conduct. Instructors may submit to their dean requests for the exclusion of individual student feedback on teaching that violates university policy from materials used in annual evaluations and for promotion and tenure consideration. The decision of the dean is appealable to the Vice Provost for Faculty and then through the policies and procedures in FSH 3840.

D-9. Instructors who receive feedback on teaching effectiveness that fails to meet unit expectations will be referred by the unit chair to the Center for Excellence in Teaching and Learning to receive faculty development support and to design a strategy for improving their teaching.

D-10. Student feedback reported as not-applicable (N/A) on the standard university forms will not be included in annual evaluations and in the evaluation of the teaching component used in tenure, promotion, and salary determinations.

**E. RELATED INFORMATION**

E-1. Form D-3

E-2. Form D-4

B-2. The standard university form, as approved by the faculty, will be used by all instructors in all of their classes, except in the College of Law which will use an evaluative device which it has tailored to its needs.

B-3. The Office of Academic Affairs has the responsibility of oversight in the administration of the evaluations, except those in the College of Law.

B-4. The evaluation shall take place during the last three weeks of the academic term (excluding final exam week) or the proportion thereof for courses of less than a semester duration.

B-5. Instructors will be able to view the student responses for their courses after final grades have been submitted.

B-6. A system for mid-term formative evaluation of instruction will be available to encourage student input for faculty seeking to improve teaching. The electronic data generated through the formative evaluation process shall be for evaluative use by the faculty member. The data are not considered part of the faculty member's record, and are not to be used in an evaluation of the faculty member by another, unless included in the record at the discretion of the faculty member.

- Formatted: Font: Times New Roman
- Formatted: Font: Times New Roman, Not Bold
- Formatted: Normal, Indent: Left: 0.25"
- Formatted: Font: Times New Roman
- Formatted: Font: Times New Roman, Not Bold
- Formatted: Font: Times New Roman
- Formatted: Normal

**UI FACULTY-STAFF HANDBOOK**  
Chapter II: STUDENT AFFAIRS POLICIES  
Section 2700: Student Evaluation of Teaching  
July 2008

---

~~B-7. The Office of Academic Affairs shall see that a database of evaluation results for at least the last five academic years is maintained. These results shall be made available to colleges and academic units as needed, and the numerical summaries of an instructor's evaluations shall be made available to students or other members of the university community upon request.~~

~~B-8. The Office of Academic Affairs, in conjunction with the Teaching and Advising Committee, will review the student evaluation of teaching forms and processes periodically, at least every five years.~~

**Version History**

**Amended July 2008.** The on-line process was evaluated which resulted in minor policy language changes and removal of section C dealing with implementation of the on-line system. This made the original Handbook section obsolete, and thus it was completely revised.

**Amended July 2002.** Following a period of testing in 2001, a paperless web-based evaluation system was given formal approval in 2002.

**Amended July 1992.** Edits were made to reflect the removal of student evaluations to the Office of Academic Affairs.

**Adopted 1979.**

**FSH 2700 Forms**

**Student feedback on an academic course and learning environment**

1. ~~How often did you attend class or online learning environment? (Circle one)~~

~~Less than 60%~~

~~60%+~~

~~70%+~~

~~80%+~~

~~90%+~~

2. ~~How many hours per week did you do work for this course? (Circle one)~~

~~Less than 2 hours~~

~~2+ hrs.~~

~~4+ hrs.~~

~~6+ hrs.~~

~~8+ hrs.~~

**Please use the following scale to answer questions 3, 4, and 5.**

SD—strongly disagree; D—disagree; N—neutral; A—agree; SA—strongly agree

3. ~~The instructor expressed clear expectations for learning outcomes in this course.~~

4. ~~Overall, the content and organization of this course contributed to your understanding of this subject.~~

5. ~~Overall, the instructor's delivery and efforts contributed to your understanding of the course material.~~

6. ~~The instructor was helpful to me outside of class or online learning environment. (Circle one)~~

~~No~~

~~Yes~~

~~N/A (I did not seek help from the instructor outside of class)~~

Comments:



~~7. What were some positive aspects of the course that supported learning?~~

Comments:

~~8. What aspects and/or content of the course that could be improved to better support learning?~~

Comments:

**FSH 2700 Form – D3 (mid-term formative feedback)**  
**Student feedback on an academic course and learning environment**

**Purpose:** We need your feedback to help provide the instructors with information that may improve the course for the remainder of this semester. This information is only shared with the instructor and is not used as part of their permanent teaching record. Please remember that instructors can include faculty, staff, and graduate teaching assistants. This questionnaire should take approximately 5 minutes to complete.

**Instructions:**

- In terms of the following categories, please rate your agreement with each statement.
- If the question is not relevant to the course (e.g., the course has no labs, or has no written assignments) or you have no feelings about the question, please select N/A.
- Feedback must be free of hate speech and discrimination.
- Several questions are appropriate for all courses and will not have the N/A option.
- Narrative feedback must comply with all university policy, including FSH 2300 Student Code of Conduct.

<b>Mid-Semester Formative Feedback</b>	<b>N/A</b>	<b>Strongly Disagree</b>	<b>Somewhat Disagree</b>	<b>Somewhat Agree</b>	<b>Strongly Agree</b>
The course materials are delivered in a manner that is easy to follow and understand.					
The course materials are easy to access.					
The course assignments are useful for a better understanding of the topic.					
The course labs reinforce the course content.					
The instructor organizes and manages the class sessions well.					
The instructor provides useful feedback to me on my coursework.					
The instructor gives grades that are consistent with course rubrics and class expectations.					
The instructor provides opportunities for students to ask and answer questions related to the content.					
<b>Narrative:</b> As you reflect on the course up to this point, what things are working well for you?					
<b>Narrative:</b> As you reflect on the course up to this point, what things are <b>not</b> working well for you?					

**FSH 2700 Form – D4 (end-of-semester feedback)**  
**Student feedback on an academic course and learning environment**

**Purpose:** We need your feedback on this assessment for two reasons. First, instructors rely on your answers to improve their teaching. Instructors can include faculty, staff, and graduate teaching assistants. Second, your responses are used to guide instructors' annual performance evaluations and in evaluating the teaching component in tenure, promotion, and salary determinations. This questionnaire should take approximately 15 minutes to complete.

**Instructions:**

- In terms of the following categories, please rate your agreement with each statement.
- If the question is not relevant to the course (e.g., the course has no labs, or has no written assignments) or you have no feelings about the question, please select N/A.
- Several questions are appropriate for all courses and will not have the N/A option.
- Narrative feedback must comply with all university policy, including FSH 2300 Student Code of Conduct.

Teaching Delivery	N/A	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
<b>The instructor's delivery and management of the class sessions contributed to your understanding of the course material. *</b>					
The instructor organized the course's applied learning components (e.g., labs, studios, field trips) well.					
The instructor provided opportunities for students to ask and answer questions.					
The instructor provided opportunities for students to engage with the subject matter in a variety of ways (e.g., group discussions, group projects).					
<b>The instructor provided useful feedback to me on my coursework. *</b>					
The instructor gave grades that were consistent with course rubrics and class expectations.					
<b>Narrative:</b> If you have additional constructive feedback you wish to share with the instructor to improve the teaching delivery, please enter additional details here.					

Course Content	N/A	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
The course materials were delivered in a manner that was easy to follow and understand.					
The course materials were easy to access.					
<b>The course assignments were useful in better understanding the course content. *</b>					
The course time (classrooms, labs, fieldtrips, etc.,) reinforced the course content.					
The quantity of material in the course was appropriate to its credit hour load.					
The course (classroom, labs, fieldtrips, etc.) content was current and up-to-date.					
<p><b>Narrative:</b> If you have additional constructive feedback you wish to share with the instructor to improve the course content, please enter additional details here.</p>					

Syllabus and Course Expectations	N/A	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
The course syllabus and expectations were consistent throughout the course.					
The course syllabus was easy to access and coherently organized.					
The instructor provided updates to changes in the course schedule or expectations.					
<b>The grading expectations of assignments and assessments were clearly explained. *</b>					
The course policies, including late work and academic honesty, were clearly explained.					
Written assignments included a grading rubric or other instructions that clearly explained the expectations.					
<p><b>Narrative:</b> If you have additional constructive feedback you wish to share with the instructor to improve the syllabus and course expectations, please enter additional details here.</p>					

Student Experience	N/A	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
I spent enough time on this course each week and came to class prepared to participate during in-class activities.					
I was consistently prepared for assignments, projects, and exams.					
I have put in adequate effort to advance my learning.					
I was positively challenged.					
The instructor was supportive of my success.					
The instructor addressed and/or acted on the mid-term student feedback on teaching.					
The instructor tried to create an inclusive and respectful learning environment.					
<p><b>Narrative:</b> If you have additional constructive feedback you wish to share with the instructor to improve the student experience, please enter additional details here.</p>					



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 3500 PROMOTION AND TENURE**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Policy originator: Erin Chapman (former Student Feedback on Teaching Senate Taskforce Chair)  
Alistair Smith (FAC Chair, and former Student Feedback on Teaching Senate Taskforce Chair)**

**Policy sponsor, if different from originator: Diane Kelly-Riley, Vice Provost for Faculty**

**Reviewed by General Counsel:** \_\_Yes \_\_X\_No Name & Date:

**Comprehensive review?** \_\_Yes X\_\_No

1. **Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Revision to add a reference to FSH 2700 regarding the questions in student feedback on teaching that can be counted toward a candidate's student course evaluation summaries used in the tenure and promotion processes.

2. **Fiscal Impact:** What fiscal impact, if any, will this change have?

None.

3. **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

FSH 2700 Student Evaluations of Teaching

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

July 1

**FSH 3500  
PROMOTION AND TENURE**

**A. INTRODUCTION.** FSH 3500 contains all official University promotion and tenure procedure and supersedes any promotion or tenure procedure contained in college or unit bylaws.

**A-1. Definitions.**

**a. Academic Administrator.** “Academic administrator” means the president, provost, vice provosts, deans, associate deans, and department chairs/directors of academic units, and vice president for research, and shall not include persons occupying other administrative positions. (RGP II.G.6.i.i.)

**b. Board.** “Board” refers to the State Board of Education and Board of Regents of the University of Idaho.

**c. Faculty Member.** “Faculty member” means any member of the university faculty who holds one of the following ranks: instructor, senior instructor, assistant professor, associate professor, or professor.

**d. Period under Review.** The “period under review” includes all years since appointment to the candidate’s current rank.

**e. Unit.** “Unit” means a school, division, department, or program (i.e., the first organizational unit below the college level), but the College of Law, WWAMI, Library, and the Counseling and Testing Center shall be considered to be units. For Extension educators, the unit shall be the Extension district.

**f. Unit Administrator.** The “unit administrator” is the administrator of the unit that holds faculty member’s appointment. In the case of an interdisciplinary appointment, the administrator of the unit that holds the majority of the appointment shall be considered the unit administrator.

**g. University.** “University” and “UI” refer to the University of Idaho.

**A-2. Faculty Promotion.**

**a. Purpose.** Academic rank represents and rewards the individual’s performance as a scholar, teacher, and faculty member. Promotion to a higher rank is not automatic but is a decision made on an individual basis subject to university, college, and unit criteria.

**b. Criteria.** Promotion to a rank requires the candidate to meet the requirements for that rank. Promotion is awarded only to candidates who effectively perform in the responsibility areas contained in FSH 1565 C as specified in the candidate’s position description, and who meet university, college and unit criteria for promotion. Decisions are based on thorough and uniform evaluation of the candidate’s performance and granted only when there is reasonable assurance, based on performance, that the candidate will continue to meet the criteria for promotion. The faculty of each college and unit shall establish in their bylaws substantive promotion criteria for all types of faculty existing within that college or unit (e.g. regular faculty, clinical faculty, research faculty, etc.), consistent with university requirements. The criteria shall include a statement regarding the role of interdisciplinary activity and shall be included in college or unit bylaws (see FSH 1590).

**c. Non-Tenure Track Faculty Promotion.** Non-tenure track positions at the assistant and associate professor level are eligible for promotion to the next rank. Full-time instructors are eligible for promotion



to senior instructor. Senior instructor is not a rank from which a faculty member may be promoted (FSH 1565 D-1.b).

### **A-3. Faculty Tenure.**

**a. Purpose.** Tenure is intended to protect academic freedom in order to maintain a free and open intellectual atmosphere. The justification for tenure lies in the need for protection from improper influences from either outside or inside the university. Tenure strengthens UI's ability to attract and retain superior teachers and scholars as members of the faculty. UI's tenure policy improves the quality of the faculty by requiring that each faculty member's performance be carefully scrutinized before tenure is granted.

**b. General Provisions.** Tenure is a condition of presumed continuing employment accorded to a faculty member, usually after a probationary period, on the basis of an evaluation and recommendation by a unit committee and administrator, a college committee and dean, a university committee, the provost, and the president. Prior to the award of tenure, employment beyond the annual term of appointment may not be legally presumed (RGP II.G.1.b). After tenure has been awarded, the faculty member's service can be terminated only for adequate cause, the burden of proof resting with UI (FSH 3910), except under conditions of financial exigency as declared by the board (FSH 3970), in situations where extreme shifts of enrollment have eliminated the justification for a position, or where the board has authorized elimination or substantial reduction in an academic program (RGP II.G.6.a).

**c. Criteria.** Tenure is granted only to full-time faculty members (RGP II.G.6.a) who demonstrate that they have made and will continue to make significant contributions in their disciplines through effective performance in the responsibility areas contained in FSH 1565 C as specified in their position description and consistent with university, college and unit criteria. The faculty of each college and unit shall establish substantive tenure criteria consistent with the university requirements for tenure. The criteria shall include a statement regarding the role of interdisciplinary activity and shall be included in college or unit bylaws (see FSH 1590).

**d. Tenurable Ranks.** The tenurable ranks are assistant professor, associate professor, and professor. Research professors, extension faculty, psychologists, and licensed psychologists can be either tenure track or non-tenure track. See FSH 1565.

**A-4. Consideration of Promotion or Tenure Alone.** The procedures in this policy apply to all cases including applications for only tenure or only promotion. As used in this policy, "promotion or tenure" means promotion or tenure or both.

## **B. GENERAL PROVISIONS.**

**B-1. Delegation.** The provost may delegate any of their responsibilities in this policy to a designee.

**B-2. Provost's Administrative Guidance.** The process of promotion and tenure is administered by the provost. The provost shall publish guidance necessary for the administration of the promotion and tenure system that is consistent with the *Faculty Staff Handbook (FSH)* and the *Regents of the University of Idaho Governing Policies and Procedures (RGP)*. This guidance shall be mandatory. The provost's administrative guidance shall include:

- a. Deadlines for the promotion and tenure process;
- b. The forms required to document the promotion and tenure process (e.g. dossier submission form, unit voting forms, etc.);
- c. Procedures for requesting early consideration for promotion;
- d. Requirements for curriculum vitae;

e. Requirements regarding the submission of promotion and tenure dossiers including format, order of materials, page limits for materials, etc.;

f. Requirements for the selection of external reviews for scholarly work;

g. The timing of appointments and relative representation of faculty on the university promotion & tenure committee pursuant to section G-1 herein; and

h. Other matters necessary to ensure the appropriate administration of the promotion and tenure process.

**B-3. Committee Problem Resolution.** If the unit administrator or the college dean is not able to fill membership on a committee required under this policy, the provost, in consultation with the dean, shall appoint an appropriate faculty member to fill any opening in order to comply with the requirements of this policy. If the provost takes such action under this provision, documentation of the action shall be maintained by the provost.

**B-4. Procedural Error Remediation.** In the event of a procedural error, the provost shall confer with the dean, unit administrator, and candidate and the parties shall attempt to come to an agreement that resolves the error. Following this process, the provost shall decide the resolution of the procedural error and communicate the decision to the candidate in writing. If the candidate agrees to the resolution in writing, he or she may not later object to the resolution. If the candidate does not agree to the resolution in writing, he or she retains the right to appeal the final institutional decision based on that procedural ground (see H-3 herein). These procedural rules are intended to guide the orderly and fair administration of the promotion and tenure process and should be followed carefully, but a promotion or tenure denial may not be set aside merely because there was a procedural error unless the procedural error materially impacted the outcome.

**B-5. Confidentiality.** Except as specifically provided herein or in the provost's administrative guidance, all materials generated in consideration of candidates for promotion or tenure shall not be disclosed to the candidate or to persons having no role in the administration of promotion and tenure policy unless required by law or approved by the provost. Faculty participating in tenure or promotion cases must maintain confidentiality regarding all aspects of the procedure. This prohibition applies not only during the promotion or tenure process but also indefinitely into the future.

#### **B-6. Recusal.**

**a. Disclosure required.** Prior to consideration of candidates, each committee member shall disclose in writing to the other committee members the nature and extent of any relevant relationships and working arrangements with each candidate who will be considered by the committee.

**b. Recusal due to conflict of interest.** A committee member with a conflict of interest as defined in this policy shall recuse themselves from consideration of each candidate with whom they have a conflict of interest.

**c. Conflict of interest defined.** For purposes of this policy, conflict of interest means:

- i. The committee member has a "relationship" with the candidate as defined by FSH 6241 Nepotism, or
- ii. The committee member has a conflict of interest as defined by FSH 6240 Conflicts of Interest or Commitment.

**d. Objection; disqualification; final decision.** Objection to a committee member's participation based on conflict of interest as defined by this policy or on other grounds may be raised by the candidate, any member of the committee, by the chair of the candidate's unit, or by the dean of the candidate's college, and shall be communicated to the provost. If an objection is raised and the committee member refuses to recuse themselves, the dean of the candidate's college shall decide whether the committee member shall be disqualified from participation, unless the dean is the party raising the objection, in which case the provost shall decide. The decision of the dean or provost, as applicable, is final.

**e. Recusal on other grounds.** A committee member shall recuse themselves from consideration of a candidate if the committee member subjectively determines that they cannot fairly evaluate that candidate's performance as required by University policy.

## **C. SCHEDULE FOR PROMOTION AND TENURE CONSIDERATION.**

### **C-1. Promotion.**

**a. Timing of Promotion.** A faculty member shall apply and be considered for promotion according to the schedule below.

**1. Instructors.** Full-time instructors shall be considered for promotion to senior instructor during their sixth year of continuous, full-time service as an instructor. Part-time instructors are not eligible for promotion.

**2. Tenure Track Assistant Professors.** Assistant professors who are on a tenure track shall be considered for promotion at the same time that they are considered for tenure and shall be promoted if they receive tenure (C-2.a herein).

**3. Non-Tenure Track Assistant Professors** Assistant professors who are not on a tenure track shall be considered for promotion during their sixth full year as an assistant professor.

**4. Tenure Track and Non-Tenure Track Associate Professors.** Faculty may be considered for promotion during their sixth full year of service, or thereafter, as an associate professor.

**b. Early Consideration for Promotion.** A faculty member may be considered for promotion at an earlier time than permitted by this policy with the approval of the dean. The process for requesting early consideration for promotion shall be set forth in the provost's administrative guidance pursuant to B-2 herein.

**c. Reconsideration for Promotion.** When a faculty member has been considered for promotion and not promoted, he or she may apply and be considered again during their third full year of service or later after denial of promotion unless earlier consideration is approved in writing by the dean.

### **C-2. Tenure.**

**a. Timing of Tenure.** A faculty member shall apply and be considered by the university for tenure during the sixth full year of probationary service. Consideration at that time is mandatory (RGP II.G.6.b.ii.). If an associate or full professor is not appointed with tenure, they are considered for tenure during the fifth full year of service. Satisfactory service in any tenurable rank may be used to fulfill the probationary period.

**b. Early Consideration for Tenure.** A faculty member may be considered for tenure at an earlier time than permitted by this policy (RGP II.G.6.d.iv.1), with the approval of the provost. The process for requesting early consideration for tenure shall be set forth in the provost's administrative guidance pursuant to section B-2 herein.

### **C-3. Special Circumstances.**

**a. Late Appointments.** When the appointment begins after the eighth week of the start of the academic year (for academic year appointments) or after the eighth week of the fiscal year (for fiscal year appointments) then the timeline for promotion and tenure consideration begins the following year.

**b. Transfer between Units.**

**1. Approval Process.** When a faculty member transfers to another unit within UI, the transfer must be approved by the provost in consultation with the units and college dean(s).

**2. Impact on Time to Promotion and Tenure.** The extent to which service in the first unit counts toward promotion or tenure in the new unit must be communicated to the faculty member in writing by the provost at the time of the transfer. (RGP II.G.6.1.ii.)

**3. Tenure Status.** Tenure status does not change when a tenured faculty member transfers from one unit to another within UI.

**c. Effect of Lapse in Service.** A non-tenured faculty member who has left the institution and is subsequently reappointed after a lapse of not more than three (3) years may have their prior service counted toward eligibility for the award of tenure. Eligibility for the award of tenure must be clarified in writing before reappointment. A tenured faculty member who has left the institution and is subsequently reappointed after a lapse of not more than three (3) years must have tenure status clarified in writing by the president before appointment. The faculty member may be reappointed with tenure, or may be required to serve additional years before being reviewed for tenure status. (RGP II.G.6.1.i)

**d. Credit toward Promotion or Tenure at Time of Appointment.** Credit toward promotion or tenure may be granted at the time of appointment with the approval of the provost. Such credit must be documented in the letter offering the candidate employment at UI. Where credit toward promotion or tenure is approved, all evidence of success in the faculty member's areas of responsibility having arisen during the years for which credit is given shall be included in the candidate's dossier and must be considered in evaluating whether the candidate has demonstrated success in the applicable areas of responsibility. Credit toward promotion and tenure may be granted under the following circumstances:

1. After review of the candidate's qualifications, the faculty in the unit vote that the candidate meets UI criteria for the rank to be offered, and
2. The candidate has demonstrated outstanding performance of responsibilities relevant to the position for which the person is being appointed through service at another institution, or has made substantial contributions to their field of specialization, and
3. The candidate must complete one full year of employment at UI prior to applying for promotion or tenure.

**e. Appointment with Tenure.** Appointment with tenure may be offered under the following circumstances:

1. The candidate has attained tenure at another college or university, and
2. After review of the candidate's qualifications, the faculty in the unit vote that the candidate meets UI criteria for tenure and the rank to be offered, and
3. The candidate has demonstrated performance of responsibilities relevant to the position for which the person is being appointed.

**f. Administrative Appointment.**

1. The role of an administrator is not tenurable.
2. A faculty member who serves as an academic administrator retains membership in their academic department and their academic rank and tenure. (RGP II.G.6.i.ii) The faculty member may resume duties in their academic department when the administrative responsibilities end. (RGP II.G.6.i.iv)

3. A candidate may be initially appointed as an associate or full professor with tenure with the approval of the president. (RGP II.G.6.i.iii) If an administrative appointment carries academic rank, evaluation for tenure is conducted by the unit in which the rank is held.

**g. Unit Administrator under Review for Promotion or Tenure.** If the unit administrator is scheduled to be evaluated for promotion or tenure, the dean shall fulfill all the responsibilities under this policy normally fulfilled by the unit administrator.

#### **C-4. Extensions.**

**a. Childbirth or Adoption:** A faculty member who becomes the parent of a child by birth or adoption, may request an automatic one-year extension of the timeline for promotion or tenure or both. (RGP II.G.6.d.iv.2.)

**b. Other Circumstances:** An extension of the timeline for promotion or tenure or both may be granted in other exceptional circumstances (RGP II.G.6.d.iv.2) that may impede a faculty member's progress toward achieving promotion or tenure, including but not limited to significant responsibilities with respect to elder or dependent care, child care, custody, disability or chronic illness, problems beyond the faculty member's control relating to their research or scholarly activities, or such other reasons deemed by the provost to be exceptional and likely to impede the faculty member's progress.

**c. Third-Year Review.** In the event that an extension is requested and granted before the third-year review, the review is also automatically delayed for one year.

**d. Length of Extension.** In most cases, extension of the time to tenure or promotion shall be for one year; however, longer extensions may be granted upon a showing of need by the faculty member. Multiple extension requests may be granted.

**e. Option to Shorten Extension.** A faculty member may choose to be considered for promotion or tenure on their original timeline, even if an extension has been granted.

#### **f. Procedure for Requesting an Extension:**

1. The faculty member must request the extension from the provost in writing by March 15 of the calendar year in which the review process begins, as set forth in the provost's administrative guidance (B-2 herein). The written request must include appropriate documentation of the childbirth, adoption, or other exceptional circumstance.

2. Except to obtain necessary consultative assistance on medical or legal issues, only the provost shall have access to documentation pertaining to a request related to disability or chronic illness. The provost shall, in their discretion, determine if consultation with the dean or unit administrator is appropriate.

3. The approval decision shall be made without regard to whether or not the faculty member takes a leave related to the same circumstances presented for the extension.

4. The provost shall notify the faculty member, unit administrator, and dean of the action taken. The candidate may choose to provide information regarding the extension in their Personal Statement of Accomplishment; otherwise, no information regarding the extension shall be included in the candidate's dossier, unless such information already exists in the materials to be provided by the unit administrator, as detailed in D-2. If such information already exists in the D-2 materials, the candidate may choose to have that information redacted. Committee and administrator reports shall not mention the extended timeline.

**g. Effect of Extension.** No additional productivity is expected when a faculty member extends the timeline for promotion or tenure. For example, if a tenure decision would customarily take place in the sixth year, and it is extended to the seventh year, the standard of productivity would remain the same as for a tenure decision made in the sixth year.

**D. PROMOTION AND TENURE DOSSIER.** All materials provided by the candidate and by the unit administrator shall be compiled together into a single dossier in the manner prescribed by the provost's administrative guidance (B-2 herein).

**D-1. Materials to be Provided by the Candidate.** The candidate shall submit the following materials:

**a. Current Curriculum Vitae.** The curriculum vitae shall be in the required UI format.

**b. Candidate Statements.** This section is limited to eight pages with an optional one-page COVID impact statement for a maximum of nine pages.

**1. Context Statement.** The Context Statement is written by the candidate and describes the candidate's academic unit and the candidate's responsibilities within their unit as established in the position description. It is intended to inform reviewers about the candidate's academic environment so that reviewers may consider the similarities and differences between their own academic unit and that of the candidate. The context statement should also describe the expectations placed on the candidate by interdisciplinary programs or research centers, the requirements of joint appointments or other special circumstances. If applicable, the candidate shall indicate their choice of unit criteria for promotion and tenure under which to be evaluated, pursuant to D-2.a.2.

**2. Personal Statement of Accomplishment.** The Personal Statement of Accomplishment is written by the candidate and interprets their record of accomplishment relevant to the responsibilities in their position description and the criteria for promotion or tenure, but should not duplicate other materials in the dossier. The statement may explain and analyze materials submitted and include a philosophical vision as it relates to the broader impact of accomplishments. The statement should explain the nature of the candidate's activities so that others will understand them fully for purposes of assessment. The format and method of presentation is a matter of candidate choice.

**3. COVID Impact Statement (Optional)** In one page, the candidate may describe the effects of the pandemic on their work activities and outcomes during the period of review. Candidates may describe such effects across the four areas of consideration: teaching; scholarship and creative activity; outreach and extension; and university service and leadership.

**c. Evidence of Accomplishment.** The candidate may provide evidence of accomplishment for each area of responsibility in the position description. Evidence may include examples of scholarly work; evidence of teaching effectiveness as provided in FSH 1565 C-1.a. (note that student course evaluations, and, if applicable, peer evaluations are provided by the unit administrator; see D-2.c.); letters of support, etc. Evidence of Accomplishment shall not include additional narrative regarding promotion or tenure. This section has no page limit.

**D-2. Materials Provided by the Unit Administrator.** The unit administrator shall provide to the candidate items a-d below, in the format prescribed by the provost's administrative guidance (B-2 herein), at least five business days prior to the beginning of the semester in which the promotion or tenure review is scheduled to begin. After the dossier has been finalized, as described in D-3.c, the unit administrator shall add the external peer review letters described in D-2.e and forward the dossier for the first level of review.

**a. Bylaw Sections.** College and unit bylaw sections that cover the following areas:

**1. Annual review process and annual performance criteria.**

2. Criteria for promotion and tenure. If criteria change during the period under review, the candidate shall choose the version of the criteria by which he or she will be evaluated. If a candidate does not select a version, the version in effect at the time of submission shall be used.

**b. Position Descriptions and Annual Evaluations.** Copies of the candidate's position description(s) (FSH 3050) and annual evaluations (FSH 3320) for the period under review.

**c. Teaching Effectiveness.** If teaching is included in the candidate's position descriptions, copies of all of the candidate's student course evaluation summaries (RGP II.G.6.e) as described in FSH 2700 D-2 for the period under review, and peer evaluations of teaching for the period under review, as prescribed by the provost's administrative guidance (B-2 herein).

**d. Prior Reports.** Copies of any third-year review committee reports and periodic review reports made during the period under review, along with the associated unit administrator's and dean's reports (as applicable) and any responses by the candidate to the reports.

**e. External Peer Reviews.** The unit administrator shall obtain three to five external reviews of the candidate's performance in the area of scholarly and creative activity, as defined by FSH 1565 C-2. External review shall not be conducted for faculty undergoing third-year review or for nontenure track candidates for promotion with an average of 5% or less responsibility for scholarship or creative activity in their position description during the review period. In the case of tenurable and tenured faculty in Extension, the external review shall focus on the candidate's performance in the areas of scholarship and creative activity and outreach and extension. All review letters received shall be included in the dossier.

**1. Qualifications of Reviewers.** External reviewers shall be tenured faculty members who have expertise in areas closely related to the candidate's expertise. If the review is to be in support of promotion, each reviewer shall be at, or above, the rank the candidate is seeking. Because reviewers are asked to provide independent and objective review, reviewers shall not have a personal or professional relationship with the candidate that could prevent an unbiased assessment.

**2. Selection.** The reviewers to be solicited shall be chosen by the unit administrator, but at least two reviewers shall come from a list of at least eight qualified reviewers provided by the candidate in writing to the unit administrator by the deadline provided in B-2 herein. If the unit administrator cannot obtain letters from two reviewers on the candidate's list, the unit administrator shall ask the candidate to identify further potential reviewers. The candidate may also provide the unit administrator with the names of up to two individuals who shall be excluded from consideration as an external reviewer. If the candidate fails to submit either list, the unit administrator shall select reviewers without that input from the candidate. These lists shall not be included in the dossier but shall be kept on record by the unit administrator.

**3. Request Letters to the External Reviewers.** The letters of request to the reviewers shall be based on a template provided by the provost.

**4. Materials Provided to the External Reviewers.** The unit administrator shall provide only the candidate's CV, position descriptions for the period under review, candidate statements from D-1.b herein, up to four examples of the candidate's scholarly and creative activity chosen by the candidate, and the sections of college and unit bylaws setting forth criteria for promotion or tenure. In the case of tenure-line faculty appointments with extension, the four examples shall include the candidate's scholarly and creative activity and extension and outreach work chosen by the candidate. The unit administrator shall not provide the complete dossier or any additional materials to external peer reviewers.

**5. Criteria for External Review.**

a) The review shall be limited to the candidate's scholarly and creative activity in relation to the applicable tenure and/or promotion criteria and the faculty member's position description(s). In

the case of tenurable Extension faculty, this review shall encompass scholarship and creative activity and outreach and extension.

b) Reviewers may not be asked to evaluate the candidate pursuant to external criteria such as those at the reviewer's institution or other professional organizations.

c) The university shall make every effort to keep the names of the reviewers confidential from the candidate. The candidate may request to view the external reviewers' anonymized evaluations after the final institutional decision is made. Such requests shall be directed to the provost.

#### **f. Additional Review Letters.**

1. In the case of interdisciplinary appointments, administrators of units holding the minority of the candidate's appointment (see A-1.d herein) may provide an additional review letter.

2. In the case of a candidate based at a UI center, the center executive officer may provide an additional review letter.

#### **D-3. Submission of Dossier.**

**a. Deadlines for Submission of Candidate Material and Unit Materials.** Materials to be provided by the candidate in support of tenure and/or promotion, as described in section D-1, shall be submitted to the unit administrator either prior to the beginning of the semester in which the review is scheduled to begin or prior to the submission of the candidate's materials to the external reviewers, whichever is earlier. In the event a unit administrator fails to provide materials within the timeline referenced in D-2 above, the candidate's deadline for submission shall extend to ten days after the provision of materials by the unit administrator.

1. External peer reviews need not be submitted as part of the dossier prior to the deadline, but must be received, if required, prior to any consideration of the dossier.

2. The dossier may be supplemented with scholarship or creative accomplishments occurring after submission. Supplementation must be made pursuant to the provost's administrative guidance.

**b. Failure to Submit Candidate Materials by Deadline.** Candidates are expected to follow the submission timeline contained in the provost's administrative guidance. A candidate who does not submit the materials described in D-1 by the deadline described in D-3.a of the mandatory year, or of the tenure consideration year as adjusted pursuant to an extension under section C-4, is deemed to have been denied tenure as of the deadline.

**c. Finalization of Dossier.** Submission is final when the candidate has signed a dossier submission form and provided the signed dossier submission form to the unit administrator. Other than supplementation provided in D-3.a herein, the dossier is final when submitted and may not be supplemented or altered after submission.

### **E. UNIT LEVEL REVIEW.**

#### **E-1. Unit Promotion and Tenure Committee.**

**a. Membership.** The unit faculty shall elect a promotion and tenure committee for each candidate according to the criteria below. The unit faculty may delegate the selection of committee members to the unit administrator.



1. The committee shall be composed of five faculty members. At least three members shall be tenured faculty members in the unit. At least one member shall be a tenured faculty member from outside the unit.
2. The committee shall elect a chair from among their tenured members.
3. Because the promotion and tenure committee is a personnel committee, students and non-university employees shall not serve on the committee.
4. In cases considering promotion to full professor, the committee shall include at least one full professor.
5. Neither the unit administrator nor the dean may serve as a member of a unit promotion and tenure committee.
6. If there are not three tenured faculty members available to serve on the committee, or a full professor in a case considering promotion to full professor, the unit administrator, in consultation with the dean, shall designate appropriate faculty members from other units whose areas of expertise are as closely related as possible to the work of the candidate. One such member may chair the committee if there is not a tenured member from the unit available to serve as chair.
7. Upon request by the candidate to the unit administrator, the unit administrator shall provide the candidate with the names of the committee members.

**b. Basis for Evaluation.** The unit administrator shall submit the completed dossier to the chair of the unit promotion and tenure committee. The review shall be based on the dossier. The committee shall not meet until the dossier has been available to all members for a minimum of five business days. The committee shall evaluate the candidate in light of the unit, college and university criteria for tenure and/or promotion.

**c. Unit Promotion and Tenure Committee Report.** The committee shall write a report recommending whether the candidate should be promoted and/or tenured. For each candidate, the report shall include a brief rationale for the committee's recommendations and an anonymized record of the committee's vote for or against tenure or promotion of each candidate. Abstentions are not allowed. The chair of the committee shall deliver the report to the unit administrator. The report shall not be shared with faculty who are not members of the college or university promotion and tenure committees.

## **E-2. Unit Faculty Voting.**

### **a. General.**

1. The dossier must be made available a minimum of five business days prior to any voting.
2. Faculty who are eligible to vote may assemble to deliberate prior to voting.
3. Voting shall occur using a signed, written ballot in a format provided in the provost's administrative guidance in B-2 herein.
4. Faculty members may submit evaluative comments as part of their ballot to the unit administrator.
5. Unit faculty voting results shall not be shared with the candidate's promotion and tenure committee.
6. Faculty are not required to vote but are encouraged to do so.

**b. Voting by Tenured Faculty.** In the case of tenure, the unit administrator shall solicit the vote of all tenured faculty members of the candidate's unit regarding whether the candidate should be granted tenure. Non-tenured faculty shall not be eligible to vote.

**c. Voting by Promoted Faculty.** In the case of promotion, the unit administrator shall solicit the vote of all faculty members of the candidate's unit of the same or higher rank as that to which the candidate seeks promotion. Faculty members of lower rank shall not be eligible to vote.

### **E-3. Unit Administrator.**

**a. Unit Administrator's Report.** The unit administrator shall prepare a written report after considering the tenure and/or promotion dossier, the unit promotion and tenure committee report, and the unit voting results. The unit administrator's report shall include the anonymized voting results as well as the administrator's recommendation for or against tenure and/or promotion in light of the unit, college and university criteria for tenure and/or promotion. In the event that the administrator submitting the recommendation has not had at least one year to evaluate the candidate, he or she shall disclose this as part of the report.

**b. Transmission of Reports to the Candidate and Written Response.** The unit administrator shall provide the candidate with copies of the unit administrator's report and the report of the unit promotion and tenure committee. The candidate may provide a written response to the reports within five business days after receiving the reports.

**E-4. Forwarding Materials.** The unit administrator shall forward the tenure and/or promotion dossier and all reports and the candidate's response, if any, to the dean.

### **F. COLLEGE LEVEL REVIEW.**

**F-1. College Promotion and Tenure Committee.** Each college having more than one unit shall have a standing promotion and tenure committee. The members shall be tenured and shall serve staggered three-year terms. Each unit within the college shall be represented by one faculty member, to be selected as follows: Each unit shall nominate two faculty members, from which the dean shall select one, giving consideration to representational balance in the makeup of the committee. The committee shall elect its chair from among its members or may elect the dean or associate dean to serve as chair without vote. For the College of Business and Economics each major area shall serve as a "unit" for purposes of section F. Names of committee members shall be provided to the candidate upon request to the dean.

**F-2. College Promotion and Tenure Committee Evaluation and Report.** The committee shall not meet until the dossier has been available to all members for a minimum of five business days. The committee shall evaluate the dossier in light of the unit, college and university criteria. The committee chair shall write a report for each candidate recommending whether the candidate should be promoted and/or tenured. For each candidate, the report shall include a brief rationale for the committee's recommendations and an anonymized record of the committee's vote for or against tenure and/or promotion of each candidate. Abstentions are not allowed. A tie vote will result in a recommendation of "undecided."

**F-3. Dean's Report.** The dean shall evaluate the candidate in light of the unit, college and university criteria for tenure and/or promotion then make a written recommendation as to whether each candidate should be promoted and/or tenured after considering the materials presented in the dossier (including all reports, responses and polling information), and advice of the college committee. The dean may also confer individually or collectively with unit administrators about the qualifications of the candidate.

**F-4. Transmission of Reports to Candidate and Written Response.** The dean shall provide the candidate with copies of the dean's report and the college promotion and tenure committee report. The candidate may provide a written response to the reports within five business days after receiving the reports.

