2023 – 2024 Faculty Senate – ~~Pending Approval~~ **Approved at Mtg #18 January 23, 2024**
Meeting # 17
Tuesday, January 16, 2024, 3:30 pm – 5:00 pm
Zoom only

Present: Barannyk, Blevins, Chapman, Gauthier (Chair), Haltinner (Vice Chair), Justwan, Kenyon, Kirchmeier, Torrey Lawrence (w/o vote), Long, McKenna, Mittelstaedt, Murphy, Ramirez, Raney, Roberson, Rinker, Sammarruca (w/o vote), Schiele, Schwarzlaender, Tibbals.
Absent: Maas (excused), Hobbs, Miller, Reynolds, Shook

Call to Order: Chair Gauthier called the meeting to order at 3:30 pm.

Approval of Minutes (vote):
The minutes of the 2023-24 Meeting #16, January 9, 2024, were approved as distributed.

Consent Agenda:
- Sabbatical Leave Committee Recommendations.
  Approved by unanimous consent.

Chair's Report:
- Check out the Daily Register for interesting events coming up, such as: https://www.kenworthy.org/events-calendar/backcountry-film-festival-2/ and
- https://www.uidaho.edu/cogs/resources/workshops (particularly the CIRTL workshop series).
- An important part of today's meeting is a conversation about the optional retirement plan (ORP), which in December 2024 is transitioning to Fidelity as the sole retirement plan provider, replacing TIAA and Corebridge Financial. We appreciate Brandi, Director of HR, visiting us today at short notice, to provide more information about the transition.

Provost's Report:
- Spring semester enrollment has remained stable.
- There are problems with broken pipes due to the frigid weather. We are grateful to Facility for their prompt intervention.
- Vice Provost for Faculty Diane Kelly-Riley announced the next faculty gathering, hosted by CBE in the Albertson Atrium, January 24, 2024, 4:30 – 6:30pm. Please RSVP at https://www.uidaho.edu/provost/faculty-gathering

Changes to the Administrative Procedures Manual (non-voting):
- APM 30.18 Change Management – Theresa Amos, Deputy Director, IT Planning and Initiatives, Office of Information Technology.
  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 ensures

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.

Discussion:

In response to a question about the timeline for communicating changes, Teresa Amos will Provide a link to the calendar with dates for the implementation of changes.

- APM 95.24 Vandal Alert Notification System – Lee Espey, Division Operations Officer, DFA Operations, Steve Mills, Director of Parking and Transportation Services.
  Comprehensive review to clarify language throughout.
  Discussion: none

- APM 45.03 Definitions for Grants, Contracts and Gifts – Sarah Martonick, Director, Office of Sponsored Programs (OSP), Office of Research Assurances, Heather Clark, Accounting Manager II, Office of Sponsored Programs.
  While reviewing APM 71.52, the OSP team and the UI Foundation staff determined it should point to APM 45.03 and focused on revisions to APM 45.03. Revisions are minor, with no procedural additions, only clarifications and updates for use of TDX vs. PDF forms.
  Discussion:
  The Secretary proposed to modify the first sentence in APM 45.03 C-1 to read: "*A sponsored project is the result of an authorized proposal or application submitted by the university that results in an agreement between the university and the sponsor.*"
  There was a brief discussion on the difference between a solicited process and a competitive one.
  A senator inquired about potential impacts of these revisions, for instance, on workload.
  Response: The OSP team has thought very carefully about volume and burden, for this and many other APM sections. They moved to TDX because it provides metrics on volume and a concrete measurement of turnaround time. It takes an average of 5 days for every item coming out of TDX. This is a significant increase, while the team reports spending less time for tracking. On the one hand, they would like to reduce the burden, on the other, they have regulations to comply with. They design their processes around best practices and try to achieve a good balance. Recently, a new person has joined the team, who will work on a mechanism for assessment and feedback to determine where actual measurable gaps are and what infrastructure needs to be added or modified.
  The Secretary asked for clarification concerning the university having the obligation to provide a deliverable (APM 45.03 C-1). Response: As the contracted party in all sponsored projects, the university assumes the obligation in the agreement, but delegates it to the PI (see APM 45.06).

- APM 45.04 Notice of Sponsored Projects and Establishment of Budgets – Sarah Martonick, Director, Office of Sponsored Programs, Office of Research Assurances, Heather Clark, Accounting Manager II, Office of Sponsored Programs.
  Comprehensive review is necessary to bring policies up to current requirements for sponsored project regulations, and to clarify Chart V nomenclature (budget vs. fund/index, etc.). Mostly, language revisions to comply with the recommendations from a prior NSF audit.
  Discussion:

In response to a question, it was clarified that no changes in VERAS are needed as a consequence of these revisions. What's in VERAS will remain as is.