**F-5. Forwarding Materials.** The dean shall forward the completed tenure and/or promotion dossier and all reports, recommendations, and responses to the provost.

### **G. UNIVERSITY LEVEL REVIEW.**

**G-1. University Promotion and Tenure Committee Composition.** A university promotion and tenure committee of faculty members, chaired by the provost without vote, is appointed each year. If, in the discretion of the provost, the number of dossiers to be considered exceeds the capacity of the committee, one or more additional University Promotion and Tenure Committees may be formed using the procedure below.

**a. Nominations.** One-third of the committee's membership shall be selected by the provost from the previous year's committee; the remaining members shall be selected by the provost and the chair and vice chair of the Faculty Senate from nominations submitted by the senators. The delegation representing the College of Letters, Arts and Social Sciences on Faculty Senate nominates four faculty members who should be representative of the breadth of the disciplines within the college. The delegation representing the College of Agricultural & Life Sciences on Faculty Senate nominates four faculty members from the college comprising two each from (a) faculty with greater than 50% teaching and research appointments and (b) faculty with greater than 50% University of Idaho Extension appointments. The Faculty Senate delegations from the other colleges and the Faculty-at-Large each nominate two faculty members from their constituencies. If senators from a college do not submit nominations by the deadline announced by the provost, the provost shall appoint members from that college, as specified in G-1-b-2 herein.

**b. Membership.** The membership of the committee shall be as follows:

1. The vice president for research, the dean of the College of Graduate Studies and the provost's designee with primary responsibility for faculty promotion and tenure, to serve *ex officio* (without vote).
2. Two representatives from the College of Letters, Arts and Social Sciences, two representatives from the College of Agricultural & Life Sciences, and one representative from each of the other colleges and the Faculty-at-Large.
3. The committee shall include at least one tenured faculty member (RGP II.G.6.e).
4. Upon request by the candidate to the provost, the provost shall provide the candidate with the names of the committee members.

**G-2. University Promotion and Tenure Committee Vote.** The committee shall not meet until the dossier has been available to all members for at least two weeks. The committee shall deliberate and vote for or against tenure and/or promotion of each candidate in light of the unit, college and university criteria for tenure and/or promotion. Abstentions are not allowed.

**G-3. Provost's Report.** The provost shall write a report to the president making a recommendation regarding tenure and/or promotion of each candidate in light of the unit, college and university criteria for tenure and/or promotion. The report shall include a rationale for each recommendation and the anonymized results of voting from the university promotion and tenure committee.

## H. DECISION.

**H-1. Presidential Approval.** The president shall confer with the provost and make the decision regarding tenure and/or promotion for each candidate in light of the unit, college and university criteria for tenure and/or promotion. The awarding of tenure and/or promotion to an eligible faculty member is made only by a positive action of approval by the president.

**H-2. Notice to the Candidate.** The president shall give notice in writing to the candidate of the granting or denial of tenure and/or promotion by May 1 of the academic year in which the decision is made. (RGP II.G.6.c.) The provost's recommendation shall be forwarded to the candidate at that time. Notwithstanding any provisions in this section to the contrary, no person is deemed to have been awarded tenure solely because notice is not given or received by the prescribed times. If the president fails to notify the candidate of the decision within the required timeframe, it is the responsibility of the candidate to inquire as to the decision.

**H-3. Appeals.** Appeals regarding promotion or tenure may be filed only after the final decision of the president, which shall be considered the institutional decision (see FSH 3840 B-2).

**H-4. Denial of Tenure.** If a faculty member is not awarded tenure, the president, at their discretion, may:

a. Notify the faculty member that the contract year in which the tenure decision is made is the terminal year of employment (RGP II.G.6.k.), or

b. Issue a contract for a terminal year of employment following the year in which the tenure decision is made (RGP II.G.6.j), or

c. Issue to the faculty member contracts of employment for successive periods of one (1) year each. Such appointment for faculty members not awarded tenure must be on an annual basis, and such temporary appointments do not vest in the faculty member any of the rights inherent in tenure and there shall be no continued expectation of employment beyond the annual appointment (RGP II.G.6.j).

d. A candidate who is denied tenure is still eligible for employment at the University in nontenurable positions.

#### **Version History**

**Amended January 2023.** The October 2022 interim revision was permanently adopted.

**Amended October 2022.** President Green adopted an interim revision to G-1 to provide for the formation of an additional University Promotion and Tenure Committee in years when, in the discretion of the provost, the number of dossiers to be considered exceeds the capacity of a single committee.

**Amended July 2022.** In response to feedback collected from faculty and administrators, extensive revisions, clarifications, and editorial changes were made. In addition, the May 2021 temporary emergency changes were permanently adopted.

**Amended May 2021.** President Green adopted temporary emergency changes affecting sections D-1.b. and D-2.e.

**Amended July 2021.** Section A-2.a. was revised to state the purpose of promotion; D-2.e.4. to clarify contents of packet for external review; and F-1 to require consideration of representational balance.

**Adopted January 2020.** The university's promotion and tenure policies were comprehensively revised in order to unify all provisions regarding procedure in the Faculty Staff Handbook and to help faculty and reviewers by clarifying the procedure. The following changes were approved: Deletion of FSH 3520, 3560, and 3570; revision of FSH 3530; and addition of new FSH 3500 and 3510.



## POLICY COVER SHEET

For instructions on policy creation and change, please see <https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

**Faculty Staff Handbook (FSH)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title: **FSH 1640.58 UBUNTU**

**Administrative Procedures Manual (APM)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Originator: Kristin Haltinner, Chair Committee on Committees**

**Policy Sponsor, if different from Originator: Torrey Lawrence, Provost**

**Reviewed by General Counsel**      \_\_\_ Yes \_\_\_ X \_\_\_ No                      Name & Date:

**1. Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

Past chairs and members of Ubuntu have indicated that the committee membership was not working. The EDU had five ex officio seats and it was very burdensome for their offices to staff. We revised this to one voting seat chosen by the Chief Diversity Officer. The name for the Center for Disability Access and Resources needed to be updated. Given the importance of this office’s participation, we also shifted them from ex officio to a voting member. IPO was also shifted to a voting membership.

The faculty roles, undergraduate student roles, graduate student role, and remaining ex officio members remained the same.

The committee also lacked clear term expectations so these were added.

**2. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

None

**3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

None

**4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## UI FACULTY-STAFF HANDBOOK

### Chapter I: HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

#### Section 1640: Committee Directory

---

#### 1640.58

#### UBUNTU

**A. CONTEXT.** Ubuntu, as explained by Desmond Tutu, is essential to the interconnectedness of being human and living in interdependent communities. Ubuntu is affirming and inclusive of others because we all belong to a larger whole which is diminished when any members are humiliated, disrespected or oppressed. People with Ubuntu enrich themselves but do so in ways that enable the community and all its members to also improve. In this spirit the Ubuntu committee is established to advance these ideals.

#### **B. FUNCTION.**

**B-1.** Ubuntu will promote the values of respect, understanding, and fairness within our diverse university experience; review university policies and programs affecting under-represented and/or under-served students, staff, and faculty in consultation with appropriate representatives as necessary across campus; recommend changes and additions in university policies and programs that enhance student/staff/faculty success and advancement. {See also [FSH 4340](#).}

**B-2.** Ubuntu will monitor and advance the university's affirmative action and equal opportunity programs [see [FSH 3060](#)] being a strong and active voice ensuring that the university's programs, activities and services are accessible to persons with learning, sensory, physical and other disabilities. The committee will also work closely with the Americans with Disabilities Act Advisory Committee (ADA) to identify relevant rules and regulations pertaining to specific affirmative action and equal opportunity problems at the university. Ubuntu also recommends policies and procedures to address specific disabled access challenges at the university, consistent with requirements of applicable regulations and regents' policy ensuring that the 'spirit of the law' is followed.

**B-3.** This committee will advise the president on matters of equal opportunity, ensuring that UI's programs, activities and services are available to persons with learning, sensory, physical and other disabilities, and identify avenues for ensuring the campus community creates a fair and inclusive environment for all.

**B-4.** This committee will also discharge such other functions as may be assigned by the Faculty Senate or by the president or the president's designee. It will also submit periodic reports on its activities to the Faculty Senate including recommendations for appropriate program or policy changes (see [FSH 1460](#)).

**C. STRUCTURE.** Four faculty ~~, one of whom serves as chair each serving three-year terms;~~ ~~two~~ Five staff members (including at least one from Staff Council, one from the Office of Equity and Diversity Unit (appointed by the Chief Diversity Officer), a representative from the International Programs Office (appointed by the Director), and a representative from the Center for Disability Access and Resources (appointed by the Director)), each serving three-year terms. ~~;~~ ~~two student~~ Two undergraduate students (including one undergraduate (ASU) the ASUI Director of Diversity Affairs and Inclusion), each serving a one-year term. ~~One~~ one graduate student (appointed by GPSA or SBA), serving a one-year term, one of whom belongs to an under-represented and/or under-served student population ~~and~~ the following ex officio members without vote or their designees: ~~the ASUI Director of Diversity Affairs, Coordinator of Student Support Services~~ a representative from Student Affairs, ~~the Director of Multicultural Affairs, the Director of the Women's Center,~~ a representative from Human Resources, the Director of [the Office of Civil Rights and Investigations](#), ~~the Director of Diversity and Community, the Coordinator for Disability Support Services, the Director of International Programs, the LGBTQA Coordinator, and the Director of the Native American Student Center or the Native American Tribal Liaison.~~ The chair will be chosen by the Committee on Committees and will be a voting member in their third year of service.



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 3440 Compensation of Classified Employees**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Policy originator: Brandi Terwilliger, Director of Human Resources**

**Policy sponsor, if different from originator: Brian Foisy, VPFA**

**Reviewed by General Counsel:  Yes  No** Name & Date: Kim Rytter, 12/27/23

**Comprehensive review?  Yes  No**

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
With the establishment of a market-based compensation system, this revision is necessary to replace the previous language which was based on the previous pay grade system. The primary compensation principles remain intact.
- 2. Fiscal Impact:** What fiscal impact, if any, will this change have?  
None
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
FSH 3260
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

3440

COMPENSATION OF CLASSIFIED-STAFF EMPLOYEES

*PREAMBLE: This section outlines the policy and procedure by which the compensation of UI's classified employees is determined. In its original shape it appeared in the 1979 Handbook; it was rewritten in July 1994 and again in 2003. In 2004 section G was rewritten to create sections G & H, and H became I. In 2008 the policy was revised to remove reference to classified exempt no longer used at the university. Unless otherwise noted, the text is as of July 1996. Further information is available from Human Resources (208-885-3609). [ed. 7-97, 7-00, 7-03, 12-04, 7-08]*

**Contact:** The Office of Human Resources, [hr@uidaho.edu](mailto:hr@uidaho.edu)

**LAST REVISION:** July 2021 (editorial)

CONTENTS:

- A. General Policy
- B. Authority for Establishing Compensation Policy for UI Classified Employees
- C. Administration of UI Compensation Plan *[ed. 7-00]*
- D. ~~In-Grade~~ Salary Increases
- E. ~~Annual Salary Increases~~
- EF. Compensation for Night Work
- FG. Additional Compensation for Classified Staff for Secondary Work Assignments *[add. 12-04, ren. 7-08]*
- G,H. Questions About Salary Equity *[ren. 7-08]*
- H. Voluntary Salary Reductions

**A. GENERAL POLICY.**

**A-1.** The University of Idaho seeks to provide a high level of responsive service in meeting the needs of students, faculty and staff and the general public. To accomplish this mission, it is the policy of the University of Idaho to provide a total compensation system that attracts and retains employees. Recognizing and rewarding employees for performance in the achievement of service delivery goals and objectives through a market-based salary model is ~~the~~ the foundation of this system. This policy addresses only the salary component of the university's total compensation system as it relates to staff employees; it does not address other components, such as health insurance and retirement plans.

**A-2.** Compensation practices should be consistent throughout the university, yet flexible to adapt to specific needs. To this end, employees are compensated according from to a base pay salary structure schedule based on market based on market salary data and weighted factors for 1) education beyond the minimum required for the position, 2) prior experience substantively similar to the position, 3) time -in -service, and 4) time -in -responsibility. Together with market salary data, these weighted factors produce a target salary. Actual salary may differ from target salary due to performance or budget constraints.

**A-3.** The University of Idaho seeks to pay competitive job market average salaries and intends that classified employees with at least satisfactory performance evaluations of "meets/exceeds requirements" should expect to advance according to the base pay salary structure. ~~within the salary range for the pay grade assigned to a classification.~~ *[rev. 7-03]*

**A-4.** ~~Advancement within the salary range shall be based on performance criteria, as recorded in the performance evaluation and the ability to achieve the goals and objectives of the particular position Compensation, and other matters related to classified employees are the responsibility of the president or designee. Oversight of the University of Idaho staff personnel system is within the administrative area of the Division of Finance and Administration which reports to the financial vice president.~~ *[rev. 7-03]*



## UI FACULTY-STAFF HANDBOOK

### Chapter III: EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF Section 3440: Compensation of Classified Employees

**B. AUTHORITY FOR ESTABLISHING COMPENSATION POLICY FOR UNIVERSITY OF IDAHO CLASSIFIED-STAFF EMPLOYEES.** Salary and wage increases for University of Idaho classified employees are made in conformity with state legislation. An annual plan is established by the president in accordance with guidelines issued by the [Board of Regents, RGP V.B.1](#). Initial appointments, promotions, classifications and pay grades, and other matters related to classified employees, are the responsibility of the president or designee. Oversight of the University of Idaho staff personnel system is within the administrative area of the Division of Finance and Administration which reports to the ~~financial~~ [Vice President for Finance and Administration](#). *[rev. 7-03]*

**C. ADMINISTRATION OF THE UNIVERSITY OF IDAHO COMPENSATION PLAN.** The ~~assistant vice president~~ [senior for human resources \(HR\) executive](#) is responsible for maintaining the compensation plan for UI classified employees in conformity with [Board of Regents](#)' policy. ~~No classified employee is to be paid at a rate that is not within the salary range for the class, except as noted in C-5 below. The current salary schedule is available from the office of Human Resources website, www.uidaho.edu/humanresources.aspx. For information on the base pay salary structure, see the HR website, at www.uidaho.edu/humanresources.aspx.~~ *[rev. 7-02, 7-03, 12-04, ed. 7-08, 6-09]*

~~C-1. The classification and pay grade of classified positions are established by Employment Services in consultation with the department administrator and with approval of the dean, director, or vice president. [rev. 7-02, 7-03]~~

~~C-2. The entrance salary for new appointees in any class is ordinarily set between minimum rate and market for that class. In unusual circumstances and when supported by acceptable reasons, appointment at a higher rate may be authorized by the director of employment services and the dean or director. All new appointments are made within the salary range. [rev. 7-02, 7-03]~~

~~C-3. When an employee is reinstated in a previously held position or transferred to another position in the same classification, he or she is generally paid at the same salary. Salary adjustments may be agreed upon by the employee, the department administrator, and the director of employment services. [rev. 7-02, 7-03]~~

~~C-4. The pay grade of a classified position may be changed by any of the following actions:~~

- ~~a. "Reallocation." A change of an entire class of positions from the current pay grade in the compensation schedule to another pay grade of either higher or lower entrance salary.~~
- ~~b. "Reclassification." A change of a single position from the current class to another class to properly reflect the duties and responsibilities assigned to that position.~~
- ~~e. "Refactoring." A change in the number of Hay Points assigned to a class or position.~~

~~C-5. When a particular class or position is reallocated or reclassified to a lower pay grade, the salaries of incumbent employees who are being paid at a rate higher than the maximum provided in the new grade will not be reduced as a result of the reallocation or reclassification. However, the salaries of such employees will generally be held constant and not be increased thereafter so long as they exceed that maximum rate. At the discretion of the dean or director and in consultation with the assistant vice president for human resources, exemplary performance by such employees may be recognized through a bonus adjustment to salary, effective for one fiscal year only. An employee whose position has been reallocated or reclassified is not required to complete a new six-month probationary period. [rev. 7-02]~~

~~C-6. When a particular class or position is reallocated to a higher pay grade, the employee will receive a salary equivalent to or higher than his or her current hourly rate. An employee whose position has been reallocated is not required to complete a new six-month probationary period.~~

~~C-7. When the position of an employee is reclassified to a higher pay grade, the employee will be assigned a salary in the range of the higher grade that provides a salary increase of not less than five percent. Salary increases must have dean or vice president level approval. The reclassified employee is not required to complete a new six-month probationary period. The employee's department is responsible for providing the funding necessary for the required salary increase. [ed. 7-02, rev. 7-03, 12-04]~~

## UI FACULTY-STAFF HANDBOOK

### Chapter III: EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

#### Section 3440: Compensation of Classified Employees

---

~~C-8.~~ When an employee applies and is selected for a position in a higher pay grade, he or she may negotiate the starting pay within the pay grade for the new position [see C 2 above]. Each promoted employee must successfully complete a six-month probationary period in his or her new position unless the employee was previously certified in that class. (For the effect of demotion on salary see 3360 C 4; for the effect on salary of a recommendation for a merit increase in the previously held position, see B 3.) [rev. 7-03, rev. 12-04]

#### ~~D. IN-GRADE SALARY INCREASES.~~

~~D-1.~~ In-grade advancement is not a vested right. While employees should expect to advance within their assigned pay range based upon acceptable performance, advancement is within the discretion of the university. Such advancements are considered as a part of the overall UI budget-setting process and are effective at the beginning of the fiscal year. An employee may advance within the salary range only if certified as meeting the satisfactory service requirements on a written performance evaluation approved for the purpose by the president or the president's designee. Normally, an employee receives only one salary increase per year for satisfactory service. [See also 3380 E.]

~~D-2.~~ Employees who are in probationary status may be recommended for merit increases at the discretion of the department administrator and with the approval of the dean or director; however, merit increases which have been authorized for employees in probationary status are not effective or awarded until the probationary period has been satisfactorily completed. [ed. 7-02]

~~DE. SALARY INCREASES.~~ While employees should expect to advance in salary based upon satisfactory performance and increases in the target salary, advancement is within the discretion of the university. Such advancements are considered as part of the overall UI budget-setting process and are effective at the beginning of the fiscal year. An employee may advance within the salary range only if they meet the satisfactory requirements on a documented performance evaluation on file in HR. Normally, an employee receives only one salary increase per year for satisfactory performance.

Changes in employee compensation are considered annually by the legislature. Salary adjustments reflecting some or all of the following factors may be approved and implemented in accordance with guidelines for UI classified salary adjustments issued annually by the president:

~~ED-1.~~ Changes in the cost of living.;

~~ED-2.~~ Fluctuations in the market cost of different types of labor, which are reflected in payline adjustments to position market rates and employee target salaries; ~~reallocating some classifications to different pay grades;~~

~~DE-3.~~ Equity.

~~D-4.~~ Merit increases based on individual employee performance as documented by written performance evaluation on file in HR.

~~D 4.a.~~ Classified employees who are in their hiring probationary status may be recommended for merit increases at the discretion of the unit administrator with the approval of the dean or director.

~~FE. COMPENSATION FOR NIGHT WORK.~~ A full-time classified employee whose work schedule requires at least 50 % percent of the scheduled ~~his or her~~ working hours during a given pay period to be performed between the hours of 7 p.m. and 4 a.m. is paid an additional shift differential of 5 percent-% of the employee's hourly rate. ~~The department administrator or designee submits an Electronic "Personnel Action Form" to effect the additional payment.~~ [ed. 7-02, 7-03]

#### ~~FG. ADDITIONAL PAY FOR CLASSIFIED STAFF FOR SECONDARY WORK ASSIGNMENTS.~~

## UI FACULTY-STAFF HANDBOOK

### Chapter III: EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

#### Section 3440: Compensation of Classified Employees

---

**FG-1. Classified staff additional appointments.** ~~A member of the e~~Classified staff must be paid overtime for any work that results in the employee working over 40 hours per week, including a secondary work assignment that is not within ~~his/her~~the current job description and ~~is~~ outside the scope of ~~the his/her~~ primary appointment and classification. The secondary work assignment must be performed on a temporary basis beyond the regularly scheduled work week, and ~~be~~ limited in scope (for example, if a senior programmer teaches a special course on a one-time basis; or if an administrative support staff provides assistance one weekend with a special research project in another unit or college). Per federal law, ~~the~~ classified employees must be paid at least 1.5 times ~~their~~his or her regular hourly rate for each hour that is worked over 40 hours per week. The secondary hiring authority may not offer compensatory time in lieu of cash payment of overtime. The secondary hiring authority is responsible for tracking the hours the employee has worked and coordinating with the primary hiring authority for processing the employee's pay via a timesheet. ~~in PHAHOUR. If the employee's wage for the secondary work assignment is set at more than time and a half, the employee should be paid via a Temporary Help — PERSI-eligible (IP) appointment. If the employee is less than full-time, call Employment Services at 208-885-3638/885-3728 for additional information. [add. 12-04, ren. & ed. 7-08]~~

**FG-2. —Exempt staff.** The president or designee can authorize payments in addition to regular salary and these must be reported to the regents in a semi-annual report. See RGP II.C.4., RGP II.F.2., RGP II.G.2. Deans and other administrative officers are responsible for ensuring that required approvals have been granted for employees receiving additional compensation for service that is not part of the employee's position description. See the HR website for additional compensation procedures.

**FG-3. -Staff temporarily working at a higher market rate.** —Supervisors may request a temporary salary increase in pay for classified staff, or additional compensation for exempt staff temporarily performing duties at a higher level than their current permanent position. See the HR website for pay at a higher market rate procedures.

**HG. QUESTIONS ABOUT SALARY EQUITY.** An employee who believes that ~~their~~his or her compensation is not equitable ~~first~~ should ~~first~~ consult with ~~his or her~~their supervisor, and then with the ~~unit~~department administrator ~~and/or the senior HR Executive or both~~director of employment services. In certain situations, the employee also has recourse to ~~the Director of the Office of Civil Rights and Investigations~~Human Rights, Access and Inclusion, or the Ombuds' office or to the grievance procedure for staff employees. ~~[See 3210 A and 3860 A.] [ed. 7-02, 12-04, 7-08, 6-09, rev. 7-03, ren. 7-08]~~

**HI. VOLUNTARY SALARY REDUCTIONS.** Individual requests to reduce one's salary or to reject an increased salary adjustment are discouraged. Should employees make such a request, they must provide a clearly stated reason and the reduction must be approved by the president.

#### Version History

Amended XXXX . Extensively revised to align with current practices.

Amended July 2021. Editorial changes.

Amended July 2009. Editorial changes to C and H.

Amended July 2008. The policy was revised to remove reference to classified exempt no longer used at the university.

Amended January 2005. Section G was rewritten to create sections G & H, and H became section I.

## UI FACULTY-STAFF HANDBOOK

### Chapter III: EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF Section 3440: Compensation of Classified Employees

---

Amended July 2003. Revised A-3, A-4, B, C, C-1, C-2, C-3, C-7, C-8, and H. Editorial changes to F.

Amended July 2002. Revised C, C-1, C-2, C-3, and C-5. Editorial changes to C-7, D-2, F and H.

Amended July 1994.

Adopted 1979.



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 3420 FACULTY SALARIES**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Alistair Smith, FAC Chair**

**Policy sponsor, if different from originator: Torrey Lawrence, Provost**

**Reviewed by General Counsel:**  Yes  No Name & Date: Karl Klein, 3/29/24

**Comprehensive review?**  Yes  No

1. **Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Section E added detailing period of obligation and payroll schedule to align with deferred pay scheme.

2. **Fiscal Impact:** What fiscal impact, if any, will this change have?

3. **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

This is part of a group of policy revisions being proposed to align with the new deferred pay scheme for faculty. The other policies are FSH 3120 Faculty Obligations during Period of Appointment and FSH 4620 Academic Calendars.

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

FACULTY SALARIES

LAST REVISION: July 2019

**A. Purpose.** This policy addresses how faculty salaries and performance increases are determined and the schedule for faculty compensation.

**B. Scope.** This policy applies to all faculty.

**AC. Market Compensation** ~~compensation~~. Salaries shall be determined with reference to nationally validated market salary rates pursuant to a model developed in consultation with the faculty and shall be communicated annually.

**BD. Performance Compensation** ~~compensation~~. If funds are available for performance increases, the following process shall be followed for determining compensation for performance:

**BD-1. Basis:** Performance increases shall be based on the performance of responsibilities in the faculty member's position description. Faculty members must meet expectations in all areas of responsibility; excellence in any category of responsibility can be the basis for a performance increase.

**BD-2. Recommendations:** The relative number of faculty within units in a college shall be considered in determining the number of recommendations for each unit if the number of such recommendations is limited.

**BD-3. Unit Administrator's Report:** The unit administrator shall write a report to the dean recommending faculty for performance increases.

- a. The report shall briefly state the reasons for each recommendation and prioritize the recommendations.
- b. The recommendations shall be closely related to and supported by annual performance evaluations.
- c. The unit administrator may recommend how funds should be distributed.

**BD-4. College Administrative Consultation:** The dean shall confer with the unit administrators and other relevant faculty administrators regarding how to best allocate performance increases within the college to advance the strategic objectives of the units, college and university.

**BD-5. College Recommendation:** Based on the unit administrators' reports and the college administrative consultation, the dean shall recommend performance increases to the provost.

**BD-6. Future Performance:** Unit administrators and deans shall meet with any faculty member who wants to discuss their salary to encourage conversation about future performance.

**E. Schedule of obligation and compensation.** Faculty shall be paid in biweekly increments according to the University's payroll calendar.

**E-1. Academic year appointees**

- a. Academic year period of obligation and compensation. The period of obligation for academic year appointees is 39 weeks; however, payroll is distributed evenly over 20 pay periods.
- b. Summer period of obligation and compensation. The period of obligation and summer salary for academic year appointees shall be negotiated annually according to the needs of the University. The period of obligation and summer salary for academic year appointees shall be negotiated annually

according to the needs of the University, up to the maximum of 13 summer weeks (for years containing 26 pay periods) or 14 summer weeks (for rare years containing a 27<sup>th</sup> pay period).

**E-2. Fiscal year appointees.** The period of obligation for fiscal year appointees is 52 weeks and payroll is distributed evenly over 26 pay periods.

**E-3. Adjustments to payroll schedule.** Payroll schedules may be adjusted in years when the academic calendar does not align with a schedule of 26 pay periods (e.g., rare years containing a 27<sup>th</sup> pay period).

### **Version History**

**Amended July 2019.** This section was completely rewritten to reflect current practices and ensure uniformity across all units.

**Amended January 2009.** Changes to this policy came about to simplify the forms, to include interdisciplinary activities, to tie AE to PD, and to connect to Strategic Action Plan goals.

**Adopted 1979.**



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title: **FSH 4620 ACADEMIC CALENDARS**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Alistair Smith, FAC chair**

**Policy sponsor, if different from originator: Torrey Lawrence, Provost**

**Reviewed by General Counsel:  Yes  No** Name & Date: Karl Klein 3/29/24

**Comprehensive review?  Yes  No**

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
Calendar expanded to note important dates and deadlines; corresponding policy language updated.
- 2. Fiscal Impact:** What fiscal impact, if any, will this change have?  
None.
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
This is part of a group of policy revisions being proposed to align with the new deferred pay scheme for faculty. The other policies are FSH 3420 Faculty Salaries and FSH 3120 Faculty Obligations during Period of Appointment.
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.



**UI FACULTY-STAFF HANDBOOK**  
CHAPTER FOUR:  
ACADEMIC POLICIES AND REGULATIONS

---

4620

ACADEMIC CALENDARS

**LAST REVISION:** January 2024

CONTENTS:

- A. Academic Calendar
- B. Planning Calendars

**A. ACADEMIC CALENDAR.** Each academic year includes two ~~16-week~~ semesters, a summer session between Spring and Fall Semesters, an intersession between Fall and Spring semesters, and short courses that fall within one of these standard sessions. The Fall semester ends shortly before Christmas; the Fall and Spring semesters together must include at least 160 instructional days, including the final-examination period. In each year there are 79 instructional days in the fall semester and 81 in the spring. Changes in the established pattern for the academic calendar require approval by the Faculty Senate and the university faculty.

**B. PLANNING CALENDARS.** For planning purposes, the pattern of the academic calendar ~~in effect for 2021-22~~ has been projected ~~through the year 2027-28~~ as shown ~~on the following page~~ in the link below. ~~In each year there are 79 instructional days in the fall semester and 81 in the spring.~~

[PDF: Academic Calendars](#)

**Version History:**

**Amended January 2024.** Revised to delay all dates for Fall 2025, Spring 2026, and Summer 2026 by one week.

**Amended January 2019.** Minor changes to fall term start dates for 2019 and 2026.

**Amended January 2015.** Updated and reformatted the calendar.

**Amended July 2009.** Changed Faculty Council to Faculty Senate.

**Amended January 2009.** Updated calendar.

**Amended 2001.** Added subsection D.

**Amended February 1991.** Modified subsection A, abolishing the requirement that regents approve all annual calendars.

**Amended 1989.** Updated summer scheduling.

**Amended 1984.** Updated summer scheduling.

**Adopted 1979.**

**UI FACULTY-STAFF HANDBOOK**  
Chapter IV: ACADEMIC POLICIES AND REGULATIONS  
Section 4620: Academic Calendars

January 2019

---

Academic YR Calendar – Summer Start	2024-2025	2025-26	2026-27	2027-28
	2024	2025	2026	2027
Summer session contract begins	Sun, May 12	Sun, May 11	Sun, May 17	Sun, May 16
Summer session classes begin	Mon, May 13	Mon, May 12	Mon, May 18	Mon, May 17
Memorial Day (closed)	Mon, May 27	Mon, May 26	Mon, May 25	Mon, May 31
Summer session classes end	Fri, Aug 2	Fri, Aug 1	Fri, Aug 7	Fri, Aug 6
Summer session grades due	Tue, Aug 6	Tue, Aug 5	Tues, Aug 11	Tues, Aug 10
Summer session contract ends	Sat, Aug 10	Sat, Aug 9	Sat, Aug 15	Sat, Aug 14
Juneteenth (closed)	Wed, June 19	Thurs, June 19	Fri, June 19	Fri, June 18
Fiscal YR contract begins	Sun, Jun 23	Sun, June 22	Sun, June 21	Sun, June 20
Independence Day (closed)	Thurs, July 4	Fri, July 4	Fri, July 3	Mon, July 5
Academic YR & fall semester contract begins	Sun, Aug 11	Sun, Aug 17	Sun, Aug 16	Sun, Aug 15
Payroll Date	Sun, Aug 4	Sun, Aug 3	Sun, Aug 9	Sun, Aug 8
Fall semester classes begin	Mon, Aug 19	Mon, Aug 25	Mon, Aug 24	Mon, Aug 23
Labor Day (closed)	Mon, Sept 2	Mon, Sept 1	Mon, Sept 7	Mon, Sept 6
Fall recess begins	Mon, Nov 25	Mon, Nov 24	Mon, Nov 23	Mon, Nov 22
Fall recess ends	Fri, Nov 29	Fri, Nov 28	Fri, Nov 27	Fri, Nov 26
Fall commencement	Sat, Dec 7	Sat, Dec 13	Sat, Dec 12	Sat, Dec 11
Fall finals begin	Mon, Dec 9	Mon, Dec 15	Mon, Dec 14	Mon, Dec 13
Fall finals end	Fri, Dec 13	Fri, Dec 19	Fri, Dec 18	Fri, Dec 17
Fall final grades due	Tue, Dec 17	Tue, Dec 23	Tue, Dec 22	Tue, Dec 21
Fall semester contract ends	Dec 14	Dec 20	Dec 19	Dec 18
Winter intersession begins	Sat, Dec 14	Sat, Dec 20	Sat, Dec 19	Sat, Dec 18
	2025	2026	2027	2028
Winter intersession ends	Tue, Jan 7	Tue, Jan 13	Tues, Jan 12	Tues, Jan 11
Spring semester contract begins	Mon, Jan 6	Mon, Jan 12	Mon, Jan 11	Mon, Jan 10
Spring semester classes begin	Wed, Jan 8	Wed, Jan 14	Wed, Jan 13	Wed, Jan 12
Martin Luther King Jr. Day (closed)	Mon, Jan 20	Mon, Jan 19	Mon, Jan 18	Mon, Jan 17
President’s Day (closed)	Mon, Feb 17	Mon, Feb 16	Mon, Feb 15	Mon, Feb 21
Spring recess begins	Mon, Mar10	Mon, Mar 16	Mon, Mar 15	Mon, Mar 13
Spring recess ends	Fri, March 14	Fri, March 20	Fri, Mar 19	Fri, Mar 17
Spring finals begin	Mon, May 5	Mon, May 11	Mon, May 10	Mon, May 8
Spring finals end	Fri, May 9	Fri, May 15	Fri, May 14	Fri, May 12
Spring commencement	Sat, May 10	Sat, May 16	Sat, May 15	Sat, May 13
Academic YR & spring semester contract ends	Sat, May 10	Sat, May 23	Sat, May 22	Sat, May 20
Payroll Date /Pay Period #11 for 2024-25; Pay Period end #12	Sat, May 10	Sat, May 23	Sat, May 22	Sat, May 20
Spring final grades due	Tue, May 13	Tue, May 19	Tues, May 18	Tues, May 16
Fiscal YR contract ends	Sat, Jun 21	Sat, June 20	Sat, Jun 19	Jun 18

<b>Academic YR Calendar – Summer Start</b>	<b>2028-29</b>	<b>2029-30</b>	<b>2030-31</b>	<b>2031-32</b>
	<b>2028</b>	<b>2029</b>	<b>2030</b>	<b>2031</b>
<b>Summer session contract begins</b>	Sun, May 14	Sun, May 13	Sun, May 12	Sun, May 11
Summer session classes begin	Mon, May 15	Mon, May 14	Mon, May 13	Mon, May 12
Memorial Day (closed)	Mon, May 29	Mon, May 28	Mon, May 27	Mon, May 26
Summer session classes end	Fri, Aug 4	Fri, Aug 3	Fri, Aug 2	Fri, Aug 1
Summer session grades due	Tue, Aug 8	Tue, Aug 7	Tues, Aug 6	Tues, Aug 5
<b>Summer session contract ends</b>	<b>Sat, Aug 10</b>	<b>Sat, Aug 9</b>	<b>Sat, Aug 15</b>	<b>Sat, Aug 14</b>
Juneteenth (closed)	Mon, June 19	Tues, June 19	Wed, June 19	Thurs, June 19
<b>Fiscal YR contract begins</b>	<b>Sun, Jun 23</b>	<b>Sun, Jun 22</b>	<b>Sun, Jun 21</b>	<b>Sun, Jun 20</b>
Independence Day (closed)	Tues, July 4	Wed, July 4	Thurs, July 4	Fri, July 4
<b>Academic YR &amp; fall semester contract begins</b>	<b>Sun, Aug 13</b>	<b>Sun, Aug 12</b>	<b>Sun, Aug 11</b>	<b>Sun, Aug 17</b>
<i>Payroll Date / Pay Period begin #19</i>	Sun, Aug 4	Sun, Aug 12	Sun, Aug 11	Sun, Aug 10
<b>Fall semester classes begin</b>	<b>Mon, Aug 21</b>	<b>Mon, Aug 20</b>	<b>Mon, Aug 19</b>	<b>Mon, Aug 25</b>
Labor Day (closed)	Mon, Sept 4	Mon, Sept 3	Mon, Sept 2	Mon, Sept 1
Fall recess begins (closed)	Mon, Nov 20	Mon, Nov 19	Mon, Nov 25	Mon, Nov 24
Fall recess ends	Fri, Nov 24	Fri, Nov 23	Fri, Nov 29	Fri, Nov 28
Fall commencement	Sat, Dec 9	Sat, Dec 8	Sat, Dec 7	Sat, Dec 13
Fall finals begin	Mon, Dec 11	Mon, Dec 10	Mon, Dec 9	Mon, Dec 15
Fall finals end	Fri, Dec 15	Fri, Dec 14	Fri, Dec 13	Fri, Dec 19
<b>Fall final grades due</b>	<b>Tue, Dec 19</b>	<b>Tue, Dec 18</b>	<b>Tue, Dec 17</b>	<b>Tue, Dec 23</b>
<b>Fall semester contract ends</b>	<b>Fri, Dec 16</b>	<b>Fri, Dec 15</b>	<b>Fri, Dec 14</b>	<b>Fri, Dec 20</b>
Winter intersession begins	Sat, Dec 16	Sat, Dec 15	Sat, Dec 14	Sat, Dec 20
	<b>2029</b>	<b>2030</b>	<b>2031</b>	<b>2032</b>
Winter intersession ends	Tue, Jan 9	Tue, Jan 8	Tues, Jan 7	Tues, Jan 13
<b>Spring semester contract begins</b>	<b>Mon, Jan 7</b>	<b>Sun, Jan 6</b>	<b>Sun, Jan 5</b>	<b>Sun, Jan 11</b>
<b>Spring semester classes begin</b>	<b>Wed, Jan 10</b>	<b>Wed, Jan 9</b>	<b>Wed, Jan 8</b>	<b>Wed, Jan 14</b>
Martin Luther King Jr. Day	Mon, Jan 15	Mon, Jan 21	Mon, Jan 20	Mon, Jan 19
President's Day	Mon, Feb 19	Mon, Feb 18	Mon, Feb 17	Mon, Feb 16
Spring recess begins	Mon, Mar 12	Mon, Mar 11	Mon, Mar 10	Mon, Mar 15
Spring recess ends	Fri, March 16	Fri, March 15	Fri, Mar 14	Fri, Mar 19
Spring finals begin	Mon, May 7	Mon, May 6	Mon, May 5	Mon, May 10
Spring finals end	Fri, May 11	Fri, May 10	Fri, May 9	Fri, May 14
Spring commencement	Sat, May 12	Sat, May 11	Sat, May 10	Sat, May 15
<b>Academic YR &amp; spring semester contract ends</b>	<b>Sat, May 12</b>	<b>Sat, May 11</b>	<b>Sat, May 10</b>	<b>Sat, May 15</b>
<i>Payroll Date / Pay Period end #12</i>	Sat, May 19	Sat, May 18	Sat, May 17	Sat, May 15
<b>Spring final grades due</b>	<b>Tue, May 15</b>	<b>Tue, May 14</b>	<b>Tues, May 13</b>	<b>Tues, May 18</b>
<b>Fiscal YR contract ends</b>	<b>Sat, Jun 21</b>	<b>Sat, June 20</b>	<b>Sat, Jun 19</b>	<b>Sat, Jun 24</b>





## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 3120 FACULTY OBLIGATIONS DURING PERIOD OF APPOINTMENT**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Policy originator: Alistair Smith, FAC chair**

**Policy sponsor, if different from originator: Torrey Lawrence, Provost**

**Reviewed by General Counsel:**  Yes  No Name & Date: Karl Klein, 3/29/24

**Comprehensive review?**  Yes  No

- Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
Section D-2 revised to clarify work and pay schedule for academic year appointments. Sections D-4 expanded and revised to clarify summer session obligations of faculty with academic year appointments.
- Fiscal Impact:** What fiscal impact, if any, will this change have?  
AY faculty working on non-teaching duties during summer session are eligible to receive a contract for the outside-of-contract period if the work exceeds .125 FTE in a pay period. Additional responsibilities and assignments of a more permanent nature may be considered justification for adjustment of the employee's contracted salary or responsibilities during the academic year, rather than justification for supplemental compensation.
- Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
This is part of a group of policy revisions being proposed to align with the new deferred pay scheme for faculty. The other policies are FSH 3420 Faculty Salaries and FSH 4620 Academic Calendars.
- Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

3120

FACULTY OBLIGATIONS DURING PERIOD OF APPOINTMENT

LAST REVISION: 2020

CONTENTS:

A. ~~A.~~ Purpose

B. Scope

C. Periods of Appointment

D. ~~B. D.~~ Service Obligation

**A. PURPOSE.** This policy sets forth the obligations of faculty during their periods of appointment.

**B. SCOPE.** This policy applies to all faculty at the University of Idaho.

**CA. PERIODS OF APPOINTMENT.** Professional academic personnel are regularly appointed for service either (1) during the academic year (in this context, the "academic year" encompasses the nine full months ending the day after the close of the spring semester) or (2) for the fiscal year beginning on July 1. Faculty salaries are detailed in FSH 3420.

**DB. SERVICE OBLIGATION:**

**DB-1. Service and ~~Faculty-faculty Workloads~~workloads.** Assignments of duties to academic personnel are made by college deans (FSH 1420 D) and departmental administrators (FSH 1420 E) in such a way that the schedule of course offerings will permit each student to complete his or her/their curriculum in the time prescribed in the catalog and so that the research and service functions of the college and department can be carried out. Full-time appointments assume full-time service, but faculty members may engage in outside consulting as provided in FSH 3260.

**DB-2. Academic-~~Year-year a~~Appointments** (see FSH 3710 B-1.-c). Academic-year appointees are liable for duty assignments and are accountable for their service to UI throughout the nine-month period specified in A. This period normally begins before the official opening of the fall semester and before the date that is set by the appointee's dean for mandatory return to on-campus duty. These employees may, alternatively, be permitted to account for service during some mutually agreed different, but equivalent, period (i.e., to engage in research, prepare for classes, advise students, participate in new-student orientation, or perform similar academic functions). The work period for academic year appointments falls within 19.5 bi-weekly pay periods and faculty with this type of appointment will be compensated over 20 bi-weekly pay periods.

**DB-3. Fiscal-~~Year-year a~~Appointments** (see FSH 3710 B-1.-b). Fiscal-year appointees are obligated to perform services for UI throughout the year. Taking eligibility for vacation leave into account, this amounts to approximately 11 months of service each year.

**DB-4. Summer ~~s~~Session ~~Appointments~~obligations for faculty with academic year appointments:**

**a. In general.** Summer and other off-contract activities are not required for University of Idaho faculty. With or without additional compensation, agreeing to perform any duties outside of the normal academic calendar is entirely optional and at the discretion of each individual faculty. Faculty should consult with their associated advisory committees on efforts related to expectations under FSH 3500 but are not required to use off-contract time to meet those expectations. Regardless of whether a summer appointment exists, academic year faculty retain access to essential University services such as email, access to their respective offices, and, where applicable, access to research facilities, outside the normal academic calendar.

**b. Changes in academic policy and procedure.** Administrators should, if possible, avoid using the time outside of

## UI FACULTY-STAFF HANDBOOK

### Chapter III: EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

#### Section 3120: Faculty Obligations During Period of Appointment

July 2000

---

the contract term for academic-year faculty to engage in decision making processes that significantly affect faculty and in which academic-year faculty would normally participate if the processes occurred during the academic year. Administrators should use forethought and sensitivity in asking faculty to devote any time outside of their contract terms for institutional outreach and service, whether compensated or not. They should be especially mindful of actual or perceived imbalances of power between them and faculty members arising from the latter's degree of job security, time at the University, tenure or non-tenure status, or belonging to any group protected by the University's anti-discrimination policies.

#### c. Summer session **teaching obligations for academic year** appointments

1.

**Summer session teaching appointments.** Full-time summer appointments generally call for a basic teaching load of six or seven credits during eight weeks of service. These summer appointments are entirely optional. If the basic teaching load is less than six credits or requires less than eight weeks of service, the summer salary may be prorated accordingly. In addition to the basic teaching load of six or seven credits, faculty load may be increased by the assignment of students registered for research and thesis, directed study, etc. ~~Furthermore, faculty members on summer appointment are expected to perform other routine duties, such as student advising and committee work.~~

2.

-**Selection of summer session teaching faculty.** The selection of faculty members to teach during summer session is based on program needs. In some cases it may be desirable to appoint ~~visiting temporary~~ faculty instead of resident faculty members.

**3. -Timeline for summer session teaching appointments.** Summer appointments are made as soon as practicable following final development of the summer program. This generally means that a faculty member may be approached by the departmental administrator or dean as early as the preceding September to ascertain ~~his or her~~ the faculty member's interest in teaching during the following summer session. The plan for the summer program is generally completed by February 1, and recommendations for summer appointments are normally submitted to the president in March or April.

#### d. Summer session **non-teaching appointments for academic-year faculty**

1. Faculty working on non-teaching duties such as unit, college, or university committee assignments, recruitment initiatives, outreach, extension, administration, sponsored projects, etc., are eligible to receive a contract for the outside-of-contract period if the work is above .125 FTE in a pay period.

2. Additional responsibilities and assignments of a more permanent nature may be considered justification for adjustment of the employee's contracted salary or responsibilities during the academic year, rather than justification for supplemental compensation.

#### Version History

**Amended 2020.** Moved 3240 Section A: Faculty Workloads, which was already cross-referenced with 3120 B, to that



UI FACULTY-STAFF HANDBOOK

Chapter III: EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

Section 3120: Faculty Obligations During Period of Appointment

July 2000

---

section, which also necessitated some renumbering within that section.

**Amended January 2012.** Editorial changes.

**Amended July 2002.** Section C was removed with approval of new language in 3480.

**Amended July 2000.** Editorial changes.

**Adopted July 1979.**



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 4120 CATALOG CHANGE PROCEDURES**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator:** Erin James (chair) and Karen Humes (member), Ad-Hoc Faculty Committee on Undergraduate Academic Certificate in Sustainability

**Policy sponsor, if different from originator:** Torrey Lawrence, Provost

**Reviewed by General Counsel:** \_\_Yes \_\_x\_No Name & Date:

**Comprehensive review?** \_\_Yes \_\_X No

1. **Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Revision is proposed to include “university-wide interdisciplinary committees” as bodies with authority to initiate and submit curriculum changes to UCC (in addition to units and colleges) for programs that involve multiple colleges. This is necessary for logical and proper faculty control and maintenance of curriculum for interdisciplinary programs delivered by faculty across many colleges. Faculty Senate will be the “gatekeeper” for the establishment and oversight of committees empowered by this addition to the language of FSH 4120. Because university-wide programs are relatively rare, similar requests for the creation of other interdisciplinary curriculum committees will likely be rare as well for the foreseeable future. The proposed additions have been reviewed and contributed to by the policy owner (UI Registrar).

2. **Fiscal Impact:** What fiscal impact, if any, will this change have? None

3. **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

No other policies are impacted, however, the University Committee for General Education has always acted as the defacto curriculum body for general education and this addition to 4120 would codify that authority more clearly as well.

In a companion request, the the Ad-Hoc University-wide Faculty Committee for the Academic Certificate in Sustainability is also proposing changes to FSH 1640 to create and

describe a standing committee to initiate and maintain catalog changes for the Sustainability Certificate.

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

# 4120 - Catalog Change Procedures

Last updated: July 2022

**A. PURPOSE.** The purpose of this policy is to provide for appropriate faculty review of catalog changes and to provide for timely processing of those changes so that students have access to accurate catalog information regarding curricular requirements and course offerings.

**B. SCOPE.** This policy applies to all faculty at the University of Idaho.

## **C. DEFINITIONS:**

**C-1. Routine curricular changes.** Changes identified as [Group A changes](#) by the University Curriculum Committee.

**C-2. Substantive curricular changes.** Changes identified as [Group B and C changes](#) by the University Curriculum Committee.

**C-3. UCC.** University Curriculum Committee.

**D. POLICY.** Catalog changes shall be processed with appropriate faculty review in a timely manner in order to provide students with accurate catalog information regarding curricular requirements and course offerings.

## **E. PROCEDURE.**

### **E-1. Routine curricular changes:**

**a.** Each routine curricular change proposal shall be submitted to the relevant unit and college for approval following all notice and approval procedure contained in unit or college bylaws. For inter-college interdisciplinary programs, the proposal shall be submitted to the appropriate university-level interdisciplinary committee for approval following the committee's curricular approval procedures.

**b.** Following ~~unit and college~~ approval by the unit and college or by the interdisciplinary committee, the college or committee shall submit the proposal for review to the UCC. The UCC Secretary will distribute a list of all proposed curricular changes to all university faculty members at least 48 hours before each meeting.

**c.** If approved by the UCC, the UCC Secretary shall send the proposal to the Office of the Registrar for implementation after a waiting period of at least seven days, provided that the UCC Secretary has not received a valid petition signed by at least five faculty members requesting Faculty Senate review.

**di.** If the UCC Secretary ~~timely~~ receives a valid petition as described in E-1.c. by the established deadline, the UCC Secretary shall refer the proposal to Faculty Senate for review, except that a petition concerning courses or curricula in the College of Letters, Arts, and Social Sciences signed by

five members of the college faculty shall be returned to the college for further consideration rather than being sent to Faculty Senate.

**eii.** If approved by Faculty Senate, the proposal will be forwarded to the provost for final approval. If disapproved by Faculty Senate or the provost, the proposal will be sent back to the [unit proposal originator](#) for further consideration.

**iiif.** The Faculty Secretary shall forward all routine curricular changes approved by the provost to the Office of the Registrar for implementation.

## **E-2. Substantive curricular changes.**

**a.** Each substantive curricular change proposal shall be submitted to the relevant unit and college for approval, following all notice and approval procedure contained in unit or college bylaws. For inter-college interdisciplinary programs, the proposal shall be submitted to the appropriate university-level interdisciplinary committee for approval following the committee's curricular approval procedures.

**b.** Following ~~unit and college~~ approval by the unit and college or by the committee, the college or committee shall submit the proposal for review by all appropriate committees. Following such review, the college or committee shall submit the proposal to the provost for approval. The provost shall submit approved proposals to the UCC and return disapproved proposals to the [unit proposal originator](#) for further consideration.

**c.** The UCC Secretary shall distribute a list of all substantive curricular change proposals to all university faculty at least 48 hours prior to each meeting.

**d.** If approved by the UCC, the UCC Secretary shall forward the proposal to Faculty Senate for approval.

**e.** If approved by the Faculty Senate, the Faculty Secretary shall send the proposal to the provost for final approval after a waiting period of at least seven days, provided that the Faculty Secretary has not received a valid petition signed by at least 10 faculty members requesting review at a meeting of the university faculty.

**if.** If the Faculty Secretary ~~timely~~ receives a valid petition as described in E-2.e. by the established deadline, the Faculty Secretary shall place the proposal on the agenda of the next university faculty meeting, except that a petition concerning courses or curricula in the College of Letters, Arts, and Social Sciences signed by five members of the college faculty shall be returned to the college for further consideration rather than being sent to the university faculty meeting.

**gii.** If approved by university faculty, the proposal will be forwarded to the provost for final approval and implementation. If disapproved by university faculty or the provost, the proposal will be sent back to the unit or committee for further consideration.

**hiii.** Any additional required approvals, such as approval by the Board of Regents, shall be managed by the Office of the Provost.

**E-3. Other catalog changes.** Noncurricular catalog changes may be submitted directly to the most relevant standing committee of the university faculty and require approval by

Faculty Senate and the university faculty before being forwarded to the provost for approval.

**E-4. Interim catalog changes.** The provost may approve an interim catalog change (not including curricular changes) to address legal requirements or a significant institutional risk if there is insufficient time to complete the standard review and approval process. A timeline for completing the standard review and approval of the interim catalog change as soon as reasonably practicable must be included in the request to the provost. If approved, the catalog change will go into effect immediately. The standard catalog change review and approval process must be completed during this approved interim period.

### **Version History**

**Amended July 2022.** Moved catalog change procedures into this policy from FSH 1540; simplified approval process.

**Amended 2001. Editorial changes.**

**Adopted 1979.**



## POLICY COVER SHEET

For instructions on policy creation and change, please see <https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 1640.93 UNIVERSITY COMMITTEE FOR ACADEMIC CERTIFICATES IN SUSTAINABILITY**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator:** Erin James (chair) and Karen Humes (member), Ad-Hoc Faculty Committee on Undergraduate Academic Certificate in Sustainability

**Policy sponsor, if different from originator:** Torrey Lawrence, Provost

**Reviewed by General Counsel:** \_\_Yes \_\_x\_No Name & Date:

**Comprehensive review?** \_\_Yes \_\_x\_No

**1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

In September 2023, the Faculty Senate approved the creation of an Ad-Hoc University-wide Faculty Committee for the Undergraduate Academic Certificate in Sustainability. The purpose of that committee was to serve as the curriculum body for developing the initial curriculum for the university-wide certificate, including the solicitation/review of courses and submission of the proposed curriculum to UCC. The curriculum includes courses from nine colleges. Now that the certificate has been fully approved and students will be able to enroll starting in July 2024, we are requesting that a standing committee be created to maintain, review and assess the university-wide undergraduate certificate. The proposed language does refer to the possibility of the standing committee creating another certificate, because there have been requests to develop a similar university-wide certificate at the graduate level.

**2. Fiscal Impact:** What fiscal impact, if any, will this change have? None

**3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

The functions, structure and membership of the proposed committee are similar (but not identical) to that of the University Committee on General Education.

As a companion to this request, an accompanying request for revision of FSH 4120 (Catalog Change Procedures) adds the terms “university-level interdisciplinary committee” to the list of

entities empowered to propose curriculum changes to UCC. The proposed edits to FSH 4120 have been reviewed and contributed to by the policy owner.

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.



**UNIVERSITY COMMITTEE FOR ACADEMIC CERTIFICATES IN SUSTAINABILITY**

**A. FUNCTION**

**A-1.** The University Committee for Academic Certificates in Sustainability (UCACS) serves as the curriculum body for interdisciplinary, university-wide academic certificates pertaining to sustainability. The UCACS develops and maintains the curriculum for the existing university-wide Undergraduate Academic Certificate by soliciting proposals for, reviewing and approving courses to be included in the certificates. The UCACS also decides on the eligibility of courses transferred from other institutions, as well as substitution/waiver requests for the university-wide certificate program. The UCACS also engages in program review and assessment and makes recommendations for the continuous refinement of the certificate. Recommendations for changes will be forwarded to UCC, Faculty Senate, and the university faculty. The UCACS will also be responsible for consideration, development and maintenance of other university-wide certificate programs in sustainability proposed to the committee, such as certificate(s) at other academic levels. In partnership with staff advisors, members will also serve as faculty mentors for students in the academic certificate program(s).

**A-2.** The committee reports periodically (at least once a year) to the Faculty Senate on the status of the university-wide Academic Certificate(s) in Sustainability.

**B. STRUCTURE AND MEMBERSHIP.** One faculty member from each college, appointed by the Committee on Committees for three-year terms, one undergraduate student selected by ASUI and one graduate student selected by GPSA. The chair is selected by the Committee on Committees. The university Sustainability Director and Vice Provost for Academic Initiatives serve as *ex officio*, non-voting committee members.



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title: **FSH 5800 MALIGN FOREIGN TALENT RECRUITMENT PROGRAMS**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator:** Kay Dee Holmes, Assistant Director Research Integrity

**Policy Sponsor, if different from Originator:** Chris Nomura, VPRED

**Reviewed by General Counsel**  Yes  No Name & Date: Manisha Wilson 3/26/2024

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

Department of Defense policies require universities to have a written policy in place regarding malign foreign talent recruitment programs in order to receive DOD funding.

- 2. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

Unclear although not likely to have a fiscal impact. The policy requires research security training for individuals on federally funded R&D awards. Training is available for free on the NSF website or through a paid license to CITI Program. ORED is looking into the possibility of incorporating the free training on the NSF website into an internal system.

- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it. FSH 6240 and FSH 5600

- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy. This policy needs to be effective by July 1, 2024 because the DOD requires universities to have a policy in place by August 8, 2024. Starting August 8, 2024, DOD is prohibited from providing funding or making an award to a university that does not have a policy addressing malign foreign talent recruitment programs. NSF will start implementing the disclosures required under this policy in May 2024. NSF does not require a written policy like DOD but the NSF requirements have been incorporated into this policy.

## FSH 5800

### Malign Foreign Talent Recruitment Programs

**A. Purpose.** This policy implements the requirements stated in 42 U.S.C. § 19231 and provides notice that Covered Individuals participating in a Malign Foreign Talent Recruitment Program are prohibited from involvement in certain federally funded awards. This policy reaffirms that a University employee may be required to disclose that employee's involvement in a Foreign Talent Recruitment Program or Malign Foreign Talent Recruitment Program under FSH 6240 or FSH 5600.

**B. Scope.** This policy applies to University employees that are Covered Individuals.

**C. Definitions.**

**C-1. "Covered Individual"** means:

1. A principal investigator and other senior/key personnel seeking or receiving federal research and development funding; or
2. an individual who (a) contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a federal research agency; and (b) is designated as a covered individual by the federal research agency concerned; or
3. an individual on a proposal or award funded in whole or in part by the Department of Defense who (a) contributes significantly to the design or execution of a fundamental research project, and (b) is considered essential to the successful performance of the fundamental research project.

**C-2. "Foreign Government-sponsored Talent Recruitment Program" or "FGTRP"** means an effort organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). See section H for a list of activities that are not a FGTRP.

- a. Some FGTRPs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals or economic goals of a foreign government.
- b. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of federal research funds while concurrently working at or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to United States entities.
- c. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future

compensation, or other types of remuneration or consideration, including in-kind compensation.

**C-3. “Malign Foreign Talent Recruitment Program” or “MFTRP”** means any program, position, or activity that includes one or more of the following:

- a. engaging in the unauthorized transfer of intellectual property, materials, data products, or other nonpublic information
- b. recruitment of trainees or researchers to enroll in such program, position, or activity
- c. establishing a laboratory or entity in violation of the standard terms and conditions of a Federal research award
- d. accepting a faculty position, or undertaking any other employment or appointment in violation of the standard terms and conditions of a Federal research award
- e. being unable to terminate the foreign talent recruitment program contract or agreement except in extraordinary circumstances
- f. being limited in the capacity to carry out a Federal research award
- g. requirement to engage in work that overlaps or duplicates a federal research award
- h. requirement to apply for and successfully receive funding from the sponsoring foreign government’s funding agencies with the sponsoring foreign organization as the recipient
- i. requirement to omit acknowledgment of the US home institution and/or the federal funding agency
- j. requirement not to disclose participation of such individual in such program, position, or activity
- k. having a conflict of interest or conflict of commitment contrary to Federal research award

and is sponsored by one of the following:

- a. a foreign country of concern or entity based in a foreign country of concern as defined in [42 USC §19237](#)(2) and (3)
- b. an academic institution on [the list developed](#) under 1286(c)(8) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019
- c. a foreign talent recruitment program on [the list developed](#) under 1286(c)(9) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019.

#### **D. Policy**

**D-1. Prohibited activity.** A Covered Individual is prohibited from participating in a MFTRP.

**D-2. Certification required in a proposal and annually by covered individuals.** A University employee who is a Covered Individual on a proposal shall certify in the proposal that they are not party to a MFTRP. Covered Individuals shall certify annually for the duration of a qualifying award that they are not party to a MFTRP.

**E. Consequences for false certifications.** False certifications or representations under this policy by a Covered Individual may result in discipline according to University policy or prosecution and liability pursuant to, but not limited to, 18 USC §§ 287, 1001, 1031, and 31 USC §§ 3729-3799 and 38002.

**F. Research security training requirement.**

**F-1. Training before proposal submission.** A Covered Individual submitting a proposal for a fundamental research project from the Department of Defense or a research and development project from another federal agency is required to have complete research security training within one year of the proposal due date. The proposal may not be submitted unless the research security training has been completed.

**F-2. Refresher training.** A Covered Individual may need to repeat research security training if required by the federal funding agency.

**G. Disclosures by non-Covered Individuals**

**G-1. Disclosures required by all University employees.** All University employees must disclose their participation in a FGTRP or MFTRP to the University as required by FSH 6240. Disclosures shall be reviewed and managed as stated in FSH 6240.

**G-2. Disclosures required by investigators as defined in FSH 5600.** In addition to G-1, a University employee who is an “Investigator,” as defined in FSH 5600, must disclose their participation in a FGTRP or MFTRP. Disclosures shall be reviewed and managed as stated in FSH 5600.

**H. Activities that are not FTRP**

**H-1.** The following international collaboration activities do not constitute a FGTP as long as the activity is not funded, organized or managed by an academic institution or foreign talent recruitment program on [the list developed](#) under 1286(c) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019.

**a.** Scholarly presentations and publishing written materials regarding scientific information not otherwise controlled under current law;

**b.** Participating in international conferences or other international exchanges, research projects, or programs that involve open and reciprocal exchange of scientific information, and which are aimed at advancing international scientific understanding and not otherwise controlled under current law;

**c.** Advising a foreign student enrolled at an institution of higher education or writing a recommendation for such a student, at student’s request; and

**d.** Engaging in the following international activities:

1. Activities that are partly sponsored or otherwise supported by the United States such as serving as a government appointee to the board of a joint scientific fund (e.g., the U.S.-Israel Binational Industrial Research and Development Foundation); providing advice to or otherwise participating in international technical organizations, multilateral scientific organizations, and standards setting bodies

(e.g., the International Telecommunications Union, Intergovernmental Panel on Climate Change, etc.); participating in a Fulbright Commission program funded in whole or in part by a host country government; or other routine international scientific exchanges and interactions such as providing invited lectures or participating in international peer review panels.

2. Involvement in national or international academies or professional societies that produce publications in the open scientific literature that are not in conflict with the interests of the federal research agency (e.g., membership in the Pontifical Academy of Sciences or The Royal Society).
3. Taking a sabbatical, serving as a visiting scholar, or engaging in continuing education activities such as receiving a doctorate or professional certification at an institution of higher education (e.g., the University of Oxford, McGill University) that are not in conflict with interests of the federal research agency.
4. Receiving awards for research and development which serve to enhance the prestige of the federal research agency (e.g., the Nobel Prize).
5. Other international activities determined appropriate by the federal research agency head or designee.

#### **I. Contact Information**

**I-1.** Contact the Office of General Counsel with questions about disclosures made by university employees under FSH 6240.

**I-2.** Contact the Research Conflict of Interest Coordinator at [uifcoi@uidaho.edu](mailto:uifcoi@uidaho.edu) with questions about disclosures required by Investigators under FHS 6500.

**I-3.** Contact the Undue Foreign Influence Coordinator at [ored-export@uidaho.edu](mailto:ored-export@uidaho.edu) with questions about disclosures required by Covered Individuals.

#### **J. Related Policies**

- FSH 3170 – University Ethics
- FSH 5600 – Financial Disclosures
- FSH 6240 – Conflicts of Interest or Commitment



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition x Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **FSH 3490 GENERAL SALARY INFORMATION**

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Brandi Terwilliger**

**Policy sponsor, if different from originator: Brian Foisy**

**Reviewed by General Counsel: x\_\_Yes \_\_No** Name & Date: Karl Klein, 12/7/23

**Comprehensive review? \_x\_Yes \_\_No**

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
Nonpolicy information removed.
- 2. Fiscal Impact:** What fiscal impact, if any, will this change have?  
None.
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
APM 55.05
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

# 3490 - General Salary Information

## Owner:

- **Name:** Brandi Terwilliger
- **Position:** Director of Human Resources
- **Email:** brandit@uidaho.edu

**Last updated:** July 01, 2009

**A. SALARY INFORMATION IS PUBLIC.** The salaries of UI employees are public information and that information may be obtained through the University Library (Department of Special Collections and Archives).

## B. DISTRIBUTION OF PAYCHECKS.

**B-1.** Effective August 1, 2000, newly hired employees will need to designate a bank of their choice to which they authorize direct deposit of their paycheck. Information on procedures is provided at ~~New Employee Orientation and also in the Administrative Procedures Manual~~ [55.05](#).

**B-2.** Paychecks for employees hired before August 1, 2000 will ~~continue to be~~ **mailed available at the cashier's window in Business Systems and Accounting Services on the day Thursday before** the last working day of each biweekly payroll period following the period in which the payroll was earned (i.e. two weeks after the end of the pay period during which the payroll was earned.) If the last day of a payroll period is a holiday, checks will ~~be mailed the day before the pay day. be available on the next working day.~~

**C. INCOME TAX WITHHOLDING.** In accordance with federal and state laws, income tax is withheld from the salaries and wages of UI employees. Each employee is responsible for filing a W-4 online in Vandalweb.n exemption certificate at Human Resources.

**D. W2 forms** Statements of withholdings for income tax (W-2) are available about the third week in January; those for salaried ~~on campus employees~~ are sent to departments for distribution, and temporary help employees and off campus employees ~~will be mailed to the W2 address in the Banner system. pick theirs up at the cashier's window in Business Systems and Accounting Services.~~ When leaving the employ of UI, employees should furnish the Payroll Office the address to which the W-2 form is to be mailed.

Commented [B1]: Not a UI Policy, but a federal requirement





## POLICY COVER SHEET

For instructions on policy creation and change, please see <https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

**Faculty Staff Handbook (FSH)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title: **FSH 1640.36 DISMISSAL HEARING COMMITTEE**

**Administrative Procedures Manual (APM)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title:

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator:** Kristin Haltinner, Chair Committee on Committees

**Policy Sponsor, if different from Originator:** Torrey Lawrence, Provost

**Reviewed by General Counsel**      \_\_\_ Yes \_\_\_x\_\_\_ No                      Name & Date:

1.      **Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

The committee members requested that the Committee on Committees add language so that people serving on the committee are aware of the potential for summer meetings. This notification is a standard practice with/on other committees.

2.      **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

None.

3.      **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

4.      **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## UI FACULTY-STAFF HANDBOOK

### Chapter I: HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

#### Section 1640: Committee Directory

---

#### 1640.36

#### DISMISSAL HEARINGS COMMITTEES

**A. FUNCTION.** This committee will conduct a hearing at the request of a faculty member who has been terminated to determine whether their termination was properly based on the grounds stated (see FSH 3910 D-3 and 3920 D.)

**B. STRUCTURE AND MEMBERSHIP:** The DHC is composed of four faculty members and one administrator at the departmental level or above, six faculty members and three administrators as alternates. Committee members, including alternates, are chosen on the basis of their objectivity and competence and the high regard in which they are held in the UI community. In appointing members the Committee on Committees should attempt to reflect the diversity of the UI faculty. Due to the possibility a case may be appealed to the Faculty Appeals Hearing Board care should be taken in appointing members to both Faculty Appeals Hearing Board and Dismissal Hearings Committee. The term of membership is three years. This committee meets during the summer.

**C. SELECTION:** The faculty member requesting a hearing has the right to substitute up to two members appointed with two others from the alternate list. The provost also has the right to substitute two members appointed with two others from the alternate list. If as a result of substitutions and conflicts of interest there are an insufficient number of faculty members or administrators on the alternate list, the Committee on Committees will be asked to appoint more members to the alternate list as needed. Once the panel for an individual hearing has been determined, it will meet at the direction of the chair of the Dismissal Hearings Committee and elect its own panel chair. In selecting a chair, a tenured faculty member will receive priority.

**C-1. Panel Chair's Role:** Once a panel chair has been selected, he/she will request a meeting with the Faculty Secretary at their earliest opportunity to discuss and review process. The panel chair may request assistance from the Faculty Secretary, Ombuds or General Counsel's office throughout the hearing.

**C-2. Observers:** Both parties may have an advisor or counsel at the hearing.

# University of Idaho

## POLICY COVER SHEET

(See *Faculty Staff Handbook* 1460 for instructions at UI policy website: [www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))  
[3/09]

**Faculty/Staff Handbook [FSH] XX** Addition  Revision\*  Deletion\*  Emergency  
Minor Amendment

**Chapter & Title:** FSH3480 Compensation for Service in Addition to Regular Duties

**Administrative Procedures Manual [APM]**  Addition  Revision\*  Deletion\*  Emergency  
Minor Amendment

**Chapter & Title:** \_\_\_\_\_

All policies must be reviewed, approved and returned by a policy sponsor, with a cover sheet attached to [apm@uidaho.edu](mailto:apm@uidaho.edu) or [fsh@uidaho.edu](mailto:fsh@uidaho.edu) respectively.

\*Note: If revision/deletion request original document from [apm@uidaho.edu](mailto:apm@uidaho.edu) or [fsh@uidaho.edu](mailto:fsh@uidaho.edu), all changes must be made using "track changes."

Comprehensive Review Was Conducted

**Originator(s):**

Brandi Terwilliger 4/11/2023  
Name Date

**Telephone & Email:**

885-3008 brandit@uidaho.edu

**Policy Sponsor:** (If different than originator.)

Brian Foisy \_\_\_\_\_  
Name Date

**Telephone & Email:**

885-7590 brianfoisy@uidaho.edu

**Reviewed by General Counsel**  Yes  No Name & Date: Kim Rytter on 4/10/23

I. **Policy/Procedure Statement:** Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual. a. **Minor clarification edits.** Confirmed changes with Provost Office. b. FAC also made suggested revisions (in brown text).

II. **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
None

II. **Related Policies/Procedures:** Describe other policies or procedures existing that are related or similar to this proposed change.

IV. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

If not a minor amendment forward to: \_\_\_\_\_

Policy Coordinator  
Appr. & Date:  
\_\_\_\_\_  
[Office Use Only]

APM  
F&A Appr.: \_\_\_\_\_  
[Office Use Only]

FSH  
Appr. \_\_\_\_\_  
FC \_\_\_\_\_  
GFM \_\_\_\_\_  
Pres./Prov. \_\_\_\_\_  
[Office Use Only]

Track # \_\_\_\_\_  
Date Rec.: \_\_\_\_\_  
Posted: t-sheet \_\_\_\_\_  
h/c \_\_\_\_\_  
web \_\_\_\_\_  
Register: \_\_\_\_\_  
[Office Use Only]

# 3480 - Compensation for Service in Addition to Regular Duties

Last updated: ~~July 01, 2021~~

A. The president or designee may request a UI exempt employee or faculty member to perform responsibilities or provide services beyond the scope of ~~his or her~~the employee's primary appointment. The president or designee can authorize payments in addition to regular salary and these ~~payments~~ must be reported to the regents in a semi-annual report. See [RGP II.C.4.](#), [RGP II.F.2.](#), [RGP II.G.2.](#) Deans and other administrative officers are responsible for ensuring that required approvals have been granted for employees receiving additional compensation for service that is not part of the employee's position description. [See FSH 3120 for faculty obligations during periods of appointment and summer session.](#)

B. ~~For faculty the~~the following activities are considered additional duties subject to this policy:

~~B-1. Employees~~ ~~T~~eaching during the intersession between fall and spring semesters.

~~B-2. Employee p~~Participation in short-term programs, such as symposiums and conferences, sponsored by UI colleges or departments.

~~B-23. Employees~~ ~~T~~eaching continuing-education courses or for grading correspondence-study courses when such activities are not a part of their regularly assigned responsibilities. No combination of continuing-education or other teaching overloads is to impose a total requirement on the employee's time that is greater than about one additional day a week (exclusive of periods of vacation leave or legal holidays).

~~B-34.~~ Services to UI that are clearly beyond the employee's assigned duties and are not performed on days for which the employee is paid for regular duties. Such services are subject to the limitations on private consulting stated in FSH [3260](#). In addition, prior approval by the employee's departmental administrator must include a certification that:

- a. ~~T~~he work to be performed is an overload,
- b. ~~W~~ork schedules cannot be rearranged to include the work in the employee's regular duties, ~~and~~
- c. ~~N~~o other qualified UI personnel are available to do the work as a part of their regular duties.

[See FSH 3440 for policies regarding compensation for classified staff performing service in addition to regular duties.](#)

## Version History

Amended July 2021. Editorial changes.

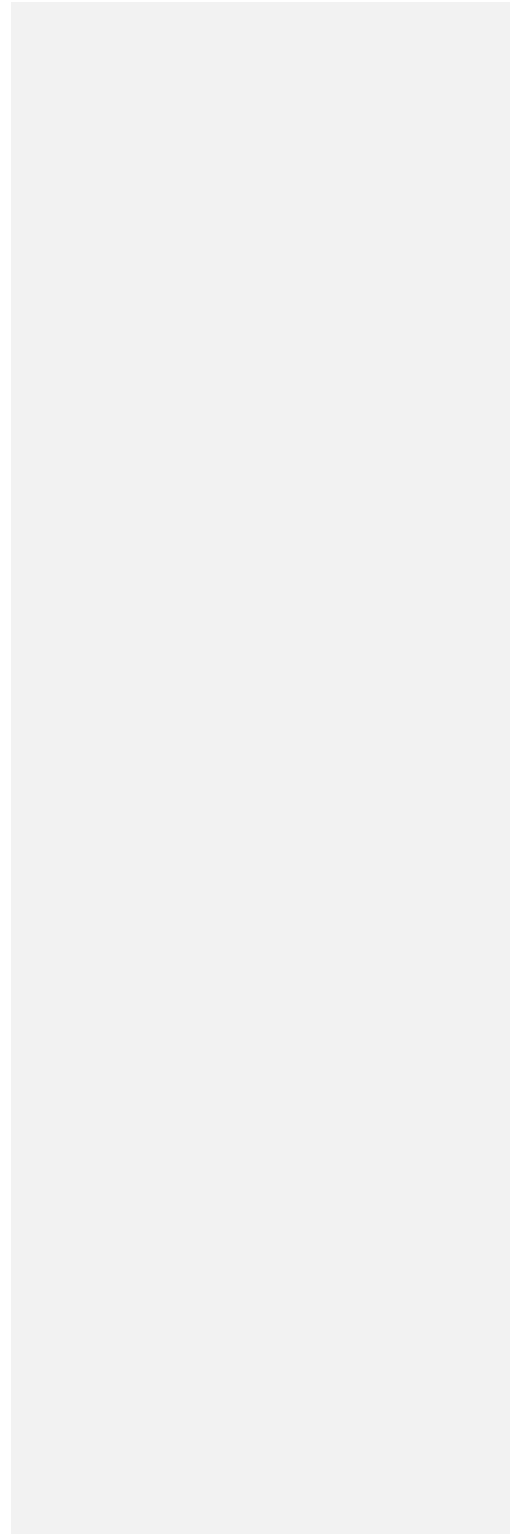
Commented [AS1]: FAC proposed to strike this as its already encapsulated in B-4.

**Amended January 2007.** Editorial changes.

**Amended July 2002.** Revised to incorporate regents' policy changes.

**Amended July 1988.** Revised to clarify what needed regents' approval.

**Adopted 1979.**



## First-Year Admission Requirements

First-year applicants who graduated from high school prior to 1995 must meet the requirements in effect for their graduation year. A degree-seeking applicant applying directly from high school or with fewer than 14 semester credits of transferable college work earned after high school graduation must complete the following:

- 1) Submit high school GPA.
  - a) New first-year applicants with a cumulative GPA of 3.0 or higher are automatically admitted and are not required to submit test scores.
  - b) Applicants with cumulative GPAs of 2.30-2.59 will be admitted through the Vandal Gateway Program.
  - c) Applicants with a GPA below 2.30 are welcome to appeal through our Admissions Committee.
- 2) Submit ACT, SAT, or ISAT test score.
  - a) New first-year applicants that are Idaho residents achieving scores of 3 or higher on both the ISAT Math and Literacy tests are automatically admitted regardless of GPA.
  - b) New first-year applicants with a cumulative GPA between 2.60-2.99 must submit an ACT or SAT test scores. Applicants not submitting an ACT or SAT test score must go through our Admissions Committee.
  - c) Every applicant who has a test score (ACT, SAT, or ISAT) is encouraged to provide it for admission. Providing a test score assists in class placement and may make an applicant eligible for certain scholarship opportunities.

High School GPA	ACT Composite	SAT Verbal + Math	ISAT Math + Literacy
Any GPA	N/A	N/A	≥ Level 3 + 3
3.00-4.00	Test score not required	Test score not required	Test score not required
2.60-2.99*	15+	740+	N/A
2.30 -2.59*	Test score not required	Test score not required	N/A

\*Students with a 2.60-2.99 GPA and an ACT <15 or SAT <740 will be admitted to the Vandal Gateway Program. Students with a 2.30-2.59 GPA will be admitted to the Vandal Gateway Program regardless of test scores.

## First-Year Admission Requirements

First-year applicants who graduated from high school prior to 1995 must meet the requirements in effect for their graduation year. A degree-seeking applicant applying directly from high school or with fewer than 14 semester credits of transferable college work earned after high school graduation must complete the following:

### 1) Submit high school GPA.

a) New first-year ~~students~~ applicants with a cumulative GPA of 3.0 or higher are automatically admitted and are not required to submit test scores.

b) Applicants with cumulative GPAs of 2.30-2.59 will be admitted through the Vandal Gateway Program.

~~b)c)~~ Applicants with a GPA below 2.30 are welcome to appeal through our Admissions Committee.

### 2) Submit ACT, ~~or~~ SAT, or ISAT test scores.

a) New first-year applicants that are Idaho residents achieving scores of 3 or higher on both the ISAT Math and Literacy tests are automatically admitted regardless of GPA.

~~e)b)~~ New first-year applicants with a cumulative GPA between 2.60-2.99 must submit an ACT or SAT test scores. Applicants not submitting an ACT or SAT test score must go through our Admissions Committee. ~~who do not provide test scores will automatically be considered for admission if their cumulative unweighted GPA is 2.60-4.00. Those who have cumulative~~



~~d)c) \_\_\_ GPAs of 2.30–2.59 who do not have test scores will be~~

~~e)d) \_\_\_ admitted through the Vandal Gateway Program.  
Students in~~

~~e) this GPA range are also welcome to appeal through  
our Admissions Committee.~~

2)f) \_\_\_ Every applicant student who has a test score (ACT, SAT, or  
ISAT) is encouraged to provide it for admission ~~as well as class  
placement.~~ Providing a test score assists in class placement  
and may make an applicant eligible for certain scholarship  
opportunities.

Formatted: Font: Not Bold  
Formatted

3) ~~Graduate from a regionally accredited high school with a  
combination of cumulative GPA<sup>1</sup> and test scores<sup>2</sup> as defined in  
the following table:~~

<del>High School GPA</del>	<del>ACT Composite</del>	<del>SAT Evidence-Based Reading &amp; Writing + Math</del>	<del>SAT Critical Reading + Math</del>	<del>ISAT</del>
<del>Any</del>	<del>N/A</del>	<del>Any test score</del>	<del>N/A</del>	<del>≥ Level 3 + 3</del>
<del>3.00 – 4.00</del>	<del>Test score not required</del>	<del>Test score not required</del>	<del>Any test score</del>	<del>Test score not required</del>
<del>2.60 – 2.99*</del>	<del>Any test score 15+</del>	<del>Any test score 740+</del>	<del>Any test score</del>	<del>N/A</del>
<del>2.50 – 2.59</del>	<del>17–36</del>	<del>910–1600</del>	<del>830–1600</del>	
<del>2.40 – 2.49</del>	<del>19–36</del>	<del>990–1600</del>	<del>910–1600</del>	
<del>2.30 – 2.59*</del>	<del>Test score not required 21–36</del>	<del>Test score not required 1070–1600</del>	<del>N/A 990–1600</del>	
<del>2.20 – 2.29</del>	<del>23–36</del>	<del>1140–1600</del>	<del>1070–1600</del>	

\*Students with a 2.60-2.99 GPA and ACT <15 or SAT <740 will be admitted to the Vandal Gateway Program. Students with a 2.30-2.59 GPA will be admitted to the Vandal Gateway Program regardless of test scores.



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

X Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **APM 30.18 CHANGE MANAGEMENT**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Teresa Amos**

**Policy sponsor, if different from originator: Dan Ewart, CIO**

**Reviewed by General Counsel: X Yes** \_\_No Name & Date: Manisha Wilson, 1/9/24

**Comprehensive review?** n/a \_\_Yes \_\_No

- Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
This policy establishes the mechanism for verifying and approving changes to university managed technology resources.

Changes to information systems are required on both a regular and emergency basis to fix issues, add new functionality, address new security and compliance requirements, and improve the user experience. Due to the complexity of modern technology systems, such changes must be carefully reviewed, performed, and vetted as, if done improperly, can cause disruptions, weaken security postures, and cause a loss of data. To address this, as well as assist in the University’s compliance requirements, this policy provides that:

- Changes are performed in a way to minimize risks to the university.
- All security and compliance requirements remain enforced consistent with U of I standards and principles of least privilege and functionality.
- All impactful changes to technology resources are tracked and approved in a timely manner.

- Fiscal Impact:** What fiscal impact, if any, will this change have?

None

- Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

None

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

# 30.18 – Change Management

## Contents:

- A. Purpose
- B. Scope
- C. Definitions
- D. Policy
- E. Noncompliance
- F. Exceptions
- G. Contact Information
- H. References

**A. Purpose.** This policy establishes the mechanism for verifying and approving changes to university managed technology resources.

Changes to information systems are required on both a regular and emergency basis to fix issues, add new functionality, address new security and compliance requirements, and improve the user experience. Due to the complexity of modern technology systems, such changes must be carefully reviewed, performed, and vetted as, if done improperly, can cause disruptions, weaken security postures, and cause a loss of data. To address this, as well as assist in the University's compliance requirements, this policy provides that:

- Changes are performed in a way to minimize risks to the university.
- All security and compliance requirements remain enforced consistent with U of I standards and principles of least privilege and functionality.
- All impactful changes to technology resources are tracked and approved in a timely manner.

**B. Scope.** This policy applies to any changes to technology resources as defined in [APM 30.12, section C-1](#), that could have a negative effect on services or data that are classified as production or high impact by the Change Advisory Board, system/data owner, or other relevant authority.

The scope of this policy does not supersede approved system security plans, laws, regulations, or contractual change management limitations or requirements.

## C. Definitions

**C-1. Change Advisory Board (CAB).** A group that reviews, approves, and prioritizes changes, either explicitly, or through approved processes, and maintains the standards for changes.

**C-2. Change Control Board (CCB).** A group of one or more individuals within projects or dedicated technology that is responsible for ensuring changes adhere to standards. Examples include but are not limited to: subject matter experts, managers, or impacted teams.

**C-3. Emergency Change.** Emergency changes are performed to address unexpected disruptions such as security incidents, application, or server outages that need to be resolved immediately.

**C-4. Normal Change.** All other changes that are not Emergency or Standard Changes. Examples include, but are not limited to, data migrations and software implementations, network, or system configuration changes. Each change has a predefined scope and action plan.

**C-5. Standard Change.** Periodical, low-risk and low-impact changes that follow a standard operating procedure approved by the CAB. Each change has a predefined scope and action plan.

**C-6. System.** A discrete set of resources assembled to store, process, maintain, share, or dispose of data. This includes, but is not limited to, any endpoint devices (desktops, laptops, smart phones, tablets) as well as servers, networks, or third party and cloud services.

## **D. Policy**

### **D-1. Changes**

- a. All changes to Information Technology systems and services must follow a structured process defined or approved by the CAB to ensure appropriate planning, communication, and execution.
- b. Every change requires explicit consideration for the security impact of the change.

- c. Changes that do not meet the requirements set by the CAB or designated CCB for standard or emergency changes must follow the procedure for normal changes.
- d. To ensure emergency changes occur in a timely manner, review and approval of the change occurs after the event during the follow-up activity for the emergency event.

#### **D-2. Change Advisory Board (CAB) membership and responsibilities**

- a. The CAB will be made up of representatives designated by the CIO and published in Change Management standards.
- b. The CAB has the following responsibilities:
  - i. Assess, prioritize, authorize, schedule, and communicate changes in a timely manner.
  - ii. Review emergency changes and request follow-ups or additional documentation as required.
  - iii. Appoint CCBs for minor changes, projects, or dedicated technology.
  - iv. Meet regularly to review upcoming changes.
  - v. Propose and maintain standards for changes and change approval that are approved by CIO.
  - vi. Establish and maintain procedures, guidelines, and processes for changes and change approval, including automated processes.
- c. The CAB may require items prior to approval including but not limited to:
  - i. Additional documentation or communication.
  - ii. An appropriate change window adhering to change window guidelines.
  - iii. Delay in schedule to accommodate risks.
  - iv. Additional mitigations implemented either prior to or post change.

#### **D-3. Change Control Board (CCB) responsibilities**

- a. CCB have the following responsibilities:
  - i. Review and approve in-scope changes in a timely manner as per the standards defined by the CAB or by self-defined standards approved by the CAB.

- ii. Review emergency changes and request follow-ups or additional documentation as required.
- iii. Designate relevant stakeholders as approvers.

b. CCBs may require items prior to approval per D-2 c.

**E. Noncompliance.** Noncompliance with this policy may result, depending upon the nature of the noncompliance, in the user's account or access being suspended to U of I technology resources as stated in Section B.3 of APM 30.12 ([Acceptable Use of Technology](#)).

**F. Exceptions.** Requests for exceptions to this policy may be submitted [through the OIT Support Portal](#). The U of I Chief Information Security Officer will assess the risk and make a recommendation to the U of I Vice President for Information Technology and Chief Information Officer. Exceptions must be reviewed for reauthorization on no less than an annual basis.

**G. Contact Information.** The OIT Information Security Office ([oit-security@uidaho.edu](mailto:oit-security@uidaho.edu)) can assist with questions regarding this policy and related standards. Questions should be submitted through the [OIT Support Portal](#).

#### **H. References.**

UI – APM 30.11 – [University Data Classifications and Standards](#)  
UI – Standards – [Standards for Data Classifications](#)  
NIST 800-171r2 – 3.4.1 (Configuration Management)  
GLBA - 16 CFR § 314.4  
CISv8



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title: **APM 95.24 Vandal Alert Notification System**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator: Shane Keen**

**Policy Sponsor, if different from Originator: Brian Foisy, 1/8/24**

**Reviewed by General Counsel**      XYes No    Name & Date: Kent Nelson, 12/6/22

1.    **Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

Comprehensive review. Language clarified throughout.

2.    **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

None.

3.    **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

None.

4.    **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

To be effective immediately upon approval.



## 95.24 – Vandal Alert Notification System

February 27, 2015

~~Preamble:~~ **A. Purpose.** This ~~procedure was updated in 2015 to~~ policy provides comprehensive guidance for issuing notifications to the University of Idaho community using the Vandal Alert System. -The ~~u~~University's goals are to provide prompt notification of a confirmed situation impacting the university community and to provide instructions for taking action when needed. -These protocols are integrated with and supplement the ~~u~~University's ~~Comprehensive Emergency Management~~ ~~Emergency Operations~~ Plan (~~CEMPEOP~~) and Crisis Communication Plan. -These protocols apply only to the Vandal Alert System; ~~the~~ University of Idaho may use other forms of communication as part of a broader communication strategy.

**B. Scope.** This policy applies to the Campus Community as defined in C-2.

### **AC. — Definitions:**

**AC-1. Vandal Alert System.** ~~+~~ -The Office of Public Safety and Security has overall management responsibility for ~~the~~ Vandal Alert ~~System~~. Vandal Alert is an institution-wide, multi-modal (e-mail, text message, etc.) emergency notification system. All ~~u~~University employees and students are encouraged to sign up for Vandal Alert by visiting: ~~Vandal Alert System~~ <https://www.uidaho.edu/dfa/division-operations/ehs/i-safety/vandal-alert>. Contact data/membership in Vandal Alert is updated daily through an automated process to ensure accurate membership. Students and employees are encouraged to update their Vandal Alert contact information through the ~~Vandal-WebMyUI applicatio~~ ~~application.~~ ~~n-~~ ~~Emergency Management (uidaho.edu)~~ ~~MM~~ Members of the greater Moscow community may also be enrolled in Vandal Alert.

**AC-2. Campus Community.** ~~ty.~~ Campus community means students, faculty, professional personnel, classified staff, volunteers, visitors, and anyone else who is admitted or enrolled in the university, ~~are is~~ participating in programs offered by the university, or who ~~are is~~ employed by, or volunteering at the university.

**AC-2. Emergency Notification (Clery Act Requirement).** ~~+~~ A communication issued to the campus community triggered by an event currently occurring on or imminently threatening the UI campus. -UI will initiate ~~E~~emergency ~~N~~notification procedures for any significant emergency or dangerous situation representing an immediate threat to the health or safety of the campus community.

**AC-3. Timely Warning (Clery Act Requirement).** ~~+~~ An alert issued to the campus community when a ~~Clery Crime~~ is reported ~~and which~~ represents a serious or continuing threat to the campus community. ~~Crime reports often do not require immediate notice (an Emergency Notification), but are released once the pertinent information is available, if available if a notice is deemed necessary.~~

**AC-4. Adverse Weather Notification.** ~~+~~ An alert issued to the campus community when projected or existing severe or adverse weather conditions may impact ~~u~~University operations requiring delays or cancellation of classes or events ~~and/~~ or the closure of a ~~University~~ ~~university~~ facility, site or campus (see APM 95.21, University Closures).

**AC-5. Informational Notification.** ~~+~~ -A notification issued to the campus community that does not meet the criteria for either an ~~E~~emergency ~~N~~notification or ~~T~~timely ~~W~~warning but may be of significant interest to the campus community.

### **BD. Policy and Procedure.**

**BD-1.- Emergency Notification.**- In compliance with The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (20 USC § 1092(f)), Emergency Notifications will be broadcast when the University receives a confirmed report from a cognizant authority (i.e. an law enforcement emergency service authority), that a significant emergency or dangerous situation involving an immediate threat to the health or safety of students, faculty, staff or visitors is occurring on campus. -In those instances, the Executive Director of Public Safety or designee will, without delay, and taking into account the safety of the community, determine the content of the notification and broadcast the notification, unless issuing a notification will, in the professional judgment of responsible authorities, compromise efforts to assist a victim or to contain, respond to or otherwise mitigate the emergency. Emergency Notifications will include instructions to the university community for protective action. When the threat no longer exists, an "all clear" alert will be broadcast. -The Executive Director of Public Safety and Security or designee has the authority to broadcast Emergency Notifications to the University community using the Vandal Alert System. When appropriate, Emergency Notifications may be broadcast through other communication methods (web pages, press releases, printed and/or social media, etc.)

**BD-2. -Timely Warning.** -In compliance with The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (20 USC § 1092(f)), Timely Warnings will be broadcast when a report of murder, sex offense, robbery, aggravated assault, burglary, motor vehicle theft, manslaughter, ~~or~~ arson, or other (Clery Act Crime.s) is received by campus security authorities and, in the judgment of the institution, the crime at issue poses a serious or continuing threat to students and employees.

The Executive Director of Public Safety or designee will broadcast Timely Warnings using the Vandal Alert system in a manner that is timely and will aid in the prevention of similar crimes, unless issuing a warning will, in the professional judgment of responsible authorities, compromise efforts to assist a victim or to contain, respond to or otherwise mitigate the threat.- The intent of a timely warning is to enable people to protect themselves and/or their property. -Timely Warnings will be issued as soon as pertinent information is available. Timely Warnings may also be made for other crimes (non-Clery crimes) that pose a serious or continuing threat to the campus community.- The Executive Director of Public Safety and Security or designee has the authority to broadcast Timely Warnings to the University community. When appropriate, Timely Warnings may be broadcast through other communication methods (web pages, press releases, printed and/or social media, etc.)

**BD-3. -Adverse Weather Notification.** -Adverse weather notifications will be broadcast when significant severe weather conditions exist that may have an impact on university operations and when the University of Idaho President or designee makes a decision to close or delay opening a UI facility. -The University Emergency Manager monitors weather conditions, participates in the National Weather Service weekly briefing and makes recommendations for taking appropriate actions in the event of a weather-related emergency (see APM 95.21, University Closures). -The UI President or designee has the authority to close or delay opening a UI facility. When a designee makes a decision to close or delay opening a UI facility, they will notify the UI President's office and the Office of Public Safety and Security. -The Executive Director of the Office of Public Safety and Security or designee has the authority to broadcast an Adverse Weather Notification, and to notify the University community of approved closures or delays.

**BD-4. -Informational Notification.**- Informational Notifications will be broadcast when a reported crime or emergency does not meet the criteria for other alerts, but, in the judgment of the institution, the campus community should be notified about an incident. -Situations that may be appropriate for broadcasting an informational notification include incidents or crimes occurring off campus that may have an impact on student or employee security interests; violent crimes in which the perpetrator or suspect has been apprehended or is known not to be on campus; or incidents that may generate significant interest across the campus community. -The Senior Director of Communications ~~Director of Integrated Communications~~ or designee has the authority to broadcast an Informational Notification.

**BD-5. Vandal Alert System Testing.** -The University Emergency Manager will test the Vandal Alert System on an annual basis. -Test messages may be broadcast using a single mode or may combine multiple modes of the system. -Test messages will clearly state in the subject line that there is no actual threat or emergency and that the purpose of the notification is to test the system and/or response plans and capabilities.- To the extent possible, system tests will be combined with emergency response drills and will include follow-up assessment and review.

**CE. Contact Information:**

The Office of Public Safety and Security  
875 Perimeter Drive, MS 2427  
Moscow, ID 83844-2427  
208-885-2254  
[campus-security@uidaho.edu](mailto:campus-security@uidaho.edu)



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title: **APM 45.03 DEFINITIONS FOR GRANTS, CONTRACTS AND GIFTS**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator: Sarah S Martonick**

**Policy Sponsor, if different from Originator: Chris Nomura**

**Reviewed by General Counsel**      Yes  No     Name & Date: Manisha Wilson, 6/7/23

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.  
Comprehensive review. OSP team and the UI Foundation staff reviewed APM 71.52 and determined it should point to APM 45.03, and focused revisions in APM 45.03. Minor revisions only with no procedural additions, only clarifications and updates for use of TDX vs. paper forms.
- 2. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
None
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
APM 71.52
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## 45.03 -- Definitions for Grants, ContractsDetermination of Sponsored Project Versus and Gifts

Last updated 19 August, 2005

A. Purpose. This policy addresses the policy and process for determining the classification between “gifts” and “sponsored projects.”

B. Scope. The policy applies to any external funding agreements in which questions arise over whether the agreement is a gift or a sponsored project (grant, contract, etc.).

General. The university may enter into agreements with external funding agencies in which a question may arise over whether the agreement is a gift or a grant/contract. The following sections differentiate between a gift, grant or contract.

### C. Definitions.

B-4C-1. Grant or ContractSponsored Project. A sponsored project grant or contract is a proposal that could result in an agreement based on an authorized proposal or application submitted by the university. The university accepts the awarded funding based on an agreement in writing, and assumes an obligation to provide a deliverable in exchange for such funding. Examples of a deliverable include but are not limited to the following: Pperforming specific research to accomplish, accomplishing a specific objective, ee, providing a service, er producing a product, or committing to a specific line of scholarly or scientific inquiry. Separate accountability and oversight for the funds received is requiredgenerally applicable. State and federal financial assistance funds are almost always classified as a sponsored project.

B-2C-2. Gift. A gift can be made in the form of a contribution of money, a legally enforceable pledge cash, check, bank credit card charge, ACH/wire, marketable security, personal or real property or crypto currency. A gift can be based on a proposal or application. The term “gift” may also include s grants made with philanthropic intent. By accepting a gift, the university assumes no liability to provide a deliverable, only the obligation to use the gift for the general purpose(s) stipulated by the donor. Overall, there will be no reporting requirements and there should not be a specific commitment for personnel effort or milestones. However, periodic reporting and a final accounting could be required by the donor without jeopardizing classification as a gift. Usually, there are no separate accountability requirements for each contribution, and the amounts received may be commingled with contributions received for similar purposes.

C-3. Deliverable.: A deliverable is an item of value (tangible or intangible) expressly noted as an exchange item, and resulting from a funded sponsored project.

CD. Information and/or ClarificationPolicy. Inevitably, there will be situations when the In the event that classification of a grant-sponsored project or gift will be is unclear. When such situations arise, personnel in the Grants and Contracts Office of Sponsored Programs (OSP) @ (208) 885-668951 and , and the Foundation Gift Administration (UIF) -staff (UIF) @ (208) 885-4000 Gift Administration Corporate and Foundation Relations (CFR) Office @ (208) 885-70606796, will jointly decide the proper classification and administration of the award. The decision may include consultation with personnel in the offices of Strategic Corporate Partnerships or Strategic Foundation Partnerships. The unit who that intends to submit the proposal or receive the funding must submit the appropriate determination request in advance to allow OSP and UIF and CFR Strategic Partnerships time to review and jointly determine how to best to classify the proposal or funding.

E. Procedure. The UI has established the following determination procedure for classifying a proposal as a gift or a sponsored project:

E-1. The principal investigator or project director should ~~complete the determination worksheet and email it to CFR and OSP along with a draft proposal~~ submit a ~~determination request ticket for Gift vs Grant Determination to OSP and CFRUIF~~ via the ITS Service Catalog website for Office of Sponsored Programs/OSP Administrative and Technical/Gift vs Grant Determination, ~~which includes a budget and the guidelines or link to the funder's website.~~

E-2. CFROSP and OSPUIF coordinate the process and are the only entities authorized to make this determination.

E-3. CFROSP or OSPUIF will notify the PI of the decision, and CFRUIF will provide the appropriate IRS 501(c)(3) letter if needed.

- a. If the proposal is determined to be a gift, the PI submits it directly to the funder under the UI Foundation's name and 501(c)(3) status. When the funding arrives, the UI Foundation applies it ~~deposits it into the appropriate gift index~~ designation. Funds will be made available in the appropriate UI gift index via the Foundation's monthly gift budget/reimbursement process.
- b. If it is determined to be a sponsored project, the PI enters the proposal in VERAS and uses the University of Idaho's name and 501(c)(3) status. When the funding notification arrives, OSP creates a separate index and fund for tracking purposes and deposits the monies received into the appropriate sponsored project index.

#### F. Contact Information.

- Corporate and Foundation Relations-[cfrelations@uidaho.edu](mailto:cfrelations@uidaho.edu) (208) 885-7060 University of Idaho Foundation, Inc.: [gifts@uidaho.edu](mailto:gifts@uidaho.edu), -(208) 885-4000;
- Office of Sponsored Programs: [osp@uidaho.edu](mailto:osp@uidaho.edu), (208) 885-6651



## POLICY COVER SHEET

For instructions on policy creation and change, please see <https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title: **APM 45.04 NOTICE OF SPONSORED PROJECTS AND ESTABLISHMENT OF BUDGETS**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator:** Sarah Martonick

**Policy Sponsor, if different from Originator:** Chris Nomura

**Reviewed by General Counsel**      Yes    No  
5/18/2023

Name & Date: Manisha Wilson,

1.     **Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.  
Comprehensive review. Revisions are necessary to bring policies up to current requirements for sponsored project regulations, and to clarify Chart V nomenclature (budget vs. fund/index, etc.).
  
2.     **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
  
None.
  
3.     **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.
  
4.     **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## 45.04 -- ~~Notice of Sponsored Projects and Awards and~~ Establishment of Budgets/Financial Setup

January 3, 2012 (rewrite)

**A. Purpose.** This ~~APM section~~ policy clarifies the process by which an award from an external sponsor is accepted and subsequently set up and budgeted for spending in the University's financial system.

**B. Scope.** This policy is applicable to all external funding classified as a "sponsored project."

~~**A. General.** Notices of awards for sponsored projects may be received through various funding vehicles. This APM section clarifies the process by which an award from an external sponsor is accepted and subsequently set up and budgeted into the Banner system.~~

### ~~C.B. Definitions:~~

**~~CB-1. Notice of Award~~ award.** Any of various funding vehicles used by external sponsors to indicate that the sponsor is making a commitment to fund a proposed scope of work. ~~It may take the form of a grant notice requiring no additional signatures; a formal contract and/or agreement requiring signatures of one or more parties; an award letter which may or may not include a check payment in advance; or a purchase order; or any other contractual agreement mechanism which may require the acceptance of a specific set of terms and conditions.~~

**~~C-2. Fully Executed.~~ A fully executed award is one in which all parties have indicated their acceptance of the terms and conditions via the signature of the appropriate authorized representative, when such signaturee(s) areis required.**

**~~DC. Policy.~~** If a unit receives ~~such~~ a notice of award, they should verify ~~that whether~~ the ~~original~~ award notice ~~includes has been received by communication to~~ the Office of Sponsored Programs (OSP), and if not, ~~forward share that information~~ the notice to OSP as quickly as possible. ~~The Director of OSP, or her/his~~ their designated representative, is the only person authorized to sign ~~for on behalf of~~ the University. ~~Principal Investigators (PIs), unit administrators, college deans, and other University staff are not authorized to sign accepting external funding for sponsored projects on the University's behalf.~~

### ~~ED. Process/Procedures:~~

**~~ED-1. Request for Prior R~~ review and/or Approval ~~approval~~ of Award ~~award d~~ Documents.** PIs, and as appropriate unit administrators ~~and/or~~ college deans, must review and approve award documents prior to OSP signing the award (if signatures are required). ~~initiating the budget set-up process.~~ Any requested changes to the agreement(s) must be submitted to ~~the~~ OSP. Negotiation of any changes requested are the responsibility of the ~~OSP~~ Contract Review Officer ~~Unit~~ (CROU) ~~for negotiation with the sponsor prior to official~~



acceptance of the award. (Note: Establishment of a budget and spending authority will be delayed until an approved and fully executed agreement is received by ~~the~~ CR/OOSP. (See APM 45.05 when an Early Setup is requested)).

**E-2. Compliance Protocols.** If a sponsored project has indicated that compliance oversight is required, ~~including, but not limited to the use of human subjects, animals, or biohazards,~~ authorization from the relevant compliance oversight committee must be received, when applicable, -prior to financial set up. ~~The ORA review and oversight policy shall apply if appropriate. Examples of areas of compliance oversight include but are not limited to the use of human subjects, animals, or biohazards., if then applicable as determined by ORA review and oversight committee policy, prior to financial setup.~~

**ED-32. Budget-Financial sSet-uUp.** After the award is fully executed and any required compliance approvals are in place (all required signatures), the following steps will be completed:

- OSP will establish a budget-grant code, and one or more funds and indexes number. ~~This budget number~~ These items -will constitute financial spending authority for the PI to charge the applicable direct expenses associated withto the project for up to the amount currently funded by the sponsor and within the rebudgeting limitations (if any) set by the sponsor.
- Once ~~the budget is~~ financial set up is complete, notification will be sent to the PI(s) and the Departmental Grant Administrator (DGA) with the budget-relevant information and a copy of the award document. ~~Both~~ of these documents should be reviewed carefully when received, and the budget verified for accuracy.

**FE. InformationContact iInformation.** Any questions regarding notices of sponsored projects should be addressed to the Office of Sponsored Programs at 208-885-6651 or osp@uidaho.edu.



## POLICY COVER SHEET

For instructions on policy creation and change, please see <https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

**Faculty Staff Handbook (FSH)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title:

**Administrative Procedures Manual (APM)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title: **APM 45.06 Allowable and Unallowable Sponsored Project Expenditures**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Originator:** Sarah Martonick

**Policy Sponsor, if different from Originator:** Chris Nomura

**Reviewed by General Counsel**     Yes  No                      Name & Date: Manisha Wilson  
12/29/23

1.    **Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

Update format to match standard APM style, clarify policy and process in the document, add clarity on federal guidance and oversight for participant support costs, use consistent language of other APM’s (DGA, unit administrator, their delegate, etc.).

2.    **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

None

3.    **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

APM 45.09 and FSH 5100 referenced within but no changes to those needed

4.    **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## 45.06 Allowable and Unallowable Sponsored Project Expenditures

~~December 2018 (rewrite combined 45.06 & 45.18)~~

### A

**A. Purpose.** The purpose of this policy is to ensure that expenses charged to externally-funded sponsored projects comply with federal, sponsor, state, and university requirements.

**B. Scope.** This policy applies to any external funding determined as being a sponsored project must follow this guidance.

### C. Definitions:

**AC-1. Allowable Costs.** For a cost to be regarded as an allowable charge to a sponsored project, it must satisfy the four conditions below as per the federal ~~regulation~~requirements outlined in 2 CFR 200 or any such future federal guidance as may become applicable:

**a. Reasonable.** A cost is considered reasonable if the nature and the amount involved for goods or services acquired or applied reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made ~~(. 2 CFR 200.404).~~

**b. Allocable to sponsored agreements.** A cost is considered allocable to a particular project if the goods or services involved are chargeable or assignable to the project in accordance with relative benefit received or other equitable relationship. Subject to the foregoing, a cost is considered allocable if:

- it is incurred solely to advance the work under the sponsored agreement;
- it benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable methods~~;~~
- it is necessary to the overall operation of the institution and is deemed to be assignable in part to sponsored projects ~~(2 CFR 200.405).~~

2 CFR 200.405.

**c. Consistently ~~Applied~~applied.** Costs must be given consistent treatment by applying them uniformly to both federally-financed and other activities of the institution ~~(. 2 CFR 200.403).~~

**d. Conforming to any limitations or exclusions.** Costs must conform to any limitation set forth in the federal guidance, or in the sponsored award itself, as to types or amounts of cost items ~~(. 2 CFR 200.403).~~ Certain costs are designated as expressly unallowable.

**AC-2. Unallowable Costs.** Costs that fail to meet any of the four conditions described above will be treated as unallowable. Questions regarding the allowability of costs should be directed to the Office of Sponsored Programs, (208) 885-6651 or emailed to osp-cost@uidaho.edu.

**BD. Policy.** The University, as a recipient of sponsored project funding, must comply with all regulations and standards established by the federal government and other sponsoring agencies. The Federal Office of Management and Budget (OMB) is responsible for setting

forth the general principles and practices for federal costing standards associated with federally sponsored project activity.

All sponsored projects are subject to regular review and any expenses charged against sponsored projects must be consistent with federal guidance, University policies and procedures, and sponsor requirements. -The primary responsibility for ensuring that only proper expenditures are charged to sponsored project budgets rests with the Principal Investigator (PI). -The Office of Sponsored Programs (OSP) is responsible for monitoring adherence to all federal, state, and other cost-related restrictions on sponsored projects ~~via the methods detailed in Section D.~~

**BD-1. Responsibility for ~~Compliance~~compliance.** The general University mandate is that all employees act as responsible stewards of resources and assets under their control (FSH 3170).

**a. Principal Investigator (PI).** Under UI policy, the PI bears primary responsibility for ensuring the appropriateness or allowability of all costs on sponsored projects. (FSH 5100).

**b. ~~A~~Departmental Grant Administrator (GADGA).** ~~A Departmental Grant Administrator (DGA)~~ is charged with assisting PIs in reviewing, justifying, charging and tracking costs, and is also responsible for making certain that expenditures are charged against awards in a manner that is consistent with applicable federal regulations, sponsor conditions, and University policies.

**c. ~~The Unit Administrator~~Unit administrator.** ~~The unit administrator~~ (department chair/head/director) is responsible for implementing procedures to ensure adherence to federal cost principles including allowability, accounting regulations, and University policies. Charges which have been determined to be unallowable to sponsored projects will be apportioned to the sponsoring unit or college for payment. (FSH 5100).

**d. College deans and Vice President for Research and Economic Development.** Oversight of these procedures lies within the authority of the College Deans or equivalent, for units, and the Vice President for Research and Economic Development, for institutes, or their delegates. Decisions regarding the source(s) of repayment of unallowable costs and any penalties and interest charges shall be made by the Dean and/or the Vice President for Research and Economic Development.

**e. Employees.** Employees are encouraged to use the confidential hotline, speak to the Ombuds Office, or speak with their direct supervisor, college finance director, chair, director, dean or OSP in cases where there is undue influence to process charges that are unallowable. Employees should note that protections are afforded through federal and University policies to prevent retaliation in such instances. It is a violation of University policy for any employee to engage in retaliatory conduct, see FSH 3810. ~~As public employees, University faculty and staff are responsible for reporting any actions by University employees that are illegal or incompatible with the conscientious management of resources and assets of, or entrusted to, the university.~~ University employees are responsible to report unethical behavior when it is encountered. (FSH 3170).

**D-2. Unallowable expenses.** OSP reviews expenditures periodically through the life of a sponsored project budget and prior to closeout based on the information in the University's financial system. If through this review it is determined that an unallowable expenditure has been assessed to a project, OSP will contact the responsible departmental grant administrator to either correct the transaction or perform a review of the facts associated with the assessment of the expenditure.

The review will identify who was responsible for the assessment of the expenditure, the circumstances surrounding placement of the unallowable expenditure on a sponsored project budget, and where the expenditure is to be transferred. OSP may be consulted to assist in the review process to ensure allocation of costs is completed in accordance with existing regulations, award conditions, and applicability to the scope of the project. Action, such as a review of policies and procedures, identification of resources available in making cost determinations, and improvement of internal controls, will be taken by the college to ensure unallowable costs are not placed on sponsored projects in the future. Based upon the review, the college will determine the severity of the infraction and the potential for recurrence. Taking into consideration the severity and potential for recurrence, the college will make a recommendation for resolution.

Once a review has been completed, any unallowable expenditure(s) shall be removed from the sponsored project budget and placed on an unrestricted University budget. If an unrestricted University budget is not available, the expenditure(s) will be deducted from the facilities and administrative costs returned annually to the college. Copies of all back-up documentation for the review process and associated transfers must be retained by the college. OSP has access to view these transfers within the university's enterprise applications should the need arise. Any resolution and provision of necessary paperwork will not preclude OSP from conducting a full review of sponsored project activity within the area under review.

This process shall also be used if an unallowable expense is placed on a project and the unallowable expense is identified by persons other than OSP.

If it is determined that the potential for recurrence is high, the Office for Research and Economic Development (ORED), with the concurrence of the college, will require the individual to take or retake training offered by OSP.

If an individual commits the same infraction or fails to comply with responsive actions required, the individual's repeated actions may be referred for review by an ad hoc committee comprising the Associate Vice President for Research and Economic Development, the dean or dean's designee of the individual's college(s), a representative from OSP, a representative of the University controller, and two peers. A representative from HR and internal audit will be included in an advisory capacity. The committee will review the available facts and make recommendations for further investigation or remedial and/or disciplinary action to the appropriate individual(s). **Process/Procedures:** Recommended employee disciplinary action will be made to the individual's supervisor and unit administrator or dean, and any such action shall be at the discretion of the appropriate supervisor and shall proceed in accordance with the employee disciplinary procedures in the applicable University policies. Recommendations for nondisciplinary remedial actions, such as required training or revocation of access to manage sponsored project activity, shall be made to the Vice President for Research and Economic Development. Nothing herein shall limit the authority of an individual's administrative unit or ORED to otherwise impose discipline or

[remedial activities within their existing authority and without referral to the above-described committee.](#)

**E. Procedure.** Expenditures incurred for sponsored projects typically fall into one of the following classifications: salaries; fringe benefits; temporary hourly employees; travel; operating expenditures; equipment <\$5k; capital outlay >\$5k; ~~subcontracts; >\$5k; subawards; participant support,~~ and tuition remission, fees, stipends and Student Health Insurance Program (SHIP). The following guidelines provide assistance to assure that all charges against sponsored projects are correctly processed.

#### **~~CE-1. Salaries.~~**

- For externally-sponsored awards, an individual's rate of pay may not be charged in excess of the institutional base salary rate received for that individual's regular appointment.
- Payroll expenditures and changes to an individual's effort percentage are to be processed in a timely manner through Banner Electronic Personnel Action Forms (EPAFs).
- EPAFs to terminate personnel from sponsored projects ~~must~~**should** be processed prior to the award end date to reduce the necessity for [labor redistributions \(formerly payroll cost transfers\).](#)
- EPAF and any Banner records must accurately reflect the percentage of time individuals are working on a given project and ~~be~~ verified regularly via [Personnel Activity Reports \(PARs\)Banner Effort Reporting](#) as per [APM 45.09](#).
- Payroll and budget reports should be produced and reviewed regularly to ensure that projects are not over budget.
- All leave is to be charged to the appropriate ~~budgets;~~[account\(s\)](#), as it is taken. Terminal leave is paid through a consolidated fringe benefit rate. See ~~CE-2~~. All [salaried](#) employees who are paid in whole or in part from sponsored projects, federal funding, or committed cost share must complete ~~a PAR as per APM 45.09~~[an effort report as per APM 45.09](#).
- For guidelines on Faculty Summer Salary Release, see <https://www.uidaho.edu/provost/faculty/salary-information>

#### **~~CE-2. Fringe Benefits.~~**

- **~~benefits.~~** The university pays fringe benefits through a consolidated [fringe](#) rate negotiated annually or as required with the Department of Health and Human Services. Rates are assigned based on the employee's position class of faculty, staff, or student. ~~Check the~~ [OSP Budget Office](#) website for current rates.

#### **~~CE-3. Temporary Hourly (TH) employees. Employees.~~**

- The guidelines issued above for ~~Salaries~~[salaries](#) are also applicable to TH employees [with the exception of effort reporting.](#)

#### **~~CE-4. Travel.~~**

- The purpose of travel must be in direct support of project objectives.
- Travel must take place within the time period of the project.

- Reservations or airline tickets cannot be purchased with sponsored project funds if the actual travel occurs before the start date or after the termination date of the project.
- All travel charges must be documented by receipts.
- Allowable travel expense rates must comply with UI travel policy, the terms of the agreement, or agency requirements, if morewhichever is most restrictive.
- All foreign travel must be registered with the International Programs Office before travel is undertaken.
- All foreign air travel on federal funds must comply with the Fly America Act. A link to this Act, and additional information are available on the OSP website.OSP website.

#### **EE-5. Operating ~~Expenditures~~expenditures**

- Operating supplies and services must be purchased and received during the time period of the project.
- Operating supplies and services must provide a direct, verifiable benefit to the funded project.
- It is not an acceptable procedure to “stockpile” supplies at the end of a project period. Such stockpiled supplies would not reflect a direct and verifiable connection to the project being funded and may result in an obligation back to the sponsor ~~(2 CFR 200.314).~~

#### **EE-6. Capital ~~Outlay~~outlay**

- Capital outlay (CO) is defined as items having a useful life of more than one year and a cost of \$5,000 or more.
- Capital outlay items must be purchased during the time period of the project: and in accordance with Purchasing requirements.
- Capital outlay items must be received with enough time remaining on the project to benefit the project.
- See APM 10.40 Property Inventory and Products for tracking and accountability. ~~[Note: Some agencies place lower dollar limits on items that must be inventoried and insured.]~~
- Transfers into and out of the CO category can affect the F&A allocation on a sponsored project. Budget transfers into or out of the CO category require OSP involvement.

**EE-7. ~~Subcontracts~~Subawards and subcontracts.** If the University is subawarding or subcontracting a portion of the project work scope, a contractual award document will need to be issued by OSP at the request of the PI or the unit. If at the subaward or subcontract is not included in the original proposal, agency approval will may be required prior to ~~subcontract~~ issuance.

- ~~Subcontract~~Subaward or subcontract costs are split out from the award and budgeted on a separate fundsindex within the overall grant budget.
- All ~~subcontractors~~subrecipient requests for payment (invoices) must be approved by both the PI and OSP prior to being charged against the ~~purchase orders~~subaward or subcontract.
  - Cumulative amountamounts invoiced may not exceed the total amount of the ~~subcontracts~~subrecipient index.
  - Invoices must be reviewed for allowable expenses per the prime contract and PI must certify both that the work is progressing and that expenses are



appropriate. -OSP will review and approve all subaward or subcontract invoices prior to forwarding to Accounts Payable for payment.

### ~~C-8. Tuition Remission, Fees, Stipends, Scholarships, and Insurance (TFSSI).~~

~~• Tuition remission and fees may be charged for Graduate Assistants only.~~  
If Graduate Assistants **E-8. Participant support.** Participant support costs are direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects. Other participant support costs such as incentives, gifts, souvenirs, t-shirts, and memorabilia must be justified in the budget justification as these costs are highly scrutinized.

Speakers and trainers are not typically considered participants, however if the primary purpose is to speak or assist with the management of the conference then these costs can be classified as participant support. For some educational projects, the participants being trained are employees. If the payment is made through a stipend or training allowance method, this can be categorized as participant support costs. To help defray the costs of participating in a conference or training activity, funds may be proposed for payment of stipends, per diem or subsistence allowances, based on the type and duration of the activity. Allowances must be reasonable, in conformance with university policies and the sponsor's terms and conditions. Days must be limited to the attendance of the conference and actual travel time to/from the conference. Per diem and subsistence allowances must be reduced in cases where meals or lodging are provided at no charge or included in the registration fee. Rebudgeting from participant support costs to other budget categories requires prior sponsor approval. CFR 200.308.

### ~~E-9. Tuition remission, fees, stipends, scholarships, and insurance (TFSSI).~~

- ~~• If graduate assistants are receiving a salary or stipend, then tuition remission, if allowed by the sponsor, must be paid from the same sponsored project budget on a proportional basis to the salaries. When tuition remission is not allowed as a direct charge on a sponsored project it must be charged to a different funding source.~~
- ~~• TFSSI expenses must be specified as allowable expenses of the award.~~
- ~~• TFSSI expenses are allowable on formal training grants as a scholarship.~~
- ~~• Tuition remission and fees may be charged for graduate assistants only.~~
- TFSSI expenses are allowed on most ~~other~~ sponsored projects when associated with a ~~Graduate Assistant's~~ graduate assistant's appointment to work on the project. [Note: USDA may restrict the expensing of tuition, fees and insurance to sponsored projects; review your project guidelines or ask OSP if you have questions-].
- Scholarships are not an allowable expense unless specifically approved by the sponsor.

### ~~D. Office of Sponsored Programs Policy on unallowable expenses:~~

~~**D-1.** OSP reviews expenditures periodically through the life of a sponsored project budget and prior to closeout based on information in the University's financial system. If, through this review, it is determined that an unallowable expenditure has been assessed to a project, OSP will contact the responsible college finance director to either correct the transaction or perform a review of the facts associated with the assessment of the expenditure.~~



- TFSSI expenses are allowable on formal training grants as a scholarship.

~~The review will identify who was responsible for the assessment of the expenditure, the circumstances surrounding placement of the unallowable expenditure on a sponsored project budget, and where the expenditure is to be transferred. OSP may be consulted to assist in the review process to ensure allocation of costs is completed in accordance with existing regulations, award conditions, and applicability to the scope of the project. Action, such as a review of policies and procedures, identification of resources available in making cost determinations, and improvement of internal controls, will be taken by the college to ensure unallowable costs are not placed on sponsored projects in the future. Based upon the review, the college will determine the severity of the infraction and the potential for recurrence. Taking into consideration the severity and potential for recurrence, the college will make a recommendation for resolution.~~

~~Once a review has been completed, any unallowable expenditure(s) shall be removed from the sponsored project budget and placed on an unrestricted University budget. If an unrestricted University budget is not available, the expenditure(s) will be deducted from the facilities and administrative costs returned annually to the college. Copies of all back-up documentation for the review process and associated transfers must be retained by the college and originals forwarded to OSP for retention in the official University file. **(Note, any resolution and provision of necessary paperwork will not preclude OSP from conducting a full review of sponsored project activity within the area under review.)**~~

~~This process shall also be used if an unallowable expense is placed on a project and the unallowable expense is identified by persons other than OSP.~~

~~**D-2.** If it is determined that the potential for recurrence is high, the Office for Research and Economic Development (ORED), with the concurrence of the college, will require the individual to take or retake formal training offered by OSP.~~

~~**D-3.** If an individual commits the same infraction or fails to comply with responsive actions identified through the process in D-1 and D-2, his or her repeated actions may be referred for review by an ad hoc committee comprised of the Associate Vice President for Research and Economic Development, the dean or dean's designee of the individual's college(s), a representative from OSP, a representative of the University controller, and two peers. A representative from HR and internal audit will be included in an advisory capacity. **The committee will review the available facts and make recommendations for further investigation or remedial and/or disciplinary action to the appropriate individual(s).** Recommended employee disciplinary action will be made to the individual's supervisor and unit administrator/dean, and any such action shall be at the discretion of the appropriate supervisor and shall proceed in accordance with the employee disciplinary procedures in the applicable University policies. Recommendations for non-disciplinary remedial actions, such as required training or revocation of access to manage sponsored project activity, shall be made to the Vice President for Research and Economic Development. Nothing herein shall limit the authority of an individual's administrative unit or ORED to otherwise impose discipline or remedial activities within their existing authority and without referral to the above described committee.~~

| **F. Contact ~~Information~~information.** For additional information, please contact the Cost Accounting Unit of the Office of Sponsored Programs at 208-885-6651 or [osp-cost@uidaho.edu](mailto:osp-cost@uidaho.edu).



## POLICY COVER SHEET

For instructions on policy creation and change, please see <https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

**Faculty Staff Handbook (FSH)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title:

**Administrative Procedures Manual (APM)**

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title: **APM 45.07 Cost Transfers on Sponsored Projects**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator: Sarah Martonick**

**Policy Sponsor, if different from Originator: Chris Nomura**

**Reviewed by General Counsel**     Yes  No                      Name & Date: Manisha Wilson,  
5/18/2023

**1. Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

Revisions are necessary to bring policies up to current requirements for sponsored project regulations, and to clarify Chart V nomenclature (budget vs. fund/index, etc.).

**2. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

None – no substantive changes.

**3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

**4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## 45.07 -- Cost Transfers on Sponsored Projects

January 3, 2012

**A. Purpose.** ~~The purpose of this policy is to outline the~~ provide guidelines surrounding for the movement of sponsored project posted Banner expenses between indexes/~~funds.~~

**B. Scope.** This policy applies to all cost transfers and labor redistributions which involve one or more sponsored projects.

**CA. Cost transfer dDefinitionsed.** A cost transfer is a

~~CA-1. Cost Transfer.~~ Any Banner transaction that moves an expense either from one ~~budget index/fund~~ to another, or from one expense code to another, as a correcting entry to the original posting.

**DB. Policy.** This policy establishes the proper procedures and internal controls required for cost transfers in general, as well as specifically for sponsored projects. A cost transfer signals to an auditor that ~~something a transaction~~ requiring correction has occurred and that further investigation may be needed. In particular, when a cost transfer is processed onto a sponsored project budget near the project's termination date, an auditor may interpret it to mean that the Principal Investigator (PI) is trying to simply expend the balance remaining in the project budget rather than charging only appropriate project-specific expenses. ~~This policy establishes the proper procedures and internal controls required for cost transfers in general, as well as specifically for sponsored projects.~~

While ideally all expenses are processed and posted to the correct project ~~budget index/fund~~, the University recognizes that errors occur and cost transfers to correct those errors may be necessary. ~~Cost transfers are to be used when an expense is incorrectly processed on one budget index/fund and require the expense needs to be transferred to the correct budget index/fund.~~ Cost transfers may also be used when correcting an expense code used for a particular item ~~of cost to a more appropriate expense code.~~ Cost transfers may not be used to transfer ~~income revenue~~ from one account to another. (Note: The rule code IDG [See APM 75.30] should *only* be used either to record ~~income revenue~~ for a service provided, such as lab testing, or for cost transfers that are internal to the University.)

**EE. Process/Procedures.** The following guidelines are provided to ensure cost transfers are proper and authorized. ~~The Payroll Cost Transfer form found on the OSP website is only to be used for transferring payroll expenses.~~ All other types of cost transfers should be completed in Banner with adequate explanatory text.

**EE-1. Timely Correctionscorrections.** The ~~allowability likelihood~~ of a cost transfer onto a sponsored project ~~being approved~~ improves when the error is corrected within a reasonable time period (i.e. within 90 days ~~of the end of the month from~~ when the charge first ~~appeared posted~~). Cost transfers at the end of the project ~~period should be avoided~~ require strong justifications, and ~~in no event will c~~ost transfers onto a project ~~be allowed~~ in excess of 90 days after ~~the project~~ termination date ~~are allowed only in extenuating circumstances and as approved by OSP.~~

**E-G-2. Proper Explanation-explanation Requiredrequired.** PIs and ~~Department~~ Grant Administrators (DGAs) are ~~ultimately~~ responsible for ~~fully the justification of justifying~~ the cost transfer. The justification must ~~state address the following~~ in detail: **A)** how the error occurred; **B)** why the transfer is required; and **C)** how the expenditure ~~is of benefited to~~ the project ~~scope of work~~. Statements such as 'to correct error' or 'clerical error' are not sufficient to withstand an audit. Cross-referencing text (cost transfer ~~document~~ number, date, explanation, and name of person entering cost transfer) must be added to the original ~~incorrect posting transaction~~ document ~~on which the error occurred~~ in order to be able to

track the expense's path and to reduce the chances that of the same cost transfer expense being is moved more than once.

**CE-3. Required ~~Supporting supporting Documentation~~documentation.** All supporting documentation for cost transfers must be maintained ~~in the unit for three years after the termination of the project as per~~ the requirements of the project, but at a minimum for three years from project financial closeout. See APM 45.12.

**CE-4. Guidelines for ~~Nonnon-p~~Payroll ~~Cost-cost Transferstransfers~~.** All cost transfers onto a sponsored project budget ~~need to~~should include the following steps:

**a.)** Prior to initiating a transfer document, review ~~FGIBAVL~~financial records to ensure that the receiving budget is not overdrawn and that the account category receiving the transferred expense, and any associated F&A, has adequate funds to cover these costs. Account categories with insufficient funds will require a budget transfer, reviewable by OSP, for allowability and determination of whether sponsor approval is required.

**b.)** Ensure that the expense being transferred is within the project period of the receiving sponsored project, as defined in the Banner form FRAGRNT.

~~**c.)** Cost transfers which will potentially affect F&A, including capital outlay > \$5K may not be transferred without review and approval by OSP. These as these expenditures are audit sensitive, will affect F&A, and may need to be verified as being unallowable.~~

~~**cd.)**~~ Ensure that any transferred expense is an allowable expense on the receiving budget. Refer all allowability questions to the Cost Accounting Unit of OSP.

~~**de.)**~~ Prior to transferring any expense, review FOATEXT for the transaction to preclude the transfer of a previously transferred cost. See EC-2, above.

**CE-5. Labor R redistributions (~~Payroll-payroll Cost-cost Transferstransfers~~).** The Banner Labor Redistribution process is used to correct for labor when it has been identifieddetermined that salaries or wages havelabor has been incorrectly expensed on one index/fund and needs to be transferred to another index/fund. Prior to starting the process the following steps should be completed. Payroll cost transfers onto or off of sponsored projects must use the form found on the OSP website and include the following steps:

**a)** Determine the employment dates involved (multiple pay cycles are allowed) and the amount of salary to be transferred. Verify that all -of the dates fall within the project period.

~~**b) b)**~~ If the change is retroactive and ongoing, complete an EPAF for processing through the normal approval and Banner posting cycle. In the Remarks section of the EPAF, indicate that you have requested a cost transfer for \$xx.xx (amount) from XX/XX/XX to XX/XX/XX (employment dates).

**c)** If the labor redistribution is for a graduate student, ensure that any tuition remission is appropriately transferred in proportion to the change, if tuition remission is an allowable cost on the project.

~~**d) e)**~~ Complete the Banner Labor Redistribution process Payroll Cost Transfer (PCT) Form and include the following comments:-

- -The grant code(s). should be included in the comments area
- -Justification for how the employee's effort relates to the index/fund the costs are being transferred to.
- -How the error occurred.
- -Any sSpecific internal controls to be implemented to avoid future issues.

- -If request is over 90 days from the original payroll posting, include the extenuating circumstances causing the delay in processing. OSP will normally only allow the movement of effort off a sponsored project to a non-sponsored project that is over 90 days from the original payroll posting date.

~~Questions one and two must be answered. If the PCT is more than 90 days past the end of the month of the posting date of the first pay period, questions three and four must also be answered. Each employee and project director/PI receiving the expense *must* sign and date the PCT form. This signature authority *may not* be delegated.~~

- ~~d) Attach any supporting documentation to the completed PCT form. Examples of supporting documentation include the NWPRES report, the NHIDIST screen, and the PHA HOUR screen for partial pay periods.~~
- ~~e) Send the PCT form with supporting documentation to OSP at mail stop 3020.~~
- ~~f) Ensure the Personnel Activity Report (PARs) [see APM 45.09] agrees with the information included on the cost transfer.~~
- ~~g) Payroll cost transfers cannot be completed online in Banner.~~

**CE-6. Cost Transfer-transfer Limitationlimitation.** A cost ~~will~~should not be transferred more than once, unless it was disallowed.

**DE. Contact Informationinformation.** Any questions regarding cost transfers should be addressed to the Office of Sponsored Programs at 208-885-6651 or osp@uidaho.edu.

#### **G. Forms:**

#### **GH. Related Policies.**

- APM 45.06 – Allowable and Unallowable Sponsored Project Expenditures
- APM 45.12 – Sponsored Projects Record Retention
- APM 75.30 – Interdepartmental Charges (IDs):



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title: **45.09 -- Effort Reporting and Personnel Activity Reports**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Originator: Sarah Martonick**

**Policy Sponsor, if different from Originator: Chris Nomura, VPRED**

**Reviewed by General Counsel**      X Yes \_No Name & Date: Manisha Wilson, 12/29/23

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.  
Change of our effort reporting system and process needed to be reflected in the APM – from PAR to Effort Reporting, with the use of Banner.
- 2. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
None – we moved to using Banner last year.
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
None
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## 45.09 -- Effort Reporting and Personnel Activity Reports (PARs)

December 2018 (rewrite) Certifications

**A. General Purpose.** The University of Idaho (University) is required by federal regulations (2 CFR 200.430) and accounting standards to ensure that the allocation of compensation for all employees accurately reflects the work performed by these individuals in connection with sponsored projects. This document sets forth University policy for the commitment and verification of effort expended by university employees on sponsored projects.

**B. Scope.** This policy is applicable to all non-temporary employees whose time is charged as a direct cost to sponsored projects, whether as a direct cost or as cost share or is charged to other Federal funds (Hatch, Smith-Lever, etc.). ~~Definitions.~~

### C. Definitions: ~~B~~

**C-1. Cost Sharing.** The portion of the total project costs for a sponsored project that is borne by the University rather than the sponsor. See [APM 45.08](#) for definitions of types of cost share.

**BC-2. Effort** (also referred to as "actual effort"): ~~the~~The time spent in pursuit of a particular activity and expressed as the percentage of one's University appointment devoted to one or more activities.

**BC-3. Effort Reporting.** ~~the~~The process ~~through~~by which the University verifies and documents that the effort expended by an employee corresponds with the effort he or she has charged to or contributed to (as cost share) sponsored activity.

**BC-4. Institutional Base Salary (IBS).** ~~the~~The annual compensation paid by the University to an employee, irrespective of the nature of the activities in which the employee is engaged while fulfilling the requisites of their appointment; e.g. research, instruction, service, and administration. IBS excludes any income that an individual may earn outside of the University ~~or income earned as additional compensation for duties outside of their primary appointment. Note that administrative stipends for Chair, Dean, or other similar roles are included in the IBS definition.~~ The IBS for each faculty member ~~or employee~~ is enumerated in the ~~faculty member's~~ annual salary letter ~~or as an amendment during the appointment period.~~ Charges for work performed on sponsored projects are only allowable at the IBS rate. (See 2 CFR 200.430)

**BC-5. Person mMonths.** ~~the~~The method typically used in sponsored project applications to express the amount of effort that the Principal Investigators (PIs), other faculty, or key employees devote to a specific project, expressed in terms of time rather than a percentage of one's appointment.

**D. Policy.** Effort reporting begins at the proposal stage and is ultimately accomplished through review and verification of eEffort rReports.

**D-1. ~~C~~-Federal rRequirements.** Failure to produce reasonably accurate estimates of effort, or to otherwise comply with federal cost requirements, can result in financial penalties, expenditure disallowances, withholding of future sponsored project awards by an agency, and damage to the reputation of the University. Providing inaccurate estimates of effort, whether knowingly or through carelessness or mismanagement, may be regarded as fraud and may subject the University and the certifying individual to civil proceedings and criminal prosecution.



~~D-2. D. Policy.~~ Effort reporting begins at the proposal stage and is ultimately accomplished through review and verification of Effort Reports.

~~D-1.~~ **Proposal stage.** When preparing proposals for sponsored projects, the primary responsibility for establishing a reasonable estimate of the effort necessary to carry out the project rests with the PI.

a.) In determining the amount of effort that will be devoted to the proposed project, the PI must consider existing effort commitments to other sponsored projects, University duties associated with ~~his or her~~their appointment, and the ability of other key project personnel who are to be involved in the project to make contributions of effort necessary for its success.

b.) In addition to ensuring that ~~the~~ proposed effort commitment conforms to University expectations and policy, the PI must also make certain that it is consistent with the parameters established by the sponsor.

~~Faculty Staff Handbook~~FSH 3120, ~~Faculty Obligations during Period of Appointment~~3120 ~~Faculty Obligations During Period of Appointment;~~ 3140, ~~Performance Expectations for Faculty;~~ FSH 3260, Professional Consulting and Additional Workload, FSH 5600, Financial Disclosure Policy, FSH 5650, Financial Conflicts of Interest in Public Health Service Research, and FSH 6240 Conflicts of Interest and Commitment provide additional information in regards to calculating the appropriate amount of effort to propose on sponsored programs.

c.) While federal agencies may require that proposed effort be expressed in terms of person months, the University requires that employees verify actual effort expended in terms of percentages of effort. -The Office of Sponsored Programs (OSP) will assist with the translation of effort between these two methods.

d.) Calculating effort using a percentage basis fosters employee compliance with effort reporting requirements by encouraging an individual to estimate ~~his or her~~their effort on a given activity as a percentage of ~~his or her~~their total University activities rather than as a fraction of a fixed time-period (such as the forty-hour week). -This process acknowledges that some fluctuation in effort levels is inherent in the conduct of academic activities.

**D-23. Award sStage.** Once a sponsor makes an award, the provisional effort commitments included in the proposal become mandatory, and the oversight and reporting of effort for faculty and staff associated with the award becomes required.

a.) Because effort reporting is based on payroll records, it is crucial that Electronic Personnel Action Forms (EPAFs) are accurately and expeditiously completed and entered into the payroll distribution system. -Salary allocations associated with a new award must be reviewed and approved by the PI-(s) for the project prior to the entry of this information into EPAFs. -Awards that are close to ending also need to be monitored to ensure EPAFs are completed ~~to~~that remove employees from these projects in a timely manner.

b.) Consistent with committed effort, distributions of salary on sponsored project or cost sharing accounts should coincide with the commencement of actual effort by the employee on the sponsored project.

**D-34. Effort Reporting.**

**a.)** Drawing on data from the university payroll distribution system, the **eEffort rReport** allows an individual to review payroll salary allocations, represented as percentages of total effort, and to indicate whether the allocations reasonably correspond to ~~his or her~~ the individual's actual percentage of effort expended on each project or activity.

**b.)** Semi-annually an **eEffort rReport** will be electronically generated for and made available online to each employee whose compensation was partially or totally charged to or committed as cost sharing to a sponsored project.

**c.)** Reported effort must be as accurate as possible. -Up to five percent variance above or below the estimated effort for any given project is permitted without requiring modification of salary allocations.

**d.)** In cases in which actual effort differs from estimated effort by more than ~~five (5)~~ 5 percent or a project or activity is missing from the **eEffort rReport**, the employee shall notify the appropriate Department Grant Administrator that a change may be necessary to realign salary and effort.

**e.)** Effort **rReports** must be completed within ~~thirty (30)~~ working days of the date they are released to the employee.

**1.)** If circumstances occur that are outside the university's control (e.g. weather conditions, power loss, etc.) the date for the **eEffort rReport** completion may be adjusted accordingly.

**2.)** Effort **rReports** must be completed by the individual whose effort is being reported or by a person who has a suitable means of verification (direct and personal knowledge) of the effort expended.

**(a) i)** ~~PIs and Co-PIs should certify their own effort reports. -PI's, providing they have they have PIs with~~ PIs with direct knowledge, can certify the **eEffort rReports** of the employees working on their sponsored projects, but employees should complete their respective effort reports, if possible. The Principal Investigator listed in the FRAGRNT form in Banner will be responsible for completing effort reports for each graduate assistant working on their grant(s).

**(b) ii)** Department Grant Administrators, or other administrators, are not presumed to have the requisite means of verification; they may complete effort reports only if they have a written and signed confirmation of effort by an individual with direct knowledge of the activities of the person for whom the report was generated and only when that individual is unavailable to complete the **eEffort rReport**.

**(c) iii)** If extraordinary conditions preclude a faculty member from completing their **eEffort rReport**, and no written and signed confirmation of effort can be obtained, the faculty member's unit administrator or college dean will determine the best means for verification of effort expended and an appropriate proxy will be entered in the effort report system.

**3.)** Failure to certify **eEffort rReports** in a timely manner may result in suspension of activity on any or all sponsored projects involved and limit the ability of the noncompliant individual to apply for other sponsored project funding.

**EE. Contact iInformation.** For information and help please contact the Office of Sponsored Programs at 208-886-6651, or [osp@uidaho.edu](mailto:osp@uidaho.edu).

## **G. Related policies**

- [FSH 3120 Faculty Obligations During Period of Appointment](#)
- [FSH 3260 Professional Consulting and Additional Workload](#)
- [FSH 5600 Financial Disclosure Policy](#)
- [FSH 5650 Financial Conflicts of Interest in Public Health Service Research](#)
- [FSH 6240 Conflicts of Interest and Commitment](#)



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **APM 45.10 FACILITIES AND ADMINISTRATIVE (INDIRECT) RATE**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Sarah Martonick**

**Policy sponsor, if different from originator: Chris Nomura, VPRED**

**Reviewed by General Counsel:**  Yes  No Name & Date: Manisha Wilson, 12/29/23

**Comprehensive review?**  Yes  No

1. **Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Update for consistent format, to clarify statements and applicability for location and type, and change ‘Public Service/Outreach’ to ‘Other Sponsored Activity’ per our last F&A rate agreement.

2. **Fiscal Impact:** What fiscal impact, if any, will this change have?

None – applicable timeframes and policy remains the same

3. **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

None.

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

## 45.10 -- Facilities and Administrative (Indirect) Rate

**A. Purpose.** The purpose of this policy is to outline the process by which the University determines the applicable indirect (F&A) rate for a sponsored projects.

**B. Scope.** This policy is applicable to all sponsored project funding.

### C. Definitions

**C-1. Indirect rate.** Facilities and administrative (F&A) costs are those costs incurred for common or joint objectives and which therefore cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity (2 CFR 200 Appendix III.A.). These costs are real costs borne by the University in support of sponsored projects, and which the University is entitled to collect from sponsors. Due to the difficulty of assigning F&A costs directly, approximately every four years the University negotiates an F&A (also known as "indirect cost" or "overhead") rate with the University's cognizant federal agency, the Department of Health and Human Services (HHS).

**C-2. Project types.** A project shall be categorized based on a determination of the "best fit" within the project types defined below. The Office of Sponsored Programs (OSP) shall be responsible for the final determination, if the project is difficult to classify.

**a. Instruction.** The instruction category includes all teaching and training activities that are part of an institution's instructional program. Instruction includes the following activities: 1) credit and noncredit courses; 2) community education programs; 3) academic, vocational, and technical instruction; 4) remedial and tutorial instruction; and 5) regular, special, and extension sessions.

**b. Organized research.** The organized research category includes the research, development, and research training activities of an institution. Research is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. Development is defined as the systematic use of knowledge and understanding gained from research, directed toward the production of useful materials, devices, systems or methods including design and development of prototypes and processes. Training individuals in research techniques is classified as research when the activity utilizes the same facilities as other research activities and such activities are not included in the instruction function. Organized research includes all research and development activities that are externally sponsored by federal and non-federal agencies and organizations, as well as internally-funded University research that is project-based, proposal-driven, competitive, and separately budgeted and accounted for.

**c. Other sponsored activity (including public service/outreach).** This category is used for those projects that cannot be assigned to either a) or b). The public service category involves activities that primarily supply a benefit to the public or a specific segment of the public that is external to the institution. Examples of these activities include, but are not limited to, noninstructional community service programs, broadcasting services and cooperative extension services. Included in this category are conferences, institutes, general advisory services, reference bureaus, testing services, radio and television, consulting, and similar noninstructional services to particular sectors of the community.

**C-3. Project location.** Location is determined by evaluating where the majority of the work will be performed.

**a. On-campus projects.** Projects where the work is being performed in University-owned, -leased, or -operated facilities.

**b. Off-campus projects.** A project may be designated as "off-campus" if more than 2/3 of the work occurs at locations other than University-owned, -leased, or -operated facilities and the indirect costs associated with physical plant and library are not considered applicable. An off-campus rate may also be used if a project is conducted in leased space and the lease costs are directly charged to the project (leased space is normally considered to be on-campus). Projects will not be subject to more than one indirect cost rate. If determined to be off-campus, the off-campus rate will apply to the entire project.

**c) Agricultural and forestry research stations (experiment stations).** These activities are organized research activities with two-thirds or more of activity effort occurring at any of the experiment stations listed at the [Rates, Forms, and Resources Definitions](#) page on the ORED website.

**C-4. Administrative.** That portion of the F&A rate associated with central, unit, and research administration. This portion of the F&A rate is applicable to all sponsored projects, whether on- or off-campus (see definitions in C-3).

**C-5. Facilities.** That portion of the F&A rate associated only with on-campus activity (see C-3.a.), such as depreciation, interest, utilities, library, etc.

**D. Policy.** It is the policy of the University that, absent specific written sponsor limitations, all sponsored projects must budget and include the appropriate F&A expense based on both the type of project (research, instruction, or other sponsored activity) and location where the majority of the work is being done (on- or off-campus). Waivers of F&A may only be granted by the Vice President for Research and Economic Development or their designee. Because F&A waivers essentially shift the cost burden to the rest of the University, they are granted infrequently.

## **E. Procedure**

**E-1. F&A cost study.** The process for establishing F&A rates begins with the F&A cost study. This process involves analyzing all University expenditures for the purpose of assigning expenditures to either direct or indirect cost pools.

**a. Indirect cost pool allocations.** Indirect cost pool allocations end up as the numerators of each type of negotiated F&A rate, and include both facilities and administrative costs.

Facilities costs (see C-5) include:

- Building depreciation
- Equipment depreciation
- Capital improvements to buildings and land
- Operations and maintenance of plant
- Non-capitalized interest on capital expenditures
- Library costs

Administrative costs (see C-4) include:

- Unit administration
- Research administration
- Computer use charges
- General university administration
- Staff and spouse educational benefits

**b. Direct cost pool allocations.** Direct cost pool allocations include all costs that can be identified specifically to a given project or activity, and end up as the denominators (direct bases) for the F&A rate calculation. Examples of costs that are often considered to be direct are salaries and wages, benefits, travel, materials and supplies, etc. By their nature, these costs can be easily and directly assigned to particular projects or activities with a high degree of accuracy. These costs are generally allocated on the basis of Modified Total Direct Costs (MTDC) and by type of project (see C-1 above). MTDC is the total of all direct costs less the following exclusions: equipment over \$5,000, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, participant support, scholarships, and fellowships as well as that portion of each sub-grant and subcontract issued in excess of \$25,000.

(The UI calculates on- and off-campus rates for each of the project types defined in C-1 above).

**E-2. F&A space survey.** In addition to the cost study, the University must also complete a space survey, which provides the basis for a more accurate allocation of indirect costs to project types. Cost-benefit considerations do not allow for a survey of all of the buildings in the University system. The survey is focused on units that are likely to have the highest amount of space and overhead devoted to research activities. The survey requires unit coordinators to carry out a number of tasks, the goal of which is to determine functional-use (project type) percentages for all rooms being surveyed. The tasks include, but are not limited to, the following:

- Discovering or confirming room occupants.
- Verifying space measurements.
- Walking through unit space in order to interview principal investigators and other room occupants.
- Entering data related to room occupants, functional use percentages and research accounts for rooms having a research component into WebSpace (Space Survey Tool from Maximus).

After an F&A Study is completed, the calculated rates and supporting documentation are submitted to HHS for review and negotiation. The University negotiates “predetermined” F&A cost rates. These rates are final and not subject to upward or downward adjustment for actual costing experience during the multi-year period for which the rates are in effect. By negotiating a stable F&A cost rate in a multi-year agreement the University avoids the disruptions and costs associated with continual audits and annual negotiations. Rates are typically negotiated for four-year periods, but that does not mean that a given project type will have the same rate for all four years.

**F. Contact information.** For additional information or answers to specific questions please contact the Office of Sponsored Programs at 208-885-6651 or [osp@uidaho.edu](mailto:osp@uidaho.edu).

**G. Related policies**

- [APM 45.02, Sponsored Projects Proposal Preparation and Authorization](#)



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title: **APM 45.12 Sponsored Project Closeout and Recordkeeping Responsibilities**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator: Sarah Martonick**

**Policy Sponsor, if different from Originator: Chris Nomura, VPRED**

**Reviewed by General Counsel**     Yes  No    Name & Date: Manisha Wilson, 12/29/24

1.    **Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.  
Reformat to conform to standard APM style, clarify closeout and recordkeeping processes due to shift to electronic record keeping and other system changes.
  
2.    **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
  
None
  
3.    **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
  
None
  
4.    **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.



## 45.12 – Sponsored Project Closeout and Recordkeeping Responsibilities

December 2018

**A. Purpose.** To identify the responsibilities and processes for completing sponsored project closeouts.

**B. Scope.** This policy applies to all sponsored projects.

**C. Definition of closeout.** Closeout is the process by which all required invoicing and financial accounting and reporting; all technical reporting; and all non-financial/non-technical reporting required by the award is completed.

**D. Policy.** It is the policy of the University to prepare and submit all required closeout documents within the time-frame specified by the terms and conditions of the award document.

~~**A. General.** To ensure proper award termination procedures, the Office of Sponsored Programs (OSP), the unit, and the principal investigator (PI) have each been designated specific responsibilities. Typical regulatory or contractual requirements for sponsored research projects include final technical reports, invoices, financial reports, patent reports, and property reports, which. These reports are usually required to be submitted within 30 to 90-120 days of the project end date. Because of such the requirements are contractual in nature and delinquent reporting can affect the ability of the University to receive future funding, it is important that closeout activities are finalized in a timely manner. [ed. 12-18]~~

~~**B. Policy.** It is the policy of the University to prepare and submit all required closeout documents within the time period specified by the terms and conditions of the award document.~~ **E. Procedure.** Beginning approximately three (3) months prior to the award termination, OSP will provide units and PIs with notifications that serve as reminders of required actions and responsibilities for timely award closeout. Non-compliance with University required actions may result in disallowed expenses. [rev. 12-18]

**C. Process/Procedures.** Departmental grant administrators (DGADGAs) and PIs should work together to review and verify the following to OSP via email: that in written form:

- That all accrued expenses have posted to Banner;
- That no expenses incurred after the end date have posted to the award; and
- That all expenses are applicable to the project.

Failure to respond to requests for confirmation of expense review will result in the submission by OSP to the sponsor of a final invoice based on what has posted to the Banner accounting system, net any disallowed expense. A list of expenditures that have posted to the project can be viewed via the Banner report FWRITEM. [rev. 12-18] of any disallowed expenses.

**EE-1. Revised Circumstances/circumstances.** If there are extensions of time required in order to complete the project or increased funding pending, anticipated (i.e. for multi-year projects) the unit shall notify OSP immediately. [rev. 12-18] If extensions of time are being requested from the sponsor, appropriate prior approval processes must be followed. (See APM 45.14).

**EE-2. Expense Changes/changes.** Information on additional known project expenses that have not yet posted to Banner and need that are requested to be included on the final invoice, must be submitted to the OSP Financial Unit by the due date specified in the "notice to final invoice" emailed at award termination. [rev. 12-18] near award termination. This due date is usually a minimum of 15-30

days prior to the due date for final invoicing or financial reporting to allow for sufficient processing time.

**~~EE-3. No Changes-changes Requiredrequired.~~** If there are no corrections, the final invoice and financial report (~~if~~when required) will be prepared from the information available in Banner. The GADGA must verify the accuracy of the Banner numbers to the OSP Financial Unit by the due date specified in the "notice to final invoice" that is emailed at~~near~~ award termination. If there is no response, the invoice and report will be submitted to the granting agency based on the allowable expenses posted into Banner. ~~[ed. 12-18]~~

**~~CE-4. Limited Revised-revised Final-final Invoices-invoices and Reportsreports.~~** If revisions are needed after the final invoice has been submitted to the sponsor, ~~OSP~~the Director of OSP or Assistant Director of Sponsored Accounting will evaluate whether to resubmit the final invoice ~~and~~/or financial report on a case-by-case basis. ~~[rev. 12-18]~~

**~~C-5. Closeout Letter and Statement of PI Responsibility.~~** ~~When an award has terminated and all financial reporting has been completed, a "Closeout Letter and Statement of PI Responsibility" is forwarded to the PI, and the DGA. This letter outlines revision is subject to approval by the final financial numbers submitted and indicates any items pending completion.sponsor.~~

**~~E-5. Recordkeeping responsibilities.~~** For audit purposes, documents relating to the award must be kept for three (~~3~~) years, or longer if specified by the award terms. ~~The audit files maintained by OSP consist at a minimum of the following items: [ed. 12-18]~~

The audit files maintained by OSP consist at a minimum of the following items:

- Original proposal and any additional supplemental proposals.
- Award notices and any amendments.
- Invoices and financial reports.
- Cost sharing records.
- Compensation confirmation (personnel activity~~effort~~ reports or other mechanism) and payroll cost transfer~~labor redistribution~~ records.
- Property/equipment reports and patent reports.
- ~~Subcontract and service agreement~~Subaward documentation.

In addition, the ~~unit~~PI/Unit is required to maintain the following audit information:

- Technical reports (progress and final).
- Supporting documentation for cost transfers, inventory, and all expenditures.
- Miscellaneous correspondence regarding the project(s).

**~~DF. Contact Informationinformation.~~** Any questions regarding closeout procedures for sponsored projects should be addressed to the Office of Sponsored Programs at 208-885-6651 or ~~osp@uidaho.edu. [ed. 12-18]~~osp@uidaho.edu.



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title: **APM 45.15 Subawards and Subcontracts**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Originator: Sarah Martonick**

**Policy Sponsor, if different from Originator: Chris Nomura, VPRED**

**Reviewed by General Counsel**      Yes  No  
12/29/23

Name & Date: Manisha Wilson,

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.  
Clarification of the subaward request and issuance process to include new requirements and processes. No substantial changes in responsibilities, monitoring, or timelines. Adding 2 CFR 200 in place of the A-121 and A-133 references, and formatting to standard APM format.
- 2. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
None – no substantial changes
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
None
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## 45.15 – Subawards and Subcontracts

February 14, 2017

**A. General.** ~~This section applies to all~~ **Purpose.** A sponsored project ~~subawards or subcontracts which may be issued~~ include programmatic work being done by ~~the University of Idaho (University) to other~~ qualifying institutions for the purpose of completing some portion of the sponsored project work, ~~entities (subrecipients).~~ These subrecipients are responsible for conducting their portion of the work in conformity with the laws, regulations, and terms and conditions that govern the prime award funding to the University. The University, via its faculty and staff, is responsible for monitoring subrecipients for both programmatic and fiscal compliance. To satisfy federal regulations, all subawards and subcontracts issued, regardless of the funding source, must be managed consistently with this section. ~~[rev. 2-12]~~

Note: For

**B. Scope.** This section applies to all sponsored projects that include subawards and/or subcontracts issued prior to December 26, 2014, by the provisions ~~University of~~ OMB Circular A-133, Audits Idaho to other qualifying institutions for the purpose of ~~States, Local Governments, and Non-Profit Organizations, may apply in lieu of 2 CFR Part 200.~~ ~~[add. 2-17]~~ completing some portion of the work on a sponsored project.

**C.**

### **B=Definitions:**

**BC-1. Subaward/~~Subcontract~~:subcontract.** An ~~award~~ agreement provided by a prime award recipient or a pass-through entity to a subrecipient for the purpose of having the subrecipient to carry out part of the ~~Federal award receive by the pass-through entity~~ programmatic work required under the award. For the purposes of this APM section the term "subaward" will be used to refer to both subawards and subcontracts. ~~[rev. 2-12, 2-17]~~

**BC-2. Subaward ~~Agreement~~:agreement.** A contractual obligation on the part of the subrecipient to perform a portion of the scope of work funded by an outside sponsor. Such agreements not only identify the work to be conducted by the subrecipient, but also provide and establish the applicable laws and regulations, flow-down provisions from the prime award, and any other terms and conditions that the subrecipient must meet. ~~[add. 2-12]~~

**BC-3. Subrecipient:** ~~A non-Federal.~~ An entity that receives a subaward from a pass-through entity to carry out part of a Federal program sponsored project; but does not include an individual that is a beneficiary of such program. Subrecipients may be educational institutions (domestic or foreign), non-profit organizations, ~~or~~ for-profit organizations, and occasionally Federal agencies. Individuals, including those who are beneficiaries of a subaward, are not considered subrecipients. Per federal regulations, individuals are considered vendors and therefore require a different contract mechanism. For assistance with determining the appropriate contract mechanism for a vendor relationship, contact Purchasing Services. ~~[ren. & ed. 2-12, rev. 2-17]~~

**BC-4. Vendor:** A dealer, distributor, merchant, or other seller who provides goods or services to many different purchasers within their normal course of business. ~~Goods and services purchased from a vendor may be used in support of a sponsored project, but are not considered a substantive contribution to the programmatic effort.~~ ~~[ren. & ed. 2-12]~~

**BC-5. Pass-through Entity:** ~~A non-federal~~ entity. An entity that has received funding and that issues a subaward to a subrecipient to carry out a sponsored project. ~~The pass-through entity may be either a primary or a subaward recipient.~~ ~~In functioning as a pass-through entity an institution assumes responsibilities more typically associated with an award sponsor.~~ ~~The University is considered a pass-through entity for each subaward that it issues.~~ ~~[ren. & ed. 2-12, ed. 2-17]~~

**ED. Policy.** ~~A subaward may be issued by the~~The University, acting as either the prime award recipient or a pass-through entity, may issue a subaward to an eligible subrecipient in support of a sponsored project. The scope of work to be carried out by the subrecipient must involve substantive programmatic effort or decision making that is beyond mere analytical work for hire. It must be of such significance to the project that the collaborator at the subrecipient institution will participate in the preparation of results, publication ~~and/~~ or presentation of the project. In most instances the work will be accomplished by the personnel of the subrecipient, and will use the subrecipients' facilities and resources. (See Section ~~DE~~ for additional clarification on the difference between subcontracts and procurement of services). A written subaward agreement shall be used to formalize the relationship between the University ~~as the prime institution or pass-through entity,~~ and the subrecipient. ~~{add. 2-12, ed. 2-17}~~

**ED-1. Federal Requirements.** Federal regulations, 2 CFR Part 200 ~~(effective December 26, 2014),~~ identify the "pass-through entity" as the administrative mechanism by which federal funds awarded to one institution may be distributed to another institution as a subaward. 2 CFR Part 200 requires institutions acting as pass-through entities (e.g. issuing subawards) to assume administrative and monitoring obligations similar to those of a federal agency overseeing the activity of a primary recipient ~~[2 CFR Part 200.331].~~ These responsibilities include, but are not limited to: ~~{ren. & ed. 2-12, ed. 2-17}~~

- ~~conducting~~Conducting risk assessments of potential subrecipients;
- ~~advising~~Advising subrecipients of all applicable federal laws and regulations, and all flow-down terms and conditions from the primary award;
- ~~regularly~~Regularly collecting and reviewing subrecipient technical and fiscal performance reports;
- ~~performing~~Performing on-site visits, as deemed necessary;
- ~~analyzing~~Analyzing audit reports as required by 2 CFR 200 and other such audit reports filed by subrecipients; ~~{rev. 2-17}.~~
- ~~evaluating~~Evaluating any corrective actions proposed by subrecipients in response to audit findings;
- ~~assessing~~Assessing and enforcing sanctions for subrecipients in cases involving the inability or unwillingness to undergo required audits or correct ~~non-~~noncompliant activity.

Defects in either the management of the subaward by the subrecipient or of the administration of the subaward by the pass-through entity may subject the pass-through entity to substantial penalties. ~~{ed. 2-12}~~

#### ~~D. Process/Procedures:~~

#### ~~DE. Procedure~~

**E-1. Proper Classification of Subawards.** A critical first step in the administration of subawards is the proper classification of the transaction as a subaward (as opposed to another type of procurement action such as a service/consulting agreement or a purchase order) at the proposal stage of a project. ~~Incorrect classification may result in the Principal Investigator (PI) having insufficient funds to successfully complete the proposed scope of work. It may also create significant delays in processing the subaward and may, in rare cases, endanger the viability of the project.~~ ~~{ed. 2-12}~~

At the time funding is first requested from a sponsor the PI has primary responsibility for determining the correct classification of costs associated with services provided by third parties. ~~The Office of Sponsored Programs (OSP) should be contacted with any questions regarding proper classifications of transactions.~~ ~~{ed. 2-12}~~ and will determine the final classification when needed.

The University uses the characteristics outlined in 2 CFR 200 as a starting point when classifying subawards and other procurement transactions. ~~[ren. & ed. 2-12, 2-17]~~

- a. Subawards.** Some of the factors which may result in the University categorizing funds to be issued to a third party as a subaward, and the third party as a subrecipient include, but are not limited to: ~~[ren. & ed. 2-12]~~
- ~~the~~The programmatic involvement of the third party is identified as a separate scope of work, with a separate budget and separate approval by the third party.
  - ~~the~~The third party's performance is measured against the objectives of the sponsored project.
  - ~~the~~The third party has responsibility for programmatic decision making.
  - ~~the~~The third party assumes responsibility for adherence to any applicable program compliance requirements of the sponsor; ~~and~~
  - ~~the~~The third party will use funds to carry out a sponsored project for the University, as opposed to providing goods or services.
- b. Procurement.** Factors that may result in the University categorizing funds to be issued to a third party as a procurement action, and the third party as a vendor, include, but are not limited to: ~~[ren. & ed. 2-12]~~
- ~~the~~The third party provides the goods or services within its normal business operation.
  - ~~the~~The third party provides similar goods or services to many different purchasers.
  - ~~the~~The third party operates in a competitive environment.
  - ~~the~~The third party provides goods or services that are ancillary to the operation of the sponsored project.
  - ~~the~~The third party is not subject to the compliance requirements of the sponsor.

## **DE-2. Proposal of a Subaward.** ~~[ren. & ed. 2-12]~~

- a. Determination of the Need for a Subaward.** The PI is responsible for ~~deciding~~determining whether a subaward or other procurement action is necessary for the success of a University-sponsored project. The PI, with the guidance of OSP, is also initially responsible for determining which funding mechanism and classification is appropriate for the third-party activity proposed. ~~(. See Section DE-1 above).~~ ~~[ren. & ed. 2-12, rev. 2-17].~~
- b. Selection of a Subrecipient.** Selection of a subrecipient by a PI must be based on ~~his or her~~the PI's assessment that the subrecipient ~~has the ability to can~~ perform the required research successfully. This assessment should address the subrecipient's past performance, technical resources, and financial viability and results of previous audits, as well as the reasonableness of the subrecipient's proposed costs for the work to be conducted under the subaward. ~~[ren. 2-12, rev. 2-17]~~

~~In order to~~To assist the PI in the evaluation of the proposed subrecipient and to facilitate the proposal process, the University requires the subrecipient to provide the following documents prior to submission of the proposal to the prime sponsor, ~~or when the need arises after proposal submission.~~ This list is not a comprehensive list and additional documents may be required of the subrecipient by the University prior to proposal submission ~~and/or~~ subaward issuance. ~~[rev. 2-12, 2-17]~~

- Statement of the scope of work to be undertaken by the subrecipient. This scope of work must be approved by the University PI.

- Budget and budget justification. -This must include the direct and indirect costs of the subrecipient, calculated using the subrecipient's approved F&A and fringe benefit rates, and confirming any committed cost sharing. ~~It is~~ subject to ~~the any~~ limitations of the prime sponsor. The budget provided by the subrecipient must be approved by an individual authorized to contractually commit the institutional resources of the subrecipient.
- Letter of support from the subrecipient's institutional official indicating its commitment to perform the scope of work proposed, assuring the accuracy and reasonableness of the budget and any cost share commitment, and agreeing to enter into a subaward; if the proposal is funded. ~~See the Forms section of the OSP website for the University's Letter of Support form. [ed. 2-12]~~
- All sponsor-required representations, certifications, and assurances of compliance (e.g., Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions, etc.) by the subrecipient institution.
- A subrecipient commitment form ~~documenting may be required to document~~ the subrecipient's eligibility to receive federal funding and compliance with required federal regulations. ~~[add. 2-17]~~
- Additional documentation ~~as~~ required by program sponsor (e.g., certification of cost or pricing data, biosketches of key subrecipient personnel, etc.).

These documents are expected to conform to all sponsor requirements ~~that~~ ~~apply~~ ~~applicable~~ to the University's proposal. -PIs must also ensure that all materials provided by the proposed subrecipient are in the required format. -PIs are encouraged to coordinate with OSP to ensure that the subrecipient materials provided are compliant with University and sponsor guidelines and regulations. -For complex proposals involving multiple subrecipients, each subrecipient must provide the documentation listed above; and each subaward will be evaluated separately, based on the information provided.

The PI must request that the subrecipient submit its proposal documents at least two (2) business days before the PI is required to submit the ~~remainder of the~~ University's proposal to OSP ~~(see D. See E-2-.c.iv.-).~~. This will allow both the PI and OSP sufficient time to review the documents and make any required changes before the proposal is due. ~~[rev. 2-12]~~

### **c.) Considerations when incorporating the subrecipient proposal into the University proposal.** ~~[ren. 2-12]~~

**i.) Facilities and ~~Administrative~~ ~~Administrative~~ (F&A) ~~Rates~~ ~~rates~~ for ~~Proposals~~ ~~proposals~~ including ~~Subawards~~ ~~subawards~~.** Proposals including subawards include (at least) two types of F&A costs ~~unless F&A is not an allowable cost~~: Subrecipient F&A costs and University F&A costs. A subrecipient is expected to apply its own federally-negotiated F&A rates and direct-cost ~~bases~~ ~~base~~ in the preparation of its budget, unless a lower rate has been authorized by the subrecipient's institutional official or the F&A rate is limited by the prime sponsor. If the subrecipient has a federally-negotiated rate, a copy of the subrecipient's federally-negotiated F&A rate agreement must be ~~submitted prior to proposing the subaward.~~ ~~[ren. & ed. 2-12, rev. 2-17]~~ ~~provided.~~

If a subrecipient does not have a federally-negotiated F&A rate, the University will not allow F&A costs over the ~~deminimus~~ ~~de minimus~~ 10% MTDC rate prescribed in 2 CFR Part 200.414 ~~to be included within the subrecipient's proposal~~, unless a rate can be negotiated between the subrecipient and the University. The Cost Accounting Unit of OSP is responsible for the negotiation of F&A rates with subrecipients who do not have a federally-negotiated rate. ~~[rev. 2-12, 2-17]~~



Any waiver of University F&A costs associated with a subaward requires the prior approval of the Vice President for Research and Economic Development or delegate pursuant to FSH 5100 J-1 and APM 45.10 D-C. ~~{rev. 2-12}~~

**ii.) Audit Requirements**~~requirements~~ **for Proposals**~~proposals~~ **including Subawards**~~subawards~~. If the proposed subrecipient is subject to 2 CFR 200, it must provide a complete copy of its most recent independent audit used to meet 2 CFR 200 audit requirements, or a link to its audit record at the Federal Audit Clearinghouse, prior to issuance of a subaward. OSP, in accordance with its responsibility for assessing the risk level of the subrecipient, must review the audit and verify that there are no findings that may negatively impact the proposed University award. ~~{ed. 2-17}~~

**iii.) Subaward Conflicts**~~conflicts~~ **of Interest**~~interest~~. The University must ensure that there are no conflicts of interest involved in awarding funding to the subrecipient, and that any situation that could result in a conflict is reported and managed, if appropriate to do so, consistent with FSH 5600, 5650, 6240, and ~~FSH 3170~~3170. In addition to Conflict of Interest as defined in FSH ~~6240~~6240, Conflict of Interest in relation to subrecipients shall also include situations where i) the University PI has ownership or substantial equity in the subrecipient; or ii) the University PI (or a member of his or her family) will receive individual gain from such an arrangement. Subawards shall not be authorized until a disclosure of the potential conflict of interest is filed and a management plan is approved pursuant to FSH 5600, 5650 and 6240. In certain circumstances, investigators for the subrecipient may also be required to submit disclosures of significant financial interests and comply with ~~University policies on and University application of~~ federal regulations for financial conflict of interest. Subrecipient must also certify that ~~they have it has~~ a compliant conflict of interest policy under 2 CFR Part 200.112 and for EPA funding, subrecipient must comply with EPA's Conflict of Interest policy and 2 CFR Part 200.318. ~~{ren. & rev. 2-12, 2-17}~~

**iv.) Administrative Review**~~review~~ **of Proposal**~~proposal~~: OSP reviews the University proposal and ensures that all items required ~~offrom~~ the subrecipient are included. It may be necessary for OSP to clarify costs or other items with the University PI or the subrecipient. In order to allow adequate time for administrative review, all proposals must be submitted to OSP no less than four ~~(4)~~ business days prior to the sponsoring agency's formal submission deadline. ~~{ren. & ed. 2-12}~~

**d.) Inclusion of an Unanticipated Subaward**~~unanticipated subaward~~ **after Submission**~~submission~~ **of Proposal**~~proposal~~. In certain ~~cases~~instances, a PI may determine that a subrecipient is necessary to complete the performance of a project ~~for which after~~ a proposal has already been submitted ~~or an award received~~. PIs seeking to add a subrecipient to a submitted proposal or awarded project must provide OSP with the information and institutional authorizations normally required of a subaward at the proposal stage. Because such changes to a proposal can affect the scope of work, methodology, ~~and~~ or budget for a project, the PI should work through OSP to gain the authorized approval of the sponsor. ~~-See APM 45.14~~. Subawards will not be issued without sponsor approval, unless such approval ~~is~~requirements are expressly waived by the sponsor. ~~{ren. & rev. 2-12, rev. 2-17}~~

**DE-3. Issuance of a Subaward**~~subaward~~. Upon the receipt of a fully ~~executed~~ prime award from the sponsoring agency, the PI and OSP shall collaborate in the preparation of the subaward ~~agreement~~. ~~{ren. 2-12}~~



**a.) ~~Unit Requisition.~~** ~~At the request of the PI, the Unit will prepare a University requisition to encumber the funds, using the expense codes E5171 for funding up to \$25,000, and E5172 for funding greater than \$25,000. This requisition, and the subsequently generated purchase order, will go through the Banner approval process. *[ren. & ed. 2-12]*~~

**b.) ~~Subaward Request Form- initiation.~~** The Subaward Request ~~Form~~ticket, including the relevant attachments, ~~on the OSP website and the approved requisition or purchase order~~ provide OSP with the information necessary for the issuance of a subaward.- The subaward will incorporate the terms and conditions of the prime award, as well as the approved scope of work and budget and any terms and conditions specific to the subaward itself. -If the scope of work ~~and/or~~ budget for the subrecipient changes, ~~that~~ updated information must be provided to OSP. *[ren. & rev. 2-12, rev. 2-17]*

The Subaward Request ~~Form~~ticket may be prepared by the PI or DGA (or delegate) for submission to OSP at any time, but ~~should not be forwarded~~it is recommended that this is done at accounting (index) setup to OSP for issuance until the completed and approved requisition number can be included. *[rev. 2-12]*allow the process to begin in a timely manner.

**eb.) ~~Subaward Review~~review by the Office of Sponsored Programs.** -Once OSP has received the Subaward Request ~~Form and a purchase order has been approved in Banner~~ticket with the necessary attachments and information, OSP will re-verify that the University is entering into an agreement with a qualified and eligible entity, and assess the "risk level" associated with entering into an agreement. *[ren. & rev. 2-12]*

If a subrecipient is subject to audit under 2 CFR 200, it will generally be considered low risk, unless there are unresolved audit findings that might negatively affect its performance under the subaward. ~~Subawards~~Subaward agreements for subrecipients considered to present a moderate or high risk to the University will include terms providing additional scrutiny of the subrecipient over the course of the contract, pursuant to 2 CFR ~~Part~~200.331. For subrecipients determined to be "moderate" risk, this may include periodic invoice reviews and annual desk reviews. Subrecipients considered to be "high risk" will be contractually required to provide vendor receipts and payroll reports along with their invoices and may not be allowed to rebudget without prior written approval from the University. Subaward terms for high-risk subrecipients will also oblige the subrecipient to submit to biannual desk reviews to ensure that funds are expended properly, and other compliance obligations are met. If determined to be appropriate, a change in high-risk status may be granted after two years. Invoice reviews and desk audits are conducted by the OSP Cost Accounting Unit. *[rev. 2-1, 2-17]*

**dc.) ~~Special Considerations.~~considerations.** When dealing with foreign institutions, for-profit entities, and small businesses, additional considerations may need to be addressed by the PI and the OSP Contract Review ~~Officer (CRO)~~Unit (CRU) (or delegate) during the preparation of a subaward. *[ren. & ed. 2-12, rev. 2-17]*

**i.) ~~Foreign Subrecipients.~~subrecipients.** Because some federal statutes, regulations and agency procedures may not apply to foreign subrecipients, special care must be taken to ensure that a subaward with a foreign entity contains all terms and conditions necessary to contractually establish the appropriate obligations of the subrecipient and to provide a mechanism for their enforcement. -As with subawards to domestic entities, any terms and conditions specific to the prime award must be flowed down to the subrecipient.

**ii.) For-Profit Entities—profit entities.** Subawards issued to for-profit entities may include terms and conditions different from, or in addition to, those included in subawards to non-profit entities. Specific cost principles and administrative requirements are necessary when working with for-profit entities. Because some sponsors are prohibited by statute, agency regulations, or organization charter from extending funding support to for-profit entities, the prime recipient of an award may need to obtain the approval of the sponsoring agency prior to any collaboration with a for-profit entity. *[rev. 2-17]* See APM 45.14.

**iii.) Small-Business Subrecipients—business subrecipients.** Issues involved in subawarding to small businesses are often a hybrid of the issues mentioned above. As for-profit entities, subawards for small businesses must contain terms and conditions flowed down from the prime award. However, these entities may not be familiar with federal requirements and thus may require additional information regarding compliance. [This information can be provided by the PI, DGA, or OSP depending on the specific information requested.](#)

**ed.) Subaward Issuance—issuance.** After review, OSP will prepare the subaward agreement and forward it to the subrecipient for review and signature by the subrecipient's authorized official. *[ren. & ed. 2-12]*

**DE-4. Post-Award Stage—issuance.** Once the subaward is in place, the PI and OSP will jointly monitor the activity of the subrecipient to ensure programmatic progress and compliance. -OSP will provide a copy of the executed subaward to the PI and the [Departmental Grants Administrator \(GADGA\)](#) or College Finance Director to facilitate the monitoring process. *[ren. & ed. 2-12, rev. 2-17]*

**a.) Programmatic and Other Monitoring—other monitoring by the PI.** - The University PI bears primary responsibility for monitoring and evaluating the progress of the subrecipient toward fulfilling the programmatic goals and following any required procedures established by the subaward. -This responsibility requires that the PI: *[ren. & ed. 2-12]*

**i.)** Maintain regular contact with the subrecipient [in order so as](#) to verify that the terms and conditions of the subaward are being satisfied. - The PI should have a thorough understanding of the prime and subaward terms and conditions to ensure the subrecipient's adherence to the subaward provisions. -OSP will serve as a primary point of reference for the PI regarding questions on terms and conditions, and will collaborate with the PI in answering subrecipient questions related to the terms and conditions, federal regulations, resolution of disputes, and issues related to breach of contract. *[ren. & ed. 2-12]*

**ii.)** Monitor the substantive progress of the subrecipient by monitoring its progress against the scope of work and any deliverable deadlines included in the subaward. -If programmatic progress is unsatisfactory, or if required technical reports or other deliverables are not produced in a competent and timely manner, the PI must work with OSP to address these issues with the subrecipient, documenting any issues raised and their resolution. -If subrecipient performance continues to be inadequate, the PI must notify OSP, which will formulate remedial actions to be taken by subrecipient or impose sanctions. *[ren. & rev. 2-12]*

**iii.)** Personally review and approve invoices submitted by the subrecipient, indicating that the quantity and quality of work completed for the period covered by the invoice was acceptable, and that it was performed in accordance with any timetable included in the subaward. -By this approval, the PI also affirms that the expenditures for the subrecipient's portion of the project are reasonable, allowable, and allocable as

defined by 2 CFR Part 200 Subpart E. -Entailed in the review of subrecipient invoices is an evaluation of the subrecipient's effort reporting and cost sharing contribution (if such commitments are included in the subaward) and of its application of the appropriate F&A rate. *[ren. & ed. 2-17]*

Note: If a PI is not able to provide review and approval of the invoice in person, via email, fax, or other means of written communication, the PI may provide a written authorization for a person with firsthand knowledge of the technical performance of the subrecipient to sign during the period of unavailability. -Notwithstanding the above, in the event of extraordinary circumstances, such as a dispute in relation to payment, OSP may sign off on and process an invoice for payment. -In such event, OSP shall verify that payment to the subrecipient is warranted based on performance and factual circumstances. *[ren. & ed. 2-12]*

**iv.)** Verify that any human subject, animal use, biosafety, or other compliance approvals required by the work performed by the subrecipient are properly secured and maintained for the life of the subaward. -If the subrecipient experiences a lapse in such approvals, the subrecipient is responsible for notifying the University. -If the PI obtains knowledge of such lapse, they must notify OSP immediately. *[ren. & ed. 2-12]*

**v.)** Ascertain whether the scope of work and/or budget for the subaward must be modified in order to allow additional time, funding, etc. -If the PI determines that alteration of the subaward is required, timely notice must be provided to OSP. *(see D. See E-6, Subaward Modifications).* *[ren. & ed. 2-12].*

**vi.)** Assist OSP in communicating with the subrecipient concerning any questions that may arise during the performance of the subaward and with audit inquiries. *[ren. & ed. 2-12]*

Please see FSH 5100-H on obligations of the PI pertaining to the conduct of research supported by sponsored projects. *[ed. 2-12]*

**b.)** **Fiscal ~~Monitoring~~-monitoring.** Fiscal monitoring of the subaward is a responsibility shared by the PI, departmental grant or unit administrator *(DGA)*, college or unit finance director, and OSP, with primary responsibility resting with the PI. -Invoices approved and signed by the PI should be submitted to the unit administrator or college finance director for tracking of expenses and cost share. The invoice is then forwarded to OSP for review before being submitted to Accounts Payable. -OSP uses submitted invoices as one means of monitoring compliance with award terms and conditions. *[ren. & rev. 2-12]*

**c.)** **Compliance ~~Monitoring~~-monitoring.** As a prime recipient and a pass-through entity of federal awards, the University is required to monitor the activities of subrecipients to ensure that their portions of sponsored projects are performed in compliance with federal regulations, 2 CFR 200.501 audit requirements, and the provisions of the award and the subaward. In addition to the ongoing monitoring of subrecipient invoices, OSP regularly reviews subrecipient audit reports and, if necessary, performs desk reviews to ensure compliance. *[ren. & ed. 2-12, ed. 2-17]*

#### **DE-5. Corrective Action Plansaction plans and Sanctionsanctions.**

**a.)** **Corrective Actionaction.** If an audit reveals that the subrecipient is not in compliance with federal regulations, audit regulations, or provisions of the subaward, OSP will issue a management decision on the audit findings. If the subrecipient has already taken steps to correct the finding, this will be so noted in the management

decision. The management decision will state whether a finding is sustained, explain the reasons for the conclusion, and identify both the corrective action to be taken by the subrecipient and the timeframe in which this action must be completed. The subrecipient is responsible for developing and implementing measures to correct all audit findings and must submit the corrective action plan to OSP for use when assessing subrecipient conformance with 2 CFR 200 requirements. OSP will approve the proposed action plan and will modify the plan as it deems necessary to rectify the audit finding. The PI and unit will be informed of subrecipient noncompliance and will be asked to assist in monitoring the implementation of the approved corrective action plan by the subrecipient. (See 2 CFR Part 200). ~~[ren. & ed. 2-12, ed. 2-17]~~

**b.) Sanctions.** -OSP may impose sanctions on the subrecipient for its failure to: undergo an audit in keeping with 2 CFR 200 requirements and/or special terms and conditions of the subaward agreement; undertake the performance of the subaward with reasonable diligence in adhering to applicable federal and state regulations and subaward terms and conditions; and/or submit or carry out a corrective action plan. Under such circumstances, OSP may withhold payment, withhold or disallow overhead costs, or suspend the subaward until necessary corrective measures are taken by the subrecipient. If resolution of identified issues does not occur within ~~ninety (90.)~~ days, OSP will notify the subrecipient that it has ~~thirty (30)~~ days to comply or it will be considered ~~to be~~ in breach of the subaward agreement and the agreement will be terminated. ~~[ren. & ed. 2-12, ed. 2-17]~~

**~~DE-6. Subaward Modifications.~~ modifications.** While the terms and conditions of a subaward usually are fixed for the duration of the contract, it may become necessary to modify terms and conditions of the subaward in order to ensure the success of the entire project. ~~Should~~ be it ~~is~~ determined that amendments to the subaward are necessary, the PI must first contact OSP ~~in order~~ to determine whether the University has the authority under the prime award to alter the subaward. - If the University does not have this authority, the PI will need to work with OSP to obtain approval for the proposed subaward modification(s) from the sponsor. -When a modification is required, the PI shall complete and submit a Request for Subaward Amendment ~~Form~~ ticket to OSP. ~~If additional funding is being provided, a Change Order to the existing purchase order must be completed in Banner prior to the modification being completed.~~ -After OSP receives the request form ~~and the change order has been processed in Banner, if required,~~ OSP will prepare an amendment to the subaward, incorporating the approved modifications into the subaward and will send the amendment to the subrecipient. A copy of the subaward amendment will be provided to the unit once it has been fully executed. ~~[ren. & ed. 2-12, ed. 2-17]~~

**~~DE-7. Subaward Closeout.~~ closeout.** A subaward is considered closed when its performance period has come to an end and all of the conditions of the subaward have been fully met. ~~Before a subaward can be closed out the following tasks must be completed: [ren. & rev. 2-12]~~

- An invoice marked as "final" and certifying that all costs were made in accordance with the subaward conditions must be received within the ~~contract~~ contractual deadline.
- Before signing off on the invoice, the PI must verify that any required technical reports have been completed and obtained and that all provisions of the subaward have been fulfilled.
- Any closeout reports required by the prime sponsor (e.g. invention disclosure, property) must be received.
- Disposition of any equipment purchased under the subaward must be finalized. -A determination must be made on whether this equipment may be vested with the subrecipient, or if title remains with the prime sponsor or the University.

Payment of the final invoice may be withheld until all required documents and deliverables have been received and approved. ~~[ed. 2-12]~~

**EF. Contact Information** ~~information~~. For questions or requests for additional information please contact the Office of Sponsored Programs at 208-885-6651 or [osp@uidaho.edu](mailto:osp@uidaho.edu). ~~[add. 2-12]~~

**F. Sources of Federal Guidelines:** ~~[ren. & ed. 2-12]~~

### **G. References**

**GF-1.** Federal Acquisition Regulations.

**GF-2.** 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ~~[rev. & ren. 2-17]~~



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title: **APM 95.21 UNIVERSITY CLOSURES**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Originator: Shane Keen**

**Policy Sponsor, if different from Originator: Brian Foisy, 1/12/24**

**Reviewed by General Counsel**      XYes No    Name & Date: Patrick Grace, 1/11/24

1.    **Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

Comprehensive review. Language clarified throughout.

2.    **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

None.

3.    **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

None.

4.    **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

To be effective immediately upon approval.

# 95.21 - University Closures

## A. Rewrote in October 2017

**General Purpose.** ~~This policy describes how the University may close its facilities i~~n the event of a reported emergency or a weather-related emergency, or if an emergency situation appears imminent, ~~the Executive Director of Public Safety & Security, or designee, may make a recommendation to the President, or designated senior officer, for taking the appropriate action. The action could include the cancellation of classes and/or the closure of a university facility.~~

**B. Scope.** This policy ~~eovers~~ applies to all University of Idaho ~~all~~ facilities, sites, and campuses ~~located around the State occupied, or used by, University of Idaho (UI) employees.~~

## CA. Definition of s

**A-1. ~~e~~Essential Personnel** personnel. ~~Essential personnel is defined as~~ UI employees designated by unit administrators to be critical to the continuation of key operations and services in the event of a suspension of operations.

## **A-2 Consideration of Conditions:**

A decision to close a university facility may be based on any, or all, of the following ~~conditions~~ factors:

- a. ~~Weather information gathered from official weather reports and forecasts. In most cases, university facilities will not close for winter conditions unless there is a severe weather event or hazardous conditions.~~
- b. ~~Decisions from city, county, regional, and state agencies.~~
- c. ~~Local police and county sheriff's departments surrounding the affected campuses and facilities.~~
- d. ~~Consultation with UI Office of Public Safety and Security (OPSS) and Facilities Services.~~

**DB. Policy.** When conditions necessitate, a university facility may be closed or its opening delayed. The decision to close or delay opening a university facility is at the discretion of the President, or designee. In the event of a university closure, only designated essential personnel will be allowed to remain on campus, or occupy a closed university facility.

**DB-1. Supervisor Jurisdiction** jurisdiction. Individual units do not have independent authority to make decisions concerning university-University facility closures, postponements, and/or cancellations; however, supervisors do have the authority to approve requests from employees who wish request absence or early release with the use of annual leave or comp time (if applicable) from work due to severe weather conditions. (See FSH 3470.)



**DB-2. Administrative Emergency Closure Leave with Pay**. When the President, or designee, makes a decision to close, cancel classes, or postpone opening any ~~university~~ University facility, ~~administrative emergency closure~~ leave for the affected employees (~~non-essential personnel~~) will be determined pursuant to FSH 3470 and 3710 as applicable.

**DB-3. Locations other than Moscow.** ~~Subject to the provisions of B-5 herein~~ At locations other than Moscow, ~~the location executive officer,~~ or designee, will make a recommendation, to the President, or designee, to close the facility(s). After approval, the executive officer, or designee, will contact UI Office of Public Safety and Security (OPSS) OPSS and provide information on the nature of the event, affected locations, recommended actions (closure, delayed opening), duration of action, and any other relevant details.

**a. Coeur d'Alene (CDA) campus.** University of Idaho CDA facilities may be closed due to a North Idaho College (NIC) closure. In the event of a NIC closure, the CDA executive officer or designee will notify the President or designee and OPSS.

**b. Idaho Falls (IF) campus.** University of Idaho IF facilities may be closed due to an ISU-Idaho Falls (ISU) closure. In the event of an ISU closure, the Idaho Falls executive officer or designee will notify the President or designee and OPSS.

**c. Co-located UI offices.** University of Idaho offices co-located with federal, state, or county offices may be closed due to a building closure. In the event of a closure, the UI executive officer at the co-located facility or designee will notify the President or designee and OPSS.

**DB-4 Consideration of Conditions:**

A decision to close a ~~u~~University facility may be based on any, or all, of the following factors:

**a.** Weather information gathered from official weather reports and forecasts. In most cases, ~~u~~University facilities will not close for winter conditions unless there is a severe weather event or hazardous conditions.

**b.** Relevant guidance ~~Decisions~~ from city, county, regional, and ~~agencies~~ authorities.

**c.** Advice from local police and county sheriff's departments surrounding the affected campuses and facilities.

**d.** Consultation with UI Office of Public Safety and Security (OPSS) and Facilities Services.



**Exceptions:**

~~**a. Coeur d'Alene (CDA) Campus.** University of Idaho CDA facilities may be closed due to a North Idaho College (NIC) closure. In the event of a NIC closure, the CDA executive officer, or designee, will notify the President, or designee, and PSS.~~

~~**b. Idaho Falls (IF) Campus.** University of IF facilities may be closed due to an ISU Idaho Falls (ISU) closure. In the event of an ISU closure, the Idaho Falls executive officer, or designee, will notify the President, or designee, and PSS.~~

~~**c. Co-located UI Offices.** University of Idaho offices co-located with federal, state, or county offices may be closed due to a building closure. In the event of a closure, the UI executive officer at the co-located facility, or designee, will notify the President, or designee, and PSS.~~

**DB-54. Alerts and Notifications**~~notifications.~~ In the event of a decision to close any university facility, ~~faculty, staff,~~employees and students will be notified of the closure by the ~~university's~~University's ~~emergency alert~~Vandal Alert Notification ~~S~~system. Additional information related to the emergency and facility closure updates, leave information, and contact information, will be posted on the ~~university's~~University's home page. (<http://www.uidaho.edu/>).



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

**Faculty Staff Handbook (FSH)**

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title:

**Administrative Procedures Manual (APM)**

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title: **APM 50.51 Requests for Job Reclassification**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Brandi Terwilliger, Director of Human Resources**

**Policy sponsor, if different from originator: Brian Foisy, VPFA**

**Reviewed by General Counsel:  Yes  No** Name & Date: Kim Rytter, 12/28/23

**Comprehensive review?  Yes  No**

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change. Information contained in this item is now maintained on the HR website.
- 2. Fiscal Impact:** What fiscal impact, if any, will this change have?  
None
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
None
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

## **50.51—Requests for Job Reclassifications**

Last updated November 7, 2006

**A. General.** The classification of a position determines the pay grade to which it is assigned. UI, and other state agencies, follow the Hay System when analyzing the duties of non-faculty positions to determine the classification. Classification decisions are not based on an employee's job performance or on a comparison to the work that other employees perform. At UI, classification reviews are performed in Employment Services in Human Resources (HR). Reclassification decisions may be appealed. Procedures for requesting a reclassification appear in section C-1, procedures for appealing reclassifications appear in C-2.

The reclassification process is for classified (CL) employees only. For exempt (EX) employees, the promotion process found in the Faculty Staff Handbook 3370 should be followed. [ed. 11-06]

**B. Process.** The classification analyst will perform a job analysis to determine the appropriate classification at the time the position is established, or subsequently when an approved request is received in HR. Reasons for reclassification may include: a significant change in job responsibilities and tasks either requiring higher level knowledge, skills and abilities (upward reclassification), a significant change in job responsibilities and tasks requiring the same level of knowledge, skills and abilities but a change in title (lateral reclassification), or a significant change in job responsibilities and tasks requiring a lower level knowledge, skills and abilities (downward reclassification. Note: The downward reclassification is not tied to job performance. See APM 50.21 for information regarding demotion of Classified employees.) The employee must be performing the new duties for six months or more prior to the submission of the reclassification paperwork. The division or unit submitting a request for reclassification provides the funds for any necessary salary increase that results from the review. Implementation of reclassifications is normally effective at the beginning of the fiscal year. Departments may implement changes retroactively to the date following the six-month period the incumbent has been performing within the new classification. Classification decisions may be appealed. [rev. 11-06]

### **C. Procedure:**

**C-1. Procedure for requesting job reclassification.** The following procedures should be followed in requesting a job reclassification for university employees:

- i) **Obtain Reclassification Packet.** After the employee has been performing the new duties for at least six months, obtain the reclassification packet from the HR website: <http://www.hr.uidaho.edu/default.aspx?pid=5632> or call HR at (208) 885-3611 for directions.
- ii) **Complete Job Description.** Complete a results-oriented job description on the form provided and attach a copy of the previous job description on file, together with an organization chart showing where the position fits in the department or administrative unit. The job description may be sent for review prior to submission of the reclassification, however, additional changes may be requested upon review of the reclassification questionnaire. [rev. 11-06]
- iii) **Complete Questionnaire.** Complete the Position Review Reclassification Questionnaire.
- iv) **Obtain Authorizing Signatures and Submit Completed Packet.** Obtain the required signatures of the supervisor, dean or director, and appropriate provost or vice president. Submit to Employment Services the entire packet of material for reclassification evaluation. Materials in this packet should include:
  - a) Proposed new results-oriented job description.
  - b) Copy of the previous job description.
  - c) Organization chart.
  - d) Position Review Reclassification Questionnaire.

e) Completed signature sheet with appropriate sign-offs indicating the source of funds (budget number) from which the upgrade would be funded.

v) **Email Revised Job Description.** E-mail an electronic copy of the new results-oriented job description (see iv. a) to Employment Services at [melissad@uidaho.edu](mailto:melissad@uidaho.edu). [~~ed. 11-06~~]

vi) **Desk Audit.** A classification analyst from Employment Services may conduct a desk audit of the position by meeting in person or over the telephone with the incumbent to review the reclassification questionnaire and job description. The analyst may also meet in person or over the telephone with the supervisor to obtain additional information and confirm concurrence with responses provided by the incumbent.

vii) **Calculation of Hay Points.** A comprehensive analysis of the position is completed and the position is Hay point factored by the analyst to determine job value based on the knowledge, problem solving, accountability and working conditions of the position.

viii) **Written Recommendation.** A written recommendation is sent to the dean or director of the unit with copies to the supervisor, Affirmative Action Coordinator, and incumbent attached for appropriate distribution. [~~ed. 11-06~~]

ix) **Action by Department.** Within 30 days of receiving the reclassification recommendations from Employment Services, the dean or director has the responsibility to take one of the following courses of action. Allowing the employee to continue working out of classification is not an acceptable option.

a) Make the decision to implement the recommendation; or

b) Return the recommendation to the analyst in Employment Services asking which duties should be pulled in order to sustain the current title and pay grade; or

c) Determine which duties should be added to be able to upgrade the position; or

d) Return the recommendations to the analyst in Employment Services to consider a different classification.

Once approval of funds to support the position reclassification is received from the appropriate provost/vice president, the department will need to initiate a Personnel Action Form (EPAF) on the University Banner HR system to start the new rate on the Sunday of a new pay period, and **forward the new signed job description to HR for the incumbent's personnel file.**

## C-2. **Procedure for appealing a reclassification.**

i) **Notice of Appeal.** If after having a follow up meeting with the classification analyst, the supervisor and the employee do not agree with the final classification decision made by HR, then the classification appeal process can be initiated. Appeals of Employment Services classification decisions are submitted directly to the vice president of finance and administration. A *Notice of Appeal* form must be filed with the vice president for finance and administration, with a copy to the Classified Position Appeals Board (CPAB) chair, within thirty calendar days of the date the notice of the Employment Services decision was received by the supervisor and by the affected employee.

ii) **Hearing Schedule.** The vice president for finance and administration will notify the director of Employment Services that a *Notice of Appeal* form has been received and that an advisory opinion is being requested from the CPAB. The vice president will request that Employment Services supply seven copies of available documentation to the CPAB chair within 10 working days. CPAB will schedule a hearing at the earliest time convenient for all parties.

iii) **Hearing.** The director of Employment Services, the classification analyst, the employee, and his or her supervisor will be notified of the date, time, and place of the hearing by the CPAB chair. The hearing will proceed as follows: the analyst from Employment Services will present the basis for the recommendation that was made; the employee or supervisor, or both, will present

reasons for disagreement; the classification analyst will be given time for closing comments as will the employee and the supervisor. The board may ask questions for further clarification after the presentations. The board will then meet in closed session for deliberation and to develop a recommendation to be submitted to the vice president.

iv) **Decision.** The CPAB will forward its recommendation to the vice president for finance and administration. The vice president will review the recommendation, make a decision, and notify the employee, the employee's supervisor, the director of employment services, the classification analyst and the CPAB chair of the final decision.

D. **Information.** Information regarding position classification procedures, requests for reclassifications, and appeals of classifications may be obtained from Human Resources, (208) 885-3611 or [employment@uidaho.edu](mailto:employment@uidaho.edu).



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

**Faculty Staff Handbook (FSH)**

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

**Administrative Procedures Manual (APM)**

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **APM 45.16 SPONSORED PROJECT PAYMENT MANAGEMENT**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator:** Sarah Martonick

**Policy sponsor, if different from originator:** Chris Nomura, VPRED

**Reviewed by General Counsel:**  Yes  No Name & Date: Manisha Wilson, 12/29/23

**Comprehensive review?**  Yes  No

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
Rewritten to clarify processes to match Chart V (Banner) updates and to update format.
- 2. Fiscal Impact:** What fiscal impact, if any, will this change have?  
None
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

## 45.16 -- Sponsored Project Payment Management

**A. Purpose.** To define the general policy for submitting requests to sponsored for payments and the associated internal controls.

**B. Scope.** This policy applies to all sponsored projects where payments must be requested from the sponsor.

### C. Definitions

**C-1. Cost reimbursable.** Any projects whereby the agreement specifies that payment will be made after costs have been incurred as outlined in the agreement's terms and conditions.

**C-2. Scheduled pay.** Any projects where the agreement terms specify that the sponsor will be invoiced or make automatic payments based on scheduled amounts. Such projects may or may not be fixed price.

Unless otherwise specified in a grant or contract agreement, all payments are requested on a cost-reimbursable basis.

### D. Policy

**D-1. Individuals authorized to request sponsored project payment.** The Authorized Organizational Representative (AOR), the supervisor of the OSP Financial Unit, and the employees of that unit are the only individuals authorized to request sponsored project payments on behalf of the university.

**D-2. Timeliness of payment requests.** The following schedule will be used for requesting payments on cost-reimbursable sponsored projects:

- a. **Letters of credit.** Biweekly coinciding with the payroll cycle, and at the end of each calendar quarter.
- b. **Other cost reimbursable.** Monthly or quarterly as per internal policies on minimum billing, or as otherwise delineated by the agreement terms.
- c. **Fixed-price scheduled billing.** The Financial Unit staff will run the Financial Unit Due Date report by event code LS% for the following month and send invoices to the sponsor by the deadline listed in the report. At the end of each month the Financial Unit staff will run the Fixed-Price Setup report and audit for any missed billing. The Financial Unit supervisor will run this report periodically to check for completeness of the billing and inform staff of any missed billing.

**E. Procedure.** To ensure timeliness, accuracy, and allowability of payment requests, the following internal control procedures are to be used:

**E-1. Report of unbilled charges and undistributed cash.** Prior to issuing an invoice a report of unbilled charges and undistributed cash must be run to ensure that the amount of the payment request matches the total of the unbilled charges, net of any prior overpayments.

**E-2. Letter-of-credit drawdowns.** Each letter of credit payment request shall be done by different individuals on a rotating schedule and the draws will be reconciled periodically by the Financial Unit supervisor.

**F. Contact information.** For additional information please contact [osp-billing@uidaho.edu](mailto:osp-billing@uidaho.edu), [osp@uidaho.edu](mailto:osp@uidaho.edu) or 208-885-6651.





## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment  
Policy Number & Title: **APM 45.17 FIXED-PRICE SPONSORED PROJECTS**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Originator: Sarah Martonick**

**Policy Sponsor, if different from Originator: Chris Nomura, VPRED**

Reviewed by General Counsel  Yes  No Name & Date: Manisha Wilson,  
12/29/23

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.  
Updating for current processes in Chart V as well as new CFR regulations governing fixed-price sponsored funding.
- 2. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
None- no change to how fixed-price agreements are processed.
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
None – only updating for current systems and regulations.
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## 45.17 Fixed-Price ~~Contracts/Grants~~Sponsored Projects

~~Created April 11, 2008~~

**A. Purpose.** This document states University policy on, and provides associated procedures for, the actions to be taken upon the completion of externally funded fixed-price ~~contracts/grants~~sponsored projects, especially when such ~~contracts/grants~~sponsored projects are concluded with a residual cash balance.

**B. Scope.** This policy applies to all fixed-price sponsored projects.

### **CB. Definitions:**

**CB-1. Fixed-pPrice ~~Contract/Grant~~Sponsored Pproject.** A fixed-price ~~contract/grants~~sponsored project (also known as a firm-fixed-price, firm-price, ~~or fee-for-service~~fixed-price contract/grant) requires a recipient to perform the work necessary to produce deliverables (i.e., services or property) as specified in the ~~contract/grant~~agreement for an established dollar amount and, usually, withinby a defined time frame. Under such an ~~agreement~~-~~contract/grant~~, the fundingprice is not subject to adjustment on the basis of the recipient's actual expenditures ~~cost~~-~~experience~~ in performing the ~~contract/grants~~sponsored project, and-payment for performance of the ~~contract/grants~~sponsored project remains constant despite the actual costs associated with the work ~~that might be~~ required to fulfill the terms of the ~~contract/grant~~agreement, including any overages or underages.

**CB-2. Residual fFunds.** Residual funds are the monies remaining at the completion of a ~~fixed-price sponsored~~ project-~~contract/grant~~, after all costs incurred in performing the work and fulfilling the deliverables in the agreement ~~contract/grant~~ have been paid and all ~~external funding has~~payments have been received.

**CB-3. Significant rResidual fFund bBalance (or sSignificant bBalance).** A significant residual fund balance is defined by the University as residual funds equal to or greater than ~~ten (10) percent~~ 10% of the total ~~contract/grants~~sponsored project price.

### **DC. ~~REQUIREMENTS OF FIXED-PRICE CONTRACTS/GRANTS~~Policy:**

**DC-1. ~~When to use a fFixed-pPrice Contract/Grant~~agreement.** ~~The~~-~~A~~ fixed-price ~~contract/grant~~agreement mechanism offers benefits to both project sponsors and Principal Investigators (PIs). Because the final cost of a product or service provided under a fixed-price ~~contract/grants~~sponsored project is established and accepted prior to the performance of the ~~contract/grants~~sponsored project, a project sponsor is relieved of the risk that its cost for the deliverable(s) identified in the ~~contract/grant~~agreement may exceed its expectations and budget. ~~Principal Investigators~~PIs, as recipients of a fixed-price ~~contract/grants~~sponsored project, perform under a minimal administrative burden, which is delimited primarily by the periodic reporting on progress toward any defined benchmarks. In most circumstances, if the costs incurred to complete the project are less than the price paid by the sponsor for the performance of the ~~contract/grant, agreement,~~ the recipient institution retains the difference. In cases where a sponsor imposes a restriction on residual funds, the University will be obligated to comply with the terms and conditions in the fixed-price agreement.

### **ED-2. ~~Considerations for aAll fFixed-pPrice Contracts/Grants-sSponsored pProjects~~**

**a. Compensation.** The University must ensure that it is properly compensated for all allowable direct and indirect costs incurred under a fixed-price

~~contract/grant agreement~~, but due to the University's status as a non-profit entity it must-should also avoid generating a residual balance. Entering into a fixed-price ~~contract/grant agreement~~ for deliverables intended for the direct benefit or use of the sponsor may also make the University appear to have an unfair competitive advantage over for-profit businesses providing the same or a similar product or service at a higher cost.

**b. Unrelated Business Income Tax (UBIT) ~~r~~Review.** ~~+~~ -If the University receives funds for work that is regularly undertaken for the benefit of a sponsor and that is not consistent with the research, education, other sponsored activity, instruction, or public service missions of the University as a non-profit institution, the Internal Revenue Service may declare these funds to be unrelated trade or business income and, therefore, subject to unrelated business income tax. ~~The~~ Office of Sponsored Programs (OSP) shall consult with Business and Accounting Services regarding any agreement that has UBIT potential.

**c. Federal ~~r~~Requirements.** ~~+~~ -The University must ensure observance of the terms and conditions of the ~~contracts/grants sponsored projects;~~ must adhere to and consistently apply established cost principles and accounting standards; ~~and~~ and ~~must~~ fulfill its obligations under federal and state compliance and audit regulations. ~~(2 CFR Part 200 Subpart E – Cost Principles and 2 CFR Part 200 Subpart F – Audit Requirements.) (See OMB Circular A-21).~~ Among the laws that inform University contracting policy is the Anti-Kickback Act of 1986. Consistent with this statute, the University prohibits any employee from soliciting, accepting, or attempting to accept a kickback—money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind which is provided, directly or indirectly, for the purpose of improperly obtaining or rewarding favorable treatment in relation to a sponsored project contract/grant involving federal funds. ~~(See Anti-Kickback Act of 1986).~~

Compensation principles established by the federal government require that salary on sponsored programs be expressed in relation to the entirety of an individual's professional effort. ~~(2 CFR 200.430.) (See OMB Circular A-21).~~ The University demonstrates its conformance to these compensation principles, ensuring that compensation for sponsored programs accurately reflects the effort expended, by requiring the periodic verification of effort for ~~anyone~~ all non-temporary help employees with salary directly charged or cost shared to externally funded sponsored programs. ~~(See APM 45.09, Effort Commitment and Reporting).~~ The University, therefore, requires that faculty or staff report effort on a fixed-price ~~contract/grants sponsored project;~~ when if they have salary charged or committed as cost sharing to it. If no salary is charged or cost shared to the fixed-price ~~contract/grants sponsored project,~~ the effort put toward the performance the ~~grant/contracts sponsored project must be included in the report,~~ as is voluntary uncommitted cost sharing, in as part of the calculation of the total activities in which an employee has engaged in (and is compensated for) as part of ~~his or her~~ their ~~University~~ university appointment.

**d. Tracking of ~~e~~Expenditures.** ~~+~~ -The University must document project expenditures under a fixed-price ~~contract/grants sponsored project~~ in order to show that sponsor funds have been used as specified by the ~~contract/grant agreement~~ and that costs are fully and properly expensed. If unable to adequately demonstrate during the course of an audit that sponsor funds were used in the manner allowed by the ~~contract/grant agreement~~ and applicable policies and regulations, project costs may be disallowed and the University required to return them to the sponsor. Repeated audit findings related to fixed-price

~~contracts/grantsponsored projects~~ may compromise the ability of the University to enter into these agreements with state and federal agencies.

## **ED. Review and Approval of Fixed-Price Contracts/grants Procedure**

**E-1. Pre-aAward rReview and aApproval.** All ~~contract/grantsponsored project~~ proposals, including proposals for fixed-price ~~contracts/grantsponsored projects~~, must be presented by the Principal Investigator to the Office of Sponsored Programs for review of the proposal materials, terms and conditions, and assessment of the proposed project budget and scope of work prior to submission to the sponsor. The project budget should take into account all direct and indirect costs associated with the performance of the project and should include sufficient detail to make accurate accounting practicable. The ~~contract/grantagreement~~ must be approved and signed by the individual with signature authority for such documents ~~under APM Section 60.20~~.

**E-2. Closeout of Fixed-Price Agreements- Closeout of fixed-price agreements.** Upon completion of the work to be performed under a fixed-price contract/grant, the ~~Principal Investigator PI~~ must provide the following information to the Office of Sponsored Programs:

- Substantiation that all work required under the contract/grant has been completed
- Confirmation that no outstanding expense items remain open or in question with the sponsor and that all allocable and allowable costs have been charged to the project funding
- Certification that all required deliverables and reports have been provided to and accepted by the sponsor

The final account balance will be determined only after the final payment from the sponsor has been received, all salaries and outstanding invoices have been paid, and all F&A costs have been recovered by the University.

**E-3F. Contract/grant cCloseout with rResidual fFunds.** In the event that the ~~Principal Investigator PI~~ completes the required work for less than the ~~contract/grantagreement~~ price, the ~~Principal Investigator PI~~ may request that the project account be closed and ~~that~~ the residual funds be distributed to the College or non-academic unit in which ~~she or he the PI~~ is a faculty member. These residual funds are considered deferred revenue of the University, and F&A costs and unrelated business income tax (if applicable) will be assessed against them prior to their distribution. ~~The remaining funds will then be disbursed in accordance with the University procedure for the distribution of earned F&A.~~ The sponsored project account will be closed only after the transfer of the residual funds. A College-unit receiving such funds may use them for any permissible use in support of the research, education, or public service missions of the University.

If there is significant residual fund balance, at the completion of work for the contract/grantsponsored project (i.e., an amount greater than or equal to ~~ten (10) percent~~ 10% of the ~~contract/grantsponsored project~~ price), ~~at the completion of work for the contract/grant~~, the ~~Principal Investigator PI~~ must provide a written explanation for the substantial discrepancy between the ~~cost~~ expenses needed to perform the ~~contract/grantsponsored project~~ and the costing that led to the contract/grantsponsored project price. This explanation should be supplied by the ~~Principal Investigator PI~~ to the Office of Sponsored Programs, which will use it along with the information that the ~~Principal Investigator PI~~ is required to provide upon closeout of the agreement (section under E. Closeout of Fixed-Price Agreements E-2) as the basis for an audit of the project.

Residual funds will be distributed to the college or non-academic unit College of the Principal Investigator PI upon the satisfactory conclusion of the audit and by per the distribution allocation as approved of the Vice President for Research, ~~or the Vice President for Research~~ or their designee.



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title:

### Administrative Procedures Manual (APM) 45.08

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title: **APM 45.08 COST SHARING ("MATCH") ON SPONSORED PROJECTS**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Originator: Sarah Martonick**

**Policy Sponsor, if different from Originator: Chris Nomura, VPRED**

**Reviewed by General Counsel**       Yes    No    Name & Date: Manisha Wilson, 6/30/23

1.     **Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.

This policy is being updated to reflect new compliance requirements and accounting standards that govern sponsored funding, primarily from 2 CFR 200, but also the University changes from Chart 9 to Chart V fund-based accounting and the use of Banner to manage cost share companion accounts.

2.     **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?

None.

3.     **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

APM Chapter 45

4.     **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

To be effective as soon as practical.

## 45.08 -- Cost Sharing ("Match") on Sponsored Projects

December 2018

**A. ~~General Purpose.~~ ~~Identifying university policies on~~ This policy regulates offering, providing, and reporting on cost sharing.**

**B. Scope.** This policy covers all proposals where cost share towards project expenses is being offered by the University, as well as any sponsored project awards with cost share completion and reporting requirements. Some sponsored projects require the University and/or third parties to contribute a portion of the project costs. Such contributions are known as "cost sharing" or "match." The requirement for cost sharing or matching funds is an indication that contributions beyond those provided by the sponsor are necessary to fulfill the objectives of the project. Once included in a proposal and confirmed in its corresponding award document, cost share becomes a binding obligation of the University and must be contributed towards the fulfillment of the project.

### **CB. Definitions:**

**C-1. Cost sShare.** When a sponsored project includes University and/or third parties contributing a portion of the project costs, such contributions are known as "cost share" or "match." The requirement for cost sharing or matching funds is an indication that funding beyond that provided by the sponsor is necessary to be able to fulfill the objectives of the project. Once included in a proposal and confirmed in its corresponding award document, cost share becomes a binding obligation of the University and must be provided towards the fulfillment of the project. There are three types of cost share:

**B-1-a. Mandatory cCost sShare. e** ~~That~~ portion of the University contribution to a sponsored project which is required by the terms of the project, typically noted in the Request for Proposal (RFP) or Funding Opportunity Announcement (FOA) or similar document. ~~-Any mandatory cost share must be included in the proposal in order for the proposal to receive consideration by the sponsor.~~

**B-2-b. Voluntary cCommitted cCost sShare. :** ~~Resources that are committed and budgeted for in a sponsored agreement, but that would are not be required by the sponsor in order for a proposal to be considered. -Although not required by the sponsor, this cost share is a binding commitment and is tracked by the University.~~ *[rev. 3-13]*

**B-3-c. Voluntary uUncommitted cCost sShare. :** ~~The voluntary contribution of institutional resources, including faculty effort, that is over and above the mandatory or voluntary committed cost share. Such cost sharing is not required by the sponsor as a condition of the award and is not quantified in the project budget or other proposal application (proposal) form(s, but) but is expended by the University. An example of voluntary uncommitted cost share is "The University of Idaho project director -will have direct oversight on the project. provide lab space to conduct this research". -This is listed in the proposal, but since there is no quantified amount listed, it is not tracked by the University.~~ *[rev. 3-13]*

**DE. Policy.** ~~Due to the effect of cost sharing on the Facilities and Administration (F&A) rate, it is the position of the Office for Research and Economic Development (ORED) that wW~~ hen cost sharing is required by the agency, only the minimum cost share necessary to satisfy the requirement may will be offered to the sponsoring agency. -Requests to offer more than the minimum cost share required by a sponsor must be authorized by the unit administrator, college dean and the VP for Research and Economic Development or delegatesignee. Voluntary committed cost share is generally prohibited. Only in rare circumstances will voluntary committed cost share be authorized, and such authorizations must be provided by the unit administrator, college dean and the VP for Research and Economic Development.



Note that Federal funding sources and other sponsored projects (Fund Type 22) generally ~~cannot~~ may not be used for cost sharing or matching purposes. This includes all Smith-Lever, Hatch, or other federal funds appropriated to the University. The Office of Sponsored Programs (OSP) will provide notification of any required cost sharing at the start of a project and with any subsequent funding authorizations. *fed. 12-18*

## **ED. Process/Procedures:**

**ED-1. Allowable/unallowable expenses.** If cost share has been approved on a project, the following ~~guidelines-requirements~~ apply to what are allowable and ~~unnon~~-allowable expenses for cost share purposes. Note that in order to be ~~used-provided~~ as cost share, any such expenses must ~~occur~~ be incurred during the project period.

**a.) Items unallowable as direct costs.** An expense must be allowable as a direct cost to the project if it is to be used as cost share. One common exception is when the agency stipulates that indirect costs are unallowable but that any all or a portion or all of the unrecovered indirect costs may be used as cost share. Unrecovered indirect costs are the indirect costs that are not chargeable to an award due to sponsor limitations on the indirect rate.

**b.) Equipment and office space.** Existing equipment and office space on any University-owned or ~~leased~~ property is part of the University's indirect cost rate calculation, and ~~cannot~~ may not be used as cost share.

PIs should be aware that when preparing proposals for sponsored agreements they cannot commit the use of ~~U~~University-owned or government-owned equipment as cost share. They can, however, characterize the equipment as "available for the performance of the project at no direct cost to the project."

Proposals which include the acquisition of special-purpose equipment as a direct cost may include an offer of ~~University~~University funds to pay for all or part of the cost of such equipment. These proposals may be for equipment or instrumentation grants, where the purpose of the grant is to buy equipment and the University is required to share the cost with the sponsor, or research-oriented sponsored projects where the purpose of equipment required for the research is an allowable expense included in the award. Note that the purchase and acquisition must occur during the period of performance. The portion of the purchase price paid by the University must be charged directly to a cost sharing ~~account~~ index in support of the award.

**c.) Waiver of indirect costs on cost-shared items.** The indirect costs associated with other cost-shared items may be used as matching ~~funds, if~~ funds if indirect costs are allowed by the granting agency.

**d.) Employee salaries.** If an employee's salary has been committed as cost share on a project, their salaries must be charged to the cost share index for the project and they must complete a periodic are required to complete ~~e~~Effort ~~r~~Reports to verify the actual effort working on the project. ~~s~~See APM 45.09. *fed. 3-13, rev. 12-18*

**e.) Third-party cost share allowances.** At the proposal stage an itemized letter of commitment signed by an authorized organizational representative is required if any portion of the cost share is being funded by a third party (or parties). After the fact documentation will be required from each third party if the project is awarded. Such documentation must certify that the cost share in the letter of commitment was provided to support the project and that none of the cost share was paid out of federal funds. I



This documentation must be signed by someone ~~in~~ at the appropriate level of authority ~~at~~ in the ~~third-party~~ third-party organization. *[rev. 3-13]*

**~~ED-2. Reports Provided by OSP.~~** ~~OSP prepares and will provide on request the following reports concerning cost sharing requirements: The Argos Cost Share Report (Finance, Production, Departmental Financial Reporting, Sponsored Programs Reports, Cost Share Report) is the official cost share report location.~~

~~a) Cost Sharing Report: Available for each budget project with a cost sharing commitment. This report lists the detailed cost share expenses reported to OSP to date and is provided to each unit at least once a semester and when changes occur.~~

~~b) Cost Sharing Report by College: Lists both active and terminated accounts with cost share commitments. Details the matching amount required, the accumulated amount matched, and the balance remaining to match. Sent upon request.~~

~~c) Termination Report: Details the unmet cost share commitment. This report is sent to the unit at the close date of the project.~~

**~~ED-3. Unit Responsibilities.~~** ~~The PI and unit should regularly review the cost-share indexes to make sure they are meeting their cost share obligation in a timely manner. ing reports, and notify OSP immediately if discrepancies exist. If operating expenses, temporary employee pay, and/or travel expenses are being used as match, the unit must provide OSP with the expense document numbers, dates, and budget(s) those expenditures were charged to on a regular basis. If the entire obligated cost share is not submitted by the PI and unit 15 days prior to the date the final financial report is due to the sponsor, the amount of direct expenditures allowed on the sponsored project must be reduced. The unit must transfer expenses off the sponsored project so that the cost share submitted meets the required proportion to the direct expenses as obligated in the award document. [rev. 3-13]~~

**~~FE. Contact Information.~~** Further questions regarding cost sharing should be addressed to the Office of Sponsored Programs, (208) 885-6651 or [osp@uidaho.edu](mailto:osp@uidaho.edu). FAQs on cost sharing and other sponsored programs can also be found on the [OSP website](#).



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **APM 50.35 Compensation Guidelines for Exempt Positions**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Policy originator: Brandi Terwilliger, Director of Human Resources**

**Policy sponsor, if different from originator: Brian Foisy, VPFA**

**Reviewed by General Counsel:  Yes  No** Name & Date: Kim Rytter, 12/28/23

**Comprehensive review?  Yes  No**

1. **Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Information contained in this item is now maintained on the Human Resources website.

2. **Fiscal Impact:** What fiscal impact, if any, will this change have?

None.

3. **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

None.

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

## **50.35—Compensation Guidelines for Exempt Positions**

Last updated November 7, 2006

A. **General.** Upon request, Employment Services in Human Resources assists administrators in establishing appropriate salaries for exempt positions by working with departments to suggest appropriate titles and create or update effective, results-oriented job descriptions and by analyzing duties of a position and comparing those duties with similar positions at comparable universities. Employment Services also assists in reviewing vacant positions to ensure that each appointment that is submitted for Board of Regents approval meets the criteria for exempt employment status and ensures that the university is in compliance with federal and state regulations. *[ed. 11-06]*

A-1. **Evaluation Criteria.** Criteria used for this review and analysis include applicable provisions of the federal Fair Labor Standards Act (FLSA), the Americans with Disabilities Act of 1990, and state of Idaho codes.

B. **Process.** Administrators desiring assistance in establishing or reviewing salaries for exempt positions should contact Employment Services at (208) 885-3611. *[ed. 11-06]*

C. **Procedure.**

### **C-1. Procedures for Initiating Review.**

i) **Departmental Action.** The departmental administrator provides the classification and compensation analyst with an electronic copy of a draft job description. The information should include an approximate percentage of time needed to accomplish each element, notations by each element designating whether it is essential or marginal, and minimum and desirable qualifications needed to successfully perform the position duties *[See 50.55]*.

ii) **Employment Services Response.** Based on the results anticipated and the duties described in the draft job description, Employment Services will consult with peer institutions' data and refer to salary surveys. The analyst will also perform Hay point factoring (Idaho's job evaluation system) for the position. A salary range, including a minimum, market, and maximum rate of pay is then recommended to the hiring administrator. If the position does not comply with state or federal law as an exempt position, alternative courses of action will be recommended to the hiring administrator.

iii) **Exception.** University initiated review. Exempt positions may be reviewed at any time upon the written request of a departmental administrator which bears the written approval of the appropriate dean, vice president, or the provost, or when Employment Services has received information that the position may not comply with federal laws or regents policies regarding exempt employment. *[ed. 11-06]*

### **C-2. Actions following Review**

— i) **Actions Relating to FLSA Requirements.**

a) **Positions subject to FLSA Wage and Hour Requirements.** If the Employment Services review determines that the position is subject to the wage and hour requirements of the FLSA, the administrator will be advised that the position needs to be converted to classified status. (This is necessary because the FLSA requires payment of overtime compensation at the time-and-a-half rate for hours worked over 40 hours in a workweek whereas persons in exempt positions are not eligible to earn overtime compensation.) To correct this situation and comply with FLSA requirements, the conversion to classified status must occur the following pay period and it is necessary to track hours worked each week. *[ed. 11-06]*

(1) In some situations, it is possible that all overtime worked during the prior three years would be payable or banked at the time-and-a-half rate if requirements of the FLSA had applied to the duties of the position during that time.

~~b) Positions not subject to FLSA Wage and Hour Requirements. If the Employment Services review confirms that the position is not subject to FLSA wage and hour requirements, the position will remain exempt. [rev. 11-06]~~

~~ii) Salary Adjustments:~~

~~a) Exempt Positions Converted to Classified Positions. If the exempt position is to be converted to a classified position, the conversion and salary adjustment (if any) must occur at the beginning of the first pay period after approval in writing by the dean or vice president. The salary must be within the range of the classified pay grade to which the position is assigned. [ed. 11-06]~~

~~b) Exempt Positions Not Converted to Classified Positions. Because exempt employees work on annual contracts wherein the annual salary has been agreed to in advance by both the employer and employee, absent a written statement explaining compelling justification, salary increases are offered to exempt employees only at the beginning of the next contract period (assuming the employee is re-appointed). Compelling justification warranting a salary increase during the contract period could include, but is not limited to, reasons such as: [ed. 11-06]~~

~~(1) A finding by the affirmative action officer that the salary is inequitable on the basis of protected status;~~

~~(2) Determination by Employment Services that the salary is below the minimum salary prescribed by Idaho code for exempt employees. [ed. 11-06]~~

~~(3) Temporary assignment of additional duties on a short term basis.~~

~~(4) Verification that, because of constraints on external support salary sources, the employee's annual salary increase occurs on a date other than at the beginning of the University fiscal year.~~

~~(5) Significant additional responsibilities.~~

~~c) All Salary Adjustments for Exempt Positions Require Regents Approval. Pursuant to Idaho State Board of Education Governing Policies and Procedures Section II, D, 3, any mid-year salary adjustments for exempt employees require regents approval. [ed. 11-06]~~

**D. Information.** Any questions regarding compensation guidelines for exempt positions should be addressed to Employment Services at (208) 885-3611. [ed. 11-06]



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://sitecore.uidaho.edu/governance/policy>.

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision \*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Emergency  Minor Amendment

Policy Number & Title: **APM 45.35 – University of Idaho Unmanned Aircraft Systems (“UAS”)**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Originator:** Kay Dee Holmes, Assistant Director for Research Integrity, UAS Coordinator

**Policy Sponsor, if different from Originator:** Arch Harner, Office of Research Assurances Director

**Reviewed by General Counsel** \_\_xx\_\_ Yes \_\_\_No Name & Date: Manisha Wilson 2/29/2024

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed addition, revision, and/or deletion.
  - Standardized and updated formatting.
  - Clarification on existing requirements.
  - Address policy gaps & remove unnecessary language.
- 2. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have? None.
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it. None.
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

## APM 45.35-- University of Idaho Unmanned Aircraft Systems ("UAS")

Updated: ~~February 1, 2017~~

~~**Preamble:** This policy, and the related policies and procedures described herein, is intended to ensure that the University operates any unmanned aircraft system in the furtherance of its educational, research, and service missions, as well as in compliance with applicable federal and state laws. This policy shall be effective immediately.~~

### Contents:

- A. Purpose
- B. Scope
- C. Definitions
- ~~B-D.~~ Policy
- ~~C.~~ Process/Procedure
- ~~D-E.~~ Insurance
- F. UAS Committee Authority & Responsibilities
- G. Vice President of Research Authority & Responsibilities
- H. Contact Information

~~**A. Definitions. Purpose.** This policy ensures that the use of any unmanned aircraft system for University business complies with federal, state, and local rules and regulations.~~

### ~~**B. Scope.**~~

~~**B-1. Applicable.** This policy applies to University employees, third parties, visitors, and students operating UAS on behalf of the university.~~

~~**B-2. Not Applicable.** This policy does not apply to personal use of UAS by University employees, students, or third parties on University property, including but not limited to recreational or hobby flight of model aircraft. See APM 95.35 and 35.35 for information on personal use of UAS on University property.~~

### ~~**C. Definitions.**~~

~~**C-1. Certification of Waiver; Certificate of Authorization ("COA")** means a Federal Aviation Administration grant of approval for a specific unmanned aircraft flight operation. ~~Standard use of a UAS under 14 CFR Part 107 does not require a COA.~~~~

~~**C-2. Civil Operation** means any UAS operation falling outside the scope of a public aircraft operation, such as an operation involving a commercial purpose or an operation involving research or other institutional activity outside the definition of governmental function. ~~rev. 2-17~~~~

~~**C-3. Commercial Purpose** means the transportation of persons or property or other use of UAS for compensation or hire.~~

**C-4. Governmental Function** means an activity undertaken by a government, such as national defense, intelligence missions, firefighting, search and rescue, law enforcement (including transport of prisoners, detainees, and illegal aliens), aeronautical research, biological or geological resource management.

**C-5. Public Operation COA** means a COA granted by the FAA for a public aircraft operation. Public aircraft operations are those conducted by a public agency, like the University, in furtherance of a governmental function.

---

~~A-1. Aircraft~~ means any contrivance invented, used, intended to be used, or designed to navigate, or fly, in the air.

~~A-2~~**C-6. Responsible Party (or Parties)** means a university employee, third party, visitor, or student operating UAS on behalf of the University.

**C-7. Unmanned Aircraft System** ("UAS") means an aircraft that is operated without the possibility of direct human intervention from within or on the aircraft and associated elements (including communication links and the components that control the unmanned aircraft) that are required for the pilot in command to operate safely and efficiently in the navigable airspace of the United States under the regulatory authority of the Federal Aviation Administration ("FAA").

~~A-3. Certification of Waiver, Certificate of Authorization~~ ("COA") means a Federal Aviation Administration grant of approval for a specific unmanned aircraft flight operation. ~~Standard use of a UAS under the Section 107 does not require a COA. [rev. 2-17]~~

~~A-4. Navigable Airspace~~ means the airspace of the United States above the minimum altitudes of flight prescribed by the regulations of the FAA, including airspace needed to ensure safety in the takeoff and landing of aircraft.

~~A-5. Public Operation COA~~ means a COA grant by the FAA for a public aircraft operation. Public aircraft operations are those conducted by a public agency, like the University, in furtherance of a governmental function.

~~A-6. Governmental Function~~ means an activity undertaken by a government, such as national defense, intelligence missions, firefighting, search and rescue, law enforcement (including transport of prisoners, detainees, and illegal aliens), aeronautical research, biological or geological resource management.

~~A-7. Civil Operation~~ means any UAS operation falling outside the scope of a public aircraft operation, such as an operation involving a commercial purpose or an operation involving research or other institutional activity outside the definition of governmental function. ~~[rev. 2-17]~~

~~AC-8. Commercial Purpose means the transportation of persons or property or other use of UAS for compensation or hire.~~

~~B. VPRED means the university's Policy.~~

~~**B-1. Introduction.** The University, in carrying out its educational, research, and service missions, may make use of Unmanned Aircraft Systems ("UAS"), more commonly known as "drones," in Navigable Airspace when granted authorization to do so by the FAA. As a "governmental instrumentality for the dissemination of knowledge and learning," the University of Idaho is eligible for Public Operation certificates of waiver or authorization ("COAs") from the FAA that permit the University to fly UASs in the furtherance of a Governmental Function and where use of UAS would otherwise be prohibited under current law. The University has committed to the FAA that it will not use any UAS for purposes that are not Governmental Functions, including but not limited to Commercial Purposes, or for purposes otherwise authorized by the FAA, including but not limited to authorization through a Special Airworthiness Certificate, Experimental Category, or through exceptions that may be granted under Section 333 of the FAA Modernization and Reform Act of 2012 ("Section 333") or through 14 C.F.R. §§107.1 et seq. ("Part 107"). This policy is intended to ensure University compliance with federal and state laws regarding UAS. [rev. 2-17]~~

~~**B-2. Policy.** No use of UAS may be undertaken by University faculty, staff, and students, or by third parties (including, but not limited to, consultants or contractors) acting on behalf of the University, without: 1) prior review by the UAS Committee; 2) approval by the Vice President for Research and Economic Development or designee.~~

~~D. Policy.~~

~~**D-1.** No indoor or outdoor use of a UAS may be undertaken by a Responsible Party without:~~

~~a. Prior review by the UAS Committee;~~

~~b. Prior approval by the VPRED; and, if necessary, 3) approval~~

~~c. Approval by the FAA of a COA and/or any other authorizations or exemptions applicable to the University use. [rev. 2-17] as required by FAA regulations.~~

~~Personal **D-2. Compliance with FAA Regulations, Laws, and Policies.**~~

~~The Responsible Party is personally responsible for complying with FAA regulations, state and federal laws, and University policies with respect to the use of UAS. Any waivers required from the FAA to conduct UAS flights must be obtained by the Responsible Party before flights occur.~~

~~**D-3. Drones weighing more than 55 lbs.** Use of a drone larger weighing more than 55 lbs at take-off on behalf of the University faculty, staff, students, is not permitted unless the Responsible Party first obtains an~~



~~exception or third parties on authorization from the FAA and receives approval as stated in D-1.~~

## **E. Insurance.**

**E-1. Liability insurance required.** UAS liability insurance is required before any UAS activity by a Responsible Party may be carried out.

**E-2. University property, including but not limited to recreational or hobby flight of model aircraft, is governed by APM 95.35, Personal Use of Unmanned Aircraft Systems on Campus, which prohibits such use on Owned UAS owned by University's.** A UAS's owned by the university must be added to the University's insurance coverage via the Risk Management website before any flights are conducted.

**E-3. UAS's not owned by University Third Parties.** A Responsible Party using a UAS not owned by the University property. See also APM 35.35, Public Use and Liabilities must provide proof of insurance coverage that lists the University as a covered party and provides coverage that meets the requirements set by the state of Idaho.

## **C. Scope of F. UAS Committee at Authority and Responsibility for Review, Approval, and Monitoring of University Use of UAS Responsibilities.**

~~C~~

### **F-1. UAS Committee.**

**a.** The UAS Committee is an ad-hoc committee established by the President, pursuant to FSH 1620B-3, to advise the VPRED, who acts on behalf of the President in matters related to the use of UAS. The Committee will be appointed by and report to the VPRED. The UAS Committee is the principal mechanism by which the University ensures that it is meeting its obligations under federal and state law applicable to UAS use and under any COA approved by the FAA and that ethical issues related to UAS use are given due consideration prior to use.

**b.** The UAS Committee may, with the assistance of ORA and subject to approval by the VPRED, develop and implement:

**1.** — ~~C~~ Standard operating procedures for use and operation of UAS;

**2.** — Procedures for expedited approval of UAS use;

~~1. P~~ procedures for submission of a proposal to the UAS Committee;

**3.**

~~2. P~~ procedures for appeal to the VPRED of any denial of a proposed UAS use by the UAS Committee; and

**4.**

5. ~~I~~—internal rules and procedures for the operation and administration of the UAS Committee, as may be consistent with this policy.

## **F-2. UAS pProposed uUse rReviews.**

**a. Procedures.** The UAS Committee will review and make a formal recommendation to the VPRED, ~~or his or her designee,~~ regarding any proposed use of UAS ~~in Navigable Airspace by any members of the University of Idaho community, including faculty, staff, students, or by third parties acting on behalf of the University~~by a Responsible Party. The UAS Committee will consider the legal and ethical issues related to the UAS use and apply relevant law, guidance from federal agencies, etc., in determining whether a proposed use should be recommended to the VPRED for approval. The Committee's review may:

1. ~~—The UAS Committee will determine whether a~~Recommend the proposed use ~~can be recommended for approval by the VPR as described, needs in the application;~~
2. Require modification to ~~be recommended the~~ application/proposed use before recommending it for approval, ~~or by the VPR;~~
3. Recommend that the proposed use should be denied, ~~—; or~~
4. Deny the proposed use. ~~(See subsection section c. below.)~~

**b. Approvals.** The UAS Committee shall only recommend for approval those uses that it reasonably believes:

1. To be a Governmental Function and therefore eligible for a Public Operations COA;
2. To be within those areas of activity covered by other authorizations or exemptions that may be granted by the FAA to the University for Civil Operations, including Part 107;
3. To be within the Model Aircraft Rule for educational use; or
4. To be covered by an authorization by the FAA for Civil Operations held by a third party, subject to an agreement between the University and third party with respect to such services. ~~[rev. 2-17]~~

**c. ~~—Denied uUse by the UAS Committee.~~** The UAS Committee may deny a proposed UAS use on the basis of factors including, but not limited to:

1. ~~T~~the proposed use raises risk or ethical issues;
2. ~~T~~the proposed use constitutes a Commercial Purpose;
3. ~~T~~the proposed use is not a Governmental Function eligible for coverage by a Public Operations COA;
4. ~~T~~the proposed use is not covered by other forms of authorization by the FAA for Civil Operation of UAS; or
5. ~~T~~the proposed use is prohibited by law without written consent of the individual or the owner of a farm, dairy, or

other agricultural industry, and such consent has not ~~and/or~~ cannot be obtained.

**d. —~~Appeal of UAS Committee d~~Denied ~~u~~Use.** If the UAS Committee denies a proposed use, the denial may be appealed, in writing, to the VPRED. Any proposed use which the UAS Committee determines needs modification may be recommended for approval, following completion of any required modifications.

**e. —~~Ongoing r~~Review.** The UAS Committee, with the assistance of the Office of Research Assurances (~~“ORA”~~), shall provide ongoing review of any use approved by the VPRED and covered by a COA ~~issued~~ or other forms of authorization provided by the FAA. ~~The UAS Committee may, with the assistance of ORA and subject to approval by the VPRED, develop and implement: standard operating procedures for use and operation of UAS; procedures for submission of a proposal to the UAS Committee; procedures for appeal to the VPRED of any denial of a proposed UAS use by the UAS Committee; and internal rules and procedures for the operation and administration of the UAS Committee, as may be consistent with this policy.~~

**~~F-3. Termination or Suspension~~Suspension or termination of approvals.** The Committee may recommend suspension or termination of any use it deems inconsistent with the use approved by the VPRED ~~and/or~~ the requirements of the applicable COA or other authorization granted by the FAA. Authority to suspend or terminate any previously approved use rests solely with the VPRED, ~~or designee.~~

### **~~C-3.G. Vice President of Research a~~Authority and ~~& r~~Responsibilities:**

**~~G-1. In general.~~** The VPRED is the ~~empowered~~ individual at the University ~~empowered to approve proposed UAS use by Responsible Parties. The UAS Committee is appointed by and reports to the VPRED.~~

**~~G-2. UAS u~~Use ~~a~~Approval ~~by~~VPRED.** Any proposed use of UAS recommended for approval by the UAS Committee shall be reviewed by the VPRED, ~~or designee,~~ and approved or denied. Only ~~those operations~~UAS use approved by the VPRED may be ~~covered by an application to the FAA, as necessary, and/or~~ undertaken by ~~University personnel, students engaged in coursework, or third parties operating on behalffa~~ Responsible Party. ~~Denials of the University. Only the VPRED, or designee, may submit an application for a Public Operations COA or similar applications to the FAA, after consultation with the Office of General Counsel. [rev. 2-17]~~use by the VPR are final and cannot be appealed.

**~~G-3. COA, w~~Waivers or ~~s~~Similar ~~a~~Applications to the FAA.** Only the VPRED may apply for a Public Operations COA or similar application after consultation with the Office of General Counsel. In some cases, ~~the Responsible Party may apply for a Public Operations COA or similar application, but only with written approval and authorization from the VPRED.~~

**G-4. Suspension or Termination of Approvals.** The VPRED may, at ~~his~~ ~~or her~~ their sole discretion, suspend or terminate any previous approval of UAS under this policy on the basis that actual use is inconsistent with the previous grant of approval by the VPRED ~~and/~~ or the requirements of an applicable COA.

**G-5. Signature authority.** Only the VPRED is authorized to sign permits or agreements authorizing UAS usage on university or non-university property. See FSH 3170, B-9.

**H. Contact Information.** For further information regarding implementation of this policy, ~~you may~~ contact the Office of Research Assurances, the UAS Committee, or visit the University UAS website.

~~Regulations authorizing section 336 has expired, the rules governing this are now section 349 (Exception for limited recreational operations of UAS, aka hobby flights) 14CFR Part 107, with these special exceptions. Now must take training, but no specifics on this, and no test at the end.~~

~~<https://www.federalregister.gov/documents/2019/05/17/2019-10169/exception-for-limited-recreational-operations-of-unmanned-aircraft>~~

~~<https://www.govinfo.gov/content/pkg/CFR-2020-title14-vol2/xml/CFR-2020-title14-vol2-part107.xml>~~

~~107 allows our employees to fly in class g airspace~~

~~349 allows students to fly in class g airspace — personal pleasure (not this APM) for educational purposes they would be this APM~~



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **APM 20.60 UNRELATED BUSINESS INCOME TAX**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Policy originator:** Amanda Bauer, Controller

**Policy sponsor, if different from originator:** Brian Foisy, VPFA

**Reviewed by General Counsel:** \_\_ Yes \_\_ No Name & Date:

**Comprehensive review?** \_\_X Yes \_\_ No Patrick Grace, 2/21/24

1. **Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Comprehensive review; addition of purpose and scope sections.

2. **Fiscal Impact:** What fiscal impact, if any, will this change have?

None

3. **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

Immediate

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

## 20.60 - Unrelated Business Income ~~Tax~~ (TaxUBIT)

### Owner:

\*—~~Email:~~ [controller@uidaho.edu](mailto:controller@uidaho.edu)

Last ~~reviewed/updated:~~ ~~March 31, 2015~~ ~~February 14, 2024~~ ~~March 5, 2024~~

~~Preamble:~~ Some university revenue producing activities may result in unrelated business income as defined by the Internal Revenue Service (IRS). Generally this will involve funds derived from a university business activity that is not substantially related to the university's exempt purposes of instruction, research and extension.

~~A. Purpose:~~ This policy addresses the requirement for the University of Idaho to report and manage unrelated business income as defined by the Internal Revenue Service (IRS), ensuring compliance with tax regulations and accurate reporting of revenue generated from activities not substantially related to the University's exempt purposes.

Formatted: Font: Not Bold

~~B. Scope:~~ This policy applies to all University uUnits engaged in revenue-producing activities that may result in unrelated business income, as well as personnel responsible for financial management and reporting within those uUnits.

Formatted: Font: Not Bold

~~C. Definitions:~~ None required.

~~BDC. Policy:~~ The University is required to file an annual tax return to the IRS and the State of Idaho reporting all unrelated business income, and thus an annual review of all revenue generated by University uUnits must be done in order to ensure accurate reporting. To the extent an activity results in tax to the University, the uUnits generating taxable revenue are responsible for the payment of any tax due.

~~CDE. Process/Procedure:~~ ~~General Accounting has a questionnaire that is used to make a determination as to the status of income derived from each activity.~~ Prior to engaging in any new income producing activity, uUnits are required to complete ~~the~~ questionnaire provided by ~~General Accounting has a questionnaire that is used to make a determination as to the status of~~ income derived from each activity. General Accounting may also require uUnits to update the questionnaire information for existing activities. The questionnaire is provided by available at General Accounting.

A spreadsheet will be sent out annually to all uUnits requiring them to review all revenue to determine if it is related or not to the exempt purpose of the university. The spreadsheet is to be filled out by department personnel and returned to General Accounting by the stated deadline.

~~DDE. Contact i~~nformation: Questions regarding unrelated business income should be directed to General Accounting at [gnrlacctg@uidaho.edu](mailto:gnrlacctg@uidaho.edu).

~~G. Forms:~~ None required.

~~H. Related Policies:~~ N/A



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

X Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **APM 35.66 LABORATORY DECOMMISSIONING**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Samir Shahat, Executive Director, Environmental Health and Safety**

**Policy sponsor, if different from originator: Brian Foisy, VPFA**

**Reviewed by General Counsel:  Yes  No** Name & Date: Manisha Wilson, 3/22/24

**Comprehensive review?  Yes  No**

- 1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.  
This policy was developed in collaboration with the Office of Research Assurances. It provides requirements for the removal of hazardous materials and equipment from laboratory spaces when the Principal Investigator (PI) or laboratory supervisor is leaving the University of Idaho, moving to another campus building, relocating to another laboratory within the same building, or disposing of or transferring laboratory equipment that is no longer needed. This policy also applies to the removal of all hazardous materials and equipment from laboratory spaces prior to a renovation.
- 2. Fiscal Impact:** What fiscal impact, if any, will this change have?  
None.
- 3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.  
None.
- 4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.  
Immediate.

## **APM 35.66**

### **Laboratory Decommissioning**

**A. Purpose.** This policy provides requirements for the removal of hazardous materials and equipment from laboratory spaces when the Principal Investigator (PI) or laboratory supervisor is leaving the University of Idaho, moving to another campus building, relocating to another laboratory within the same building, or disposing of or transferring laboratory equipment that is no longer needed. This policy also applies to the removal of all hazardous materials and equipment from laboratory spaces prior to a renovation.

**B. Scope.** This policy applies to all laboratories and laboratory equipment that are part of the University of Idaho, including all teaching laboratories, research laboratories, and auxiliary spaces serving as laboratories. Management of laboratory hazardous waste and biohazards is within the scope of APM sections 35.01, 35.11, 35.40, and 45.20.

### **C. Policy**

**C-1. Disposition of materials and sharps.** All chemicals, radioactive, and biological materials must be disposed of or their ownership transferred; hazardous wastes, sharps, and other wastes must be submitted to EHS for disposal in an appropriate manner before a laboratory is vacated.

**C-2. Surfaces and storage locations.** Laboratory work surfaces and storage locations for all hazardous materials must be thoroughly cleaned and decontaminated before a laboratory is vacated.

**C-3. Laboratory equipment.** All laboratory equipment must be thoroughly cleaned and decontaminated before removal from service, placing back into service, transporting to another location, storing in another location, or disposing of in a proper manner.

### **D. Procedure**

**D-1. Department chair.** The department chair must notify Environmental Health and Safety when a PI plans to vacate a laboratory, ensure PIs are aware of and follow procedures defined in this policy, and pay for all costs associated with the proper disposal or decontamination of hazardous materials or equipment remaining in the laboratory after the PI leaves the university (hazardous waste, unknowns, expired chemicals, equipment, etc.).

**D-2. Principal Investigator.** The PI is responsible for the following:

- a.** Notify EHS of the plan to vacate the laboratory at least four weeks in advance and begin review of applicable items from the [Laboratory Decommissioning Procedure and Checklist](#) or the [Laboratory Equipment Decontamination Form](#).



- b. Arrange for the transfer or disposal of all chemicals, radioactive materials, and biological materials prior to leaving the University of Idaho.
- c. Ensure all hazardous waste has been submitted for pickup and removed by EHS before leaving the University of Idaho.
- d. Ensure all laboratory rooms, storage areas, equipment, and work surfaces are thoroughly cleaned and decontaminated before vacating the assigned lab space.
- e. Ensure all laboratory equipment slated for removal has been decontaminated and has a completed and signed Laboratory Equipment Decontamination Form.
- f. Correct any nonconformance after an EHS decommissioning inspection.

**D-3. Environmental Health and Safety.** EHS is responsible for the following:

- a. Provide guidance to lab personnel on how to perform activities listed on the Laboratory Decommissioning Procedure and Checklist.
- b. Provide guidance on proper methods or procedures for decontamination of lab equipment listed on the Laboratory Equipment Decontamination Form.
- c. Collect all submitted hazardous chemical waste.
- d. Perform a laboratory decommissioning inspection when applicable activities described in the Laboratory Decommissioning Procedure Checklist have been completed by the PI, notify the PI and department chair of any findings, and identify any potential nonstandard costs for review and determination by Vice President of Research, Vice President of Finance and Office of Research Assurances.

**E. Nonstandard cost recovery**

**E-1. Department responsibility.** The responsibilities and procedures mandated above should be managed within normal office operations and existing budgets because the PI is familiar with the area or materials and can thus partner with EHS for timely and cost-effective assistance. Current procedures on how to identify, manage and request disposal of hazardous wastes prior to decommissioning can be found at the [Environmental Health and Safety website](#). Should decommissioning result in nonstandard costs, the department is solely responsible for the cost of remediation. Nonstandard costs are those that arise due to the specific nature of the waste or failure of the PI or laboratory supervisor to correctly and timely identify, manage, and request disposal of hazardous wastes prior to decommissioning. Whether an identified cost is nonstandard will be jointly determined by the Vice President of Research and Vice President of Finance in consultation with Environmental Health and Safety and the Office of Research Assurances.

**E-2. Funding source identification.** EHS will provide an estimate of nonstandard costs to the department. Within 10 business days, the department must identify to EHS a funding source. EHS will then engage the appropriate services.

**E-3. Discretionary loan.** The department's parent college may petition the Vice President of Research to grant a loan from the Office of Research to the department for all or some of the costs. If granted, the Office of Research will withhold all F&A recovery from the college until the loan is repaid from withheld F&A recovery. Additional loan terms may be negotiated between the college and the VPR. These terms may include, but are not limited to, suspension of proposal submissions by the involved college, loan interest, etc.



University of Idaho

POLICY COVER SHEET

For instructions on policy creation and change, please see
https://www.uidaho.edu/governance/policy

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to ui-policy@uidaho.edu.

Faculty Staff Handbook (FSH)

[ ] Addition [ ] Revision\* [ ] Deletion\* [ ] Emergency [ ] Minor Amendment

Policy Number & Title:

Administrative Procedures Manual (APM)

[ ] Addition X Revision\* [ ] Deletion\* [ ] Emergency [ ] Minor Amendment

Policy Number & Title: APM50.14 Name, Social Security Number; and Address Changes

\*Note: If revision or deletion, request original document from ui-policy@uidaho.edu. All changes must be made using "track changes."

Comprehensive Review was Conducted

Originator: Brandi Terwilliger, Direct or of Human Resources

Policy Sponsor, if different from Originator: Brian Foisy, VP Finance and Administration

Reviewed by General Counsel X Yes \_\_\_ No Name & Date: Karl Klein 12-7-23

Handwritten signature and date 4-3-24

- 1. Policy/Procedure Statement: Briefly explain the reason for the proposed addition, revision, and/or deletion. Updating to reflect correct process
2. Fiscal Impact: What fiscal impact, if any, will this addition, revision, or deletion have? None
3. Related Policies/Procedures: Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.
4. Effective Date: This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

ASAP

# 50.14 - Name, Social Security Number, and Address Changes

Last updated: November 07, 2006

**A. Purpose.** This policy addresses changes to an employee's name, address, and Social Security number in the University's Human Resources Information System.

**B. Scope.** This policy applies to all employees.

**C. General Policy.** Information in the University's Human Resources Information System regarding an employee's name, address and ~~social~~ Social security ~~Security~~ number (SSN) may be changed upon the request of the employee and submittal of appropriate documentation, if necessary.

## **DB. Procedureess:**

**D-1. In general.** Changes to an employee's name, ~~social security number (SSN,)~~ and address are entered into the Human Resources Information System (HRIS) only by Human Resources (HR) and the Payroll Departments. Changes are effective with the next available payroll cycle.

## **C. Procedure:**

**ED-21. Address Changeschanges.** -An employee may request a change of address by ;

u updating the address in the electronic system under employee tab (Refund Address, Campus Mail Address, Payroll Check Address and Mailing/Local Address) or by submitting a written request (all other address updates) to HR. Include name, ~~Vandal#SSN~~ and new or corrected ~~type of address or the employee may update their own address via the employee web using their PIN.~~ The change will be updated effective with the next available payroll cycle. The web change will not update the W2 address ~~or check mailing address.~~ -Please submit an address change request on Payroll's website to update that address type.

**C-2D-3. Name or SSN Changeschanges.** An employee may request a name change, for reasons including but not limited to marriage, divorce, ~~and/or~~ change of legal name. You An employee may also provide you a preferred name that will be used for email; or other communications that don't require the legal name to be used.

;)a. An employee's name in the HRIS must match the employee's legal name as it appears on ~~his or her~~ their ~~social~~ Social security ~~Security~~ card. Therefore, to process a name change, a ~~social~~ Social security ~~Security~~ card in the name desired must be presented to HR with the request.

ii)b. When requesting the change, completion of new benefit and tax forms may be required.

ii)c. An employee's SSN in the HRIS must match the employee's SSN as it appears on ~~his or her~~their ~~social~~Social ~~S~~Security card. Therefore, to process an SSN change, a ~~S~~social ~~S~~Security card must be presented that accurately reflects the desired change.

**ED. Information.** Contact HR at (208) 885-3638, (208) 885-3602 (by fax) or Payroll Services at (208) 885-0284 or online at [HR Website](#).



## POLICY COVER SHEET

For instructions on policy creation and change, please see  
<https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment

Policy Number & Title: **APM 50.08 EVALUATIONS FOR CLASSIFIED AND EXEMPT STAFF**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using "track changes."

**Policy originator: Brandi Terwilliger**

**Policy sponsor, if different from originator: Brian Foisy**

**Reviewed by General Counsel:**  Yes  No Name & Date: Kim Rytter, 8/17/23

**Comprehensive review?**  Yes  No

1. **Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Revision to provide updated terminology and procedure.

2. **Fiscal Impact:** What fiscal impact, if any, will this change have?

None.

3. **Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

None.

4. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

# 50.08 - Evaluations for Classified and Exempt Staff

Last updated: November 20, 2006

**A. Purpose.** This policy addresses annual performance evaluations and probationary performance evaluations for staff.

**B. Scope.** This policy applies to performance evaluations for all classified and exempt staff.

**AC. General Policy.** Performance evaluation provides an opportunity for mutual goal setting, reinforcement, direction and communication. Evaluation based on the employee's current job description is a justified expectation of employees, ~~provided for authorized by in the~~ [FSH 3340] and Idaho Code 67-5309. The University of Idaho Staff ~~Performance~~-Evaluation form (see section E) [~~See 50.08 (E)~~] was designed to encourage all non-faculty staff members to grow professionally and to reach full potential in their work.

**AC-1. Annual performance evaluations.** Annual performance evaluations provide the basis for merit pay increase, career development, advancement, and ~~or~~ performance-related probation and termination of employment.

**AC-2. Probationary performance evaluations.** Probationary performance evaluations document the performance of classified employees (1) during entrance probation at the time of initial hire or promotion or transfer to a new position in which the employee has not been previously certified, [~~See FSH 3340 A-2~~], or (2) during the course of a performance-related probationary period [~~See FSH 3340 A-2.a. and See FSSH 3340 and APM 50.21.H3340 A-43340 A-4.~~] [~~See APM 50.21~~].

**DB. Procedures.**

**D-1. Timelines**

**Ba-1. Annual pPerformance eEvaluations.** Annual performance evaluations are completed during December-February for staff. Instructions and due dates are circulated annually by Human Resources (HR) to deans and directors, and subsequently forwarded by them to managers and supervisors according to college or administrative unit procedures. Staff are afforded the opportunity to provide written comments on their evaluations. Evaluations are signed by the staff member being evaluated and, the supervisor performing the evaluation. In some situations, -and the departmental administrator or designee may also sign. The evaluation procedure is designed to be interactive and include a conference between the employee being evaluated and ~~his or her~~their supervisor where performance during the evaluation period and performance plans for the following year are discussed.



**Bb-2. Entrance Probationary Performance Evaluations.** Entrance probationary performance evaluations for classified employees are performed twice--one after three months and one just prior to the conclusion of the six-month (13 bi-week) entrance probationary period. Upon successful completion of the entrance probationary period, the employee is certified in the classification.

**Bc-3. Performance-related Probationary Performance Evaluations.** Performance-related probation performance development plans/probation extensions evaluations for classified employees are generally performed three times--one at 30 days following placement on performance-related probation development plan/probation extension, one at 60 days and one at the conclusion of the 90-day performance-related development plan/probationary period extension. Upon successful completion of the performance-related development plans/-extended probation, the employee is restored to certified status. In some cases, the performance-related probationary period may be extended. If performance-related extended probation is not completed successfully, employment is generally terminated. [See FSH 3340 A-9 FSH 3340 A-9].

**D-2c. Departmental Procedure.** In early January/December, HR sends mails current instructions and due dates to each college or division. Completed evaluations are returned to HR by the date specified in the distribution memo. Original evaluations for classified and exempt employees are logged-in and filed in HR. Departmental procedures are as follows:

**C-1a. Review the Employee's Job Description.** Refer to the current job description for the employee being evaluated. Draft answers to evaluation form questions and rate the employee's performance based upon the expectations and guidelines stated within the job description in effect for the period during which performance is being evaluated. Factors that are also considered include, but are not limited to, quality and quantity of work, job knowledge, initiative, dependability, customer service, teamwork, attendance, communications, task management, budget management, safety, decision making, supervision, accountability, civility, judgment, leadership, problem solving, training/development, or other dimensions appropriate for review.

+) If there is no job description, or if the job description is outdated, a results-oriented University of Idaho Job Description (ROJDIJD) should be created for the next segment of employment. See [APM 50.55](#) for information on writing results-oriented job descriptions.

**C-2b. Request Self-evaluations Employee Input.** Supervisors may provide the employee with an opportunity to provide input. Sample input forms for this purpose can be found on the HR webpage under Forms and Documents. The input form will not be included with the annual evaluation, though the supervisor may use the input to assist in the creating of the actual annual evaluation. blank evaluation form and ask him or her to complete a self-evaluation. Review the self-



~~evaluation and make any desired changes to the performance evaluation prior to meeting with the employee.~~

**C-3c. Gather Information.** Refer to observations of performance and/or collect information on performance throughout the evaluation period from co-workers, other supervisors, and/or clients of the employee. ~~Provide comments and specific examples~~ Specific examples during the discussion can be helpful to share with the employee. Please work with HR prior to sharing the source for any feedback. Many supervisors find that maintaining a desk file for each employee for the evaluation period helps them focus their ratings and comments, and provide examples to illustrate or justify ratings.

**C-4d. Meet with the Employee.** Schedule a private time to meet and discuss the supervisor's ~~draft~~ evaluation and the employee's ~~self-evaluation~~ input form. Review the job description with the employee, discuss performance plans for the next evaluation period; inquire of the employee regarding ~~his or her~~ their plans or objectives for professional or skills improvement.

**C-5e. Complete Final Evaluation.** Complete the final evaluation form using input from the employee, yourself, your supervisor if appropriate, and other appropriate sources, and provide an overall rating of the employee's performance during the evaluation period. Please work with HR prior to sharing the source for specific feedback.

~~i) If a particular rating category does not apply to the employee—for example "Human Resource Management"—will not apply to an employee who does not supervise other employees—check NA and proceed to the next category.~~

~~ii) Ratings often vary from category to category. This is normal and reflects the employee's strengths and weaknesses.~~

~~iii) Decide how the employee's performance ranks overall and check the appropriate block under~~ Supervisor's Overall Ratings Performance Level. The overall rating should reflect total performance; however, the overall rating may or may not be a precise average of all the individual ratings because the different ~~rating categories~~ functions may have differing levels of importance for the position being evaluated.

**C-6f. Discuss Evaluation with Employee.** Schedule and conduct a private review with the employee to discuss the evaluation. The three primary goals of the evaluation discussion are:

1.i) To review what is expected of the employee (goals, standards and objectives).

ii)2. To communicate the supervisor's evaluations ~~and receive the employee's input.~~

ii)3. To identify corrective or development activities for the future ~~which are documented in the (revised) job description, a copy of which is also attached to the evaluation in addition to the job description which was in effect during the evaluation period.~~

**C-7g. Evaluation Signature and Distribution**~~Obtain signatures and distribute.~~

i)1. The employee signs and dates the form as receipt of the evaluation, and adds any comments desired. If comments exceed the space provided, the employee should sign or initial the extra page(s). Employees are not required to provide additional comments to the evaluation, although they may choose to do so. An employee may choose to add comments at the time of evaluation or later. If comments are added at the time of evaluation, they will be submitted submit them as part of the evaluation. If comments are added later, they will be attached submit them to HR to be added to the evaluation to the evaluation at that time. Employee comments become a permanent part of the review document.

ii)2. The supervisor completes the evaluation by signing the form and forwards it to the departmental administrator, if required, for review and signature.

ii)3. If required, ~~T~~the departmental administrator reviews and signs the evaluation and sends it electronically; together with a current (and revised, if applicable) job description, to HR. Depending on procedures of each department, college or administrative unit, the departmental administrator may be the dean, director, or the person supervising the manager who completed the evaluation. Copies of the evaluation (with the current and revised job description, if applicable) should be distributed to the employee and the supervisor, and a copy retained by the departmental administrator.

~~a) Depending on procedures of each department, college or administrative unit, the departmental administrator may be the dean, director, or the person supervising the manager who completed the evaluation. A second supervisory or administrative signature is required to ensure the evaluation has been reviewed by someone other than the supervisor who prepared it.~~

**D. Information.**

**D-31. Due Dates and Effect of Failure to Complete Evaluation.** Evaluation due dates vary according to the type and purpose of evaluation.

**a.i) Annual Evaluations.** Annual evaluations are typically due in ~~January-February~~ March for staff. Regents' policy requires a completed performance evaluation as documentation of satisfactory-or-better performance to support annual salary increases.

**ii)b. Entrance Probationary Evaluations:**

~~a)1.~~ Entrance probationary evaluations are due in HR at both the three- and six-month employment anniversary for newly hired or promoted classified staff (by the seventh and thirteenth pay periods of probationary employment, respectively).

~~b)2.~~ Six-month evaluations ~~which that~~ document successful completion of the entrance probationary period certify the employee into that classification.

~~c)3.~~ Entrance probationary periods may be extended with HR approval beyond ~~six6 months13 pay periods~~ for ~~50% time-~~ employees, or employees taking Leave Without Pay (LWOP), or for up to another 90 days by the supervisor with information regarding the reason for the extension and the effective dates provided both to the employee and to HR.

~~d)4.~~ In cases where entrance probation is extended, due dates for subsequent performance evaluations will be as specified in the written notice to the employee. Extension of entrance probation is at the discretion of the University.

~~e)5.~~ Both three- and six-month evaluations must be completed and placed in the employee's personnel file in HR as legal documentation of performance. If the six-month probationary evaluation is not received within 30 days of the end of the probationary period, the employee is legally considered to have satisfactorily completed probation and is certified into the classification de facto.

**iii)c. Performance-Related Probation Evaluations:**

~~1.a)~~ Classified employees may be placed on a development plan/performance-related extended probation for unsatisfactory performance. [See [APM 50.21.](#)]

~~b)2.~~ Performance-related probation Documentation of development plan milestones -evaluations are is due in HR at 30 days, 60 days and 90 days

following placement on ~~performance-related~~ development plan or extended probation.

e)3. A ~~Ninety~~90-day evaluations ~~which that~~ documents successful completion of a development plan or extended performance-related probationary period re-certifies the employee into that classification.

d)4. ~~Performance-related probation~~Development plans ~~periods~~ may be extended beyond 90 days for ~~50% time~~ employees, ~~or employees~~ taking Leave Without Pay (LWOP), or by the supervisor, with information provided to the employee and to HR regarding the reason for the extension, and effective dates. Additionally, a shortened development plan period may be appropriate.

e)5. All of the 30-, 60- and 90-day evaluations must be completed and placed in the employee's personnel file in HR as legal documentation of performance. If the 90-day ~~performance-related~~development plan or extended probation evaluation is not received within 30 days of the end of the ~~probationary~~ period, the employee is legally considered to have satisfactorily completed ~~performance-related probation~~the development plan or extended probationary period and is re-certified into the classification.

f)6. Extension of performance-related probation is at the discretion of the University.

g)7. ~~Less than~~Unsatisfactory completion of ~~of performance-related~~development plan or extended probation may results in demotion or disciplinary action up to and including termination of employment. ~~See~~ APM 50.21.

**E. Evaluation Forms**forms. Evaluation forms are aAvailable from Human Resources, (208) 885-3638. Forms can be downloaded from HR Website.



## POLICY COVER SHEET

For instructions on policy creation and change, please see <https://www.uidaho.edu/governance/policy>

All policies must be reviewed, approved, and returned by the policy sponsor, with a cover sheet attached, to [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu).

### Faculty Staff Handbook (FSH)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title:

### Administrative Procedures Manual (APM)

Addition  Revision\*  Deletion\*  Interim  Minor Amendment  
Policy Number & Title: **APM 50.16 Criminal Background Check**

\*Note: If revision or deletion, request original document from [ui-policy@uidaho.edu](mailto:ui-policy@uidaho.edu). All changes must be made using “track changes.”

**Policy originator: Brandi Terwilliger, Director of Human Resources**

**Policy sponsor, if different from originator: VP Brian Foisy – Reviewed and approved 4/8/24**

**Reviewed by General Counsel:  Yes  No** Name & Date: Karl Klein; 4-5-24

**Comprehensive review?  Yes  No**

**1. Policy/Procedure Statement:** Briefly explain the reason for the proposed change.

Slight edit to the policy for prior coverage given we have an inability to access old records. Removal of the J-1 Scholars exception per IPO – they do not get a background check and should get one.

**2. Fiscal Impact:** What fiscal impact, if any, will this change have?

Should only have minimal impact, if any. Would require a new CBC to be conducted for an existing employee if they are changing positions and their CBC is older than 3 years. Current cost is approximately \$65.00 depending on the number of locations a person has lived.

**3. Related Policies/Procedures:** Describe other UI policies or procedures related or similar to this proposed change, or that will be impacted by it.

**4. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 H) unless otherwise specified.

No later than July 1, 2024.

# 50.16 - Criminal Background Check Procedures

Last updated: January 01, 2022

**A. Purpose.** This policy sets forth requirements for criminal background checks for employees.

**B. Scope.** This policy applies to all employees.

**AC. General Policy.** Criminal background checks confirm an individual's fitness relative to the requirements of their employment or volunteer service at the University of Idaho (U of I).

U of I requires criminal background checks for all non-student positions, graduate student appointees, postdoctoral scholars, and temporary help positions (T1, T4, etc.). U of I requires criminal background checks for student positions (ST/SF/SI), interns, and volunteers only if the work will involve contact with minors or the hiring authority determines the work to be security-sensitive. This list is not intended to be exhaustive. Questions on background check requirements should be directed to Human Resources (HR). *{rev. 3-18, 1-22}*

The requirements of this procedure policy also apply to existing employees being considered for changes in position, transfers, and promotions. However, if an existing employee has a previous background check on file within the prior three years with U of I, and that background check is applicable to the change in position, transfer, or promotion, a new background check will not be required. A background check is not required for general faculty promotions in rank pursuant to FSH 3500 where the faculty promotion does not involve an internal or external search. *{rev. 11-12, 12-14, 3-18}*

Non-compliance with this procedure will be communicated to the Office of General Counsel and the appropriate vice president.

**BD. Procedures for Criminal Background Checks.** The U of I will conduct criminal background checks on the recommended candidate(s) for all positions listed in Section AC. Hiring authorities must request criminal background checks for student positions (ST/SF/SI), interns, and volunteers if the work will involve contact with minors or the hiring authority determines the work to be security-sensitive. Security-sensitive work may involve access to restricted facilities, resources, finances, data, confidential information, or research as determined by the hiring authority. *{rev. 3-18}*

**BD-1. Required Notification of Criminal Background Checks.** All advertisements, notices, and postings for positions listed in Section AC must state: "This position is subject to the successful completion of a criminal background check." No candidate for a position listed in Section AC shall commence employment until a satisfactory criminal background check has been received by HR. Any offers associated with these positions must be made contingent on a satisfactory criminal background check. *{rev. 3-18}*

For student (ST/SF/SI), intern, and volunteer positions for which a search was not necessary or was waived, the hiring authority will provide the candidate or volunteer with written notice of the criminal background check requirement prior to offering the position. The candidate or volunteer can only be offered the position contingent on a satisfactory criminal background check. The candidate or volunteer must not begin work or begin the new responsibilities until a satisfactory criminal background check has been received by HR. *{add. 10-07, ed. 11-12, 1-22, rev. 3-18}*

**BD-2. Required aAuthorization for cCriminal bBackground cCheck.** ~~If a search runs through the UI online recruitment system, the criminal background check is initiated during the hiring proposal process. For hires outside the online recruitment system, the~~ The hiring unit must submit a Department Request for Criminal Background Check via the on-line request for background check. The request shall include the following information: candidate name and email address, position title/action number, budget number, and unit. The candidate will receive an email from the background check vendor to initiate the background check. The candidate must submit the required personal information at a secure website and electronically sign the Disclosure and Authorization forms. The candidate will then receive a summary of rights under the Fair Credit Reporting Act (FCRA), and the background check will begin. The ~~third-party~~ consumer reporting agency will provide the background check results to HR. HR will review the background check' results to determine whether the candidate meets the criteria for the position. HR will notify the hiring authority of the results of the background check. Costs associated with criminal background checks will be charged to the hiring unit. *{rev. 11-12, 12-14, 3-18}*

**DB-3. Contingent offer of employment.** If circumstances require that a job offer be made prior to the completion of the background check, the hiring unit must use the approved contingent offer letter template found on the HR website, which includes the following language: "This offer is contingent upon the completion of a satisfactory criminal background investigation and other pre-employment requirements." Although a contingent offer may be made, the employee may not begin work in any capacity, including attending orientations for the unit or University, without a completed satisfactory background investigation and other pre-employment paperwork. It is recommended that a written offer not be made until the satisfactory criminal background check has been completed and confirmed by HR. *{rev. 3-18}*

**DB-4. Prior cCriminal bBackground cCheck qualifies.** If a candidate is being rehired or reappointed into the same position, has ~~previously (in the prior three years)~~ met the background check requirement for that position, and the break in service is less than one year, the background check requirement may be waived at the discretion of the senior HR executive, or designee. *{rev. 10-07, 11-12, 3-18}*

**DB-5. Day cCare cCenters must comply with I.C. § 39-1105.** Employees or volunteers at day care centers who have direct contact with children are subject to the criminal history check procedures set forth in I.C. § 39-1105, which are conducted by the day care centers in conjunction with the appropriate state agencies. The procedures set forth in this APM 50.16 do not apply these individuals. *{ed. 3-18, 1-22}*

**DB-6. ~~U~~ College of Agricultural and Life Sciences uUnique rRequirements.**

**a. Non-4-H yVolunteers.** The ~~University's~~ College of Agricultural and Life Sciences (CALS) has implemented additional criminal background check procedures for volunteers who have significant contact with minors. Students and volunteers of CALS may be subject to additional screening requirements pursuant to those procedures. *[rev. 10-07, 3-18 ed. 11-12, 1-22]*

**b. 4-H yVolunteers.** Volunteers through the 4-H programs who have direct contact with children are subject to the criminal history check procedures set forth in the 4-H Youth Development Policies and Procedures. *[add. 1-22]*

~~**B-7. J-1 Scholars and Exceptions.** J-1 scholars are visiting temporary workers here by invitation to perform specialized work. The Department of Homeland Security performs background checks on all J-1 scholars. Therefore, these temporary workers are exempt from the requirements of this procedure. The senior HR executive or designee may provide exemptions for other employees in similar situations. *[add. 3-18, ed. 1-22]*~~

**Commented [B1]:** J-1 Scholars do not complete a background check as noted. Per IPO, this section should be removed and a CBC be required in accordance with regular processes.

**DB-78. Successful aApplicants rRecruited through an aAuthorized sSearch fFirm.**

When an authorized search firm is used to recruit for key leadership roles, where the service provided includes a background check that is no less comprehensive than that conducted by the ~~U~~U of I, the senior HR executive or designee may approve the use of the search firm background check for purposes of employment in that position. All background checks are to be sent to HR and not provided to search committees, etc. to maintain consistency in process. *[add. 1-22]*

**CE. Procedures for cCriminal bBackground cChecks for sSecurity pPurposes.** If the senior HR executive or designee has reasonable grounds to believe that an employee or volunteer represents an immediate threat to the safety and security of the ~~U~~U of I community, HR may conduct a criminal background check through the Idaho State Police or other appropriate agency. The written authorization of the employee to conduct this check will be obtained in most cases. However, in certain circumstances, it may not be possible or feasible to obtain written authorization. In those cases, a limited background check may be performed through the Idaho State Police or other appropriate agency. Any information obtained through this process will be used solely for the purpose of maintaining the safety and security of the ~~U~~U of I community and will be shared strictly on a "need to know" basis. *[ed. 11-12, rev. 3-18]*

**DE. Results of cCriminal bBackground cChecks.**

**DE-1. Applicants nNew to UU of I.** If the criminal background check identifies a convictions, with the exception of FD-3 below, determinations of fitness for employment will be made by Human Resources, and may include ~~in~~ consultation with appropriate hiring authority, based on the nature and details of the conviction, date of the conviction, how the crime relates to the job in question, evidence of rehabilitation, and other relevant factors. *[rev. 3-18, 1-22]*



**FD-2. Current employees.** When a current employee with a convictions is considered for changes in position, transfers, or promotions, the determination of whether to exclude the candidate will be made by the senior HR executive or designee, and may include in consultation with the appropriate hiring authority, ~~will determine whether to exclude the candidate.~~ *[rev. 3-18]*

If, pursuant to this procedure, a criminal background check is conducted on a current employee and an event is uncovered that was not previously considered, ~~UU of I~~ may initiate personnel action against the employee. In these cases, the senior HR executive or designee in consultation with the Risk Management Officer and other applicable personnel, will determine what action, if any, should be taken. The senior HR executive or designee may ask the employee for a written explanation of the offense(s). *[rev. 11-12, 3-18]*

**DE-3. Disqualifying employment convictions.** A record of any of the following convictions will generally result in automatic exclusion of the candidate or termination of a current employee: *[rev. 3-18]*

**a.i)** Conviction of any crime against a child or vulnerable adult (including but not limited to child abuse, abandonment, neglect, and statutory rape);

**b.ii)** Conviction of any crime of violence;

**c.iii)** Conviction of any crime of a sexual nature, including but not limited to lewd conduct, sexual battery, sexual exploitation, rape, and statutory rape;

**d.iv)** Conviction of any crime involving unlawful use or possession of a weapon or firearm. *[ed. 11-12]*

**FD-4. “Conviction” defined.** For purposes of this procedure, the term “conviction” will be interpreted broadly and will include pleas of no contest, deferred adjudications, and similar dispositions. If a criminal history report indicates pending criminal charges that, if a conviction resulted, would result in exclusion from employment, the candidate will be excluded from employment until final disposition of the charges. *[ed. 3-18]*

## **EG. Communication of results and employee rights**

**GE-1. Consumer reporting agency.** Procedures when the report has been provided by a consumer reporting agency (e.g., Verified Credentials) shall be as follows: *[ed. 12-14, 3-18, 1-22]*

**a.i)** If a determination has been made that a candidate should be excluded, or that adverse action should be taken against a current employee, based on an unsatisfactory criminal background check, HR shall, prior to taking any adverse action against the individual, provide a Pre-Adverse Action Disclosure that (1) notifies the individual in writing of the unsatisfactory result, (2) provides the

candidate or employee with a copy of the report, and (3) provides the candidate or employee with a written description of ~~his or her~~their rights under the Fair Credit Reporting Act.

ii) After the adverse action has been taken, HR will provide the candidate with an Adverse Action Notice, which includes (1) the name, address, and phone number of the consumer reporting agency that supplied the report, (2) a statement that the consumer reporting agency that supplied the report did not make the decision regarding the adverse action and cannot provide the reasons for the adverse action, and (3) a notice of the individual's right to dispute the accuracy or completeness of any information the agency has furnished, and ~~his or her~~their right to an additional free consumer report from the agency upon request within 60 days.

~~iii)c.~~ A candidate or employee who has received an initial unsatisfactory result and who has sought correction of ~~his or her~~their report under the Fair Credit Reporting Act is not eligible for a listed position until the senior HR executive, or designee has confirmed the correction and determined that the result is satisfactory. The ~~UU of I~~ has no obligation to hold a position open to allow a candidate or employee to correct ~~his or her~~their report. *~~fed. 11-12, 3-18}~~*

**~~GE-2. Government r~~Reporting ~~a~~Agency.** Procedures when the report has been provided by a governmental agency (e.g., Idaho State Police) shall be as follows:

If a decision has been made to exclude a candidate, or initiate action against a current employee, based on an unsatisfactory background check, HR shall (1) notify the individual in writing of the unsatisfactory result, and (2) provide the candidate or employee with a copy of the report. *~~fed. 1-22}~~*

**~~FH. Record Keeping~~keeping.** Criminal history information collected under this procedure shall be kept electronically with the third party vendor or in accordance with record retention requirements (see [APM Chapter 65](#)). The information will be used solely for the purpose of maintaining the safety and security of the ~~UU of I~~ community and will be disclosed only as permitted or required by law. *~~rev. 10-07, 11-12, 3-18}~~*

---

## Version History