- APM 45.06 Allowable and Unallowable Sponsored Project Expenditures – Sarah Martonick, Director, Office of Sponsored Programs, Office of Research Assurances, Heather Clark, Accounting Manager II, Office of Sponsored Programs.
  Comprehensive review is necessary to bring policies up to current requirements for sponsored project regulations, and to clarify Chart V nomenclature (budget vs. fund/index, etc.).
  Discussion:
  This item was briefly discussed together with APM 45.03. There were no further questions.

- APM 45.07 Cost Transfers on Sponsored Projects – Sarah Martonick, Director, Office of Sponsored Programs, Office of Research Assurances, Heather Clark, Accounting Manager II, Office of Sponsored Programs.
  Like for the previous APM 45, change of nomenclature and clarification.
  Discussion: none.

Announcements and Communications
- SUCCESS – Daniel Eveleth, Department of Business, Erin Chapman, School of Family and Consumer Sciences.
  Daniel started with a brief introduction. SUCCESS is a task force charged by the President with identifying three initiatives with the objective of increasing our current six-year graduation rate of 61% to 77% (the average for R1 universities). The President's charge focuses on instruction- and curriculum-based initiatives for which there is evidence of success. The task force started with the Boyer Report and came up with six possible topics, see attachment #9. Note that the attached document contains a link to a feedback form for people to provide comments and suggestions. An important part of the feedback the team is looking for are success stories, namely, what is being done in departments/units that is working well. This way, the team can identify U of I strengths to build on and focus on those programs that are best for us. SUCCESS will come back to Faculty Senate later in the semester to discuss more targeted questions, as they may result from the collected feedback.
  Discussion:
  A senator noted that there are many UG research opportunities at the U of I, but we need more support and more people. The UG Research Office is understaffed and underfunded.
  Citing from her work with Ubuntu, Vice Chair Haltinner recalls that retention rates for white students are higher than for students of color. Some of her research indicates that a more creative, integrative and robust Gen Ed curriculum might help reduce the gap by addressing student needs with an individualized, holistic approach. Furthermore, with the first-year seminar gone, we must re-envision an appropriate first-year experience. Kristin added that the Diversity Scholar Program from Multicultural Affairs is doing very well – retention rate for students in that program is about 90%.
  Back to the discussion of an appropriate first-year experience, a senator wondered whether the team is thinking about something like ISEM 101, or something discipline-specific and housed in a particular unit – in his department, first-year experience courses within the major are very important. Daniel responded that all feedback is welcome and valuable. The discussion later in the spring will be more targeted.
  Chair Gauthier said that UG research should be compensated. Also, if available UG researcher positions were posted, it would be great for retention.

A senator reported a rather disappointing response to the many research opportunities she offered to her students in a large introductory math class.

- Vandal Gateway Program (VGP) Update – Annette Folwell, Associate Dean, College of Letter, Arts and Social Sciences, Brian Dulin, Program Coordinator, Vandal Gateway Program, Sean Quinlan, Dean, College of Letter, Arts and Social Sciences.
  Sean Quinlan started with a brief introduction to the VGP and the team members. The presentation is attached to these minutes. The following points were addressed: The structure of the program (admission process, cohort nature of the student group, staff and faculty, some demographic data); Academic standing for AY 2022-23 and AY 2023-24; Persistence, Retention, and Awards for AY 2022-23 and AY 2023-24. They are pleased with the success of VGP (e.g. improvement in academic standing), and excited to work with a program that opens doors for students who would otherwise not be able to attend college.
  Discussion:
  A senator inquired about the consistency of the comparison – the data from AY 2022-23 are being compared with those from one semester of AY 2023-24. Annette Folwell replied that a comparison between data from two full academic years will be possible when the second semester of AY 2023-24 ends. The team would be happy to come back later in the spring.

- Optional Retirement Plan (ORP) – Brandi Terwilliger, Director of Human Resources.
  Brandi provided a brief background on the upcoming (December 2024) change from TIAA-CREF to Fidelity as the sole vendor for ORP. This was a state-wide decision from SBOE. See FAQ at https://boardofed.idaho.gov/resources/optional-retirement-plan-transition-to-fidelity-as-sole-retirement-plan-provider/
  The Idaho State Board of Education (SBOE) Retirement Plan Committee completed a multi-year, comprehensive review of the Idaho ORP. As a result of their review, they approved that Fidelity would become the sole provider of the administrative services for the ORP effective December 2024, replacing both TIAA and Corebridge. This choice will result in increased on-campus presence, and a 25% reduction in the fee to the participant.
  Discussion:
  A senator asked whether, because of the transition, there will be a lag in time during which our funds are out of the market. Response: We are working to make sure there is no lag. We expect a seamless transition.
  In response to another question, Brandi clarified that supplemental plans do not need to be transitioned.
  A senator argued that some constituents were angry at the lack of transparency, and because they had no say in the matter and no option. It would be helpful if university communications were more proactive than responsive. Brandi explained that, when this process started, before COVID, there was a lot of discussion about what to do for the best of of our employees. The senator's comment about more proactive communication is reasonable. Provost Lawrence added that, in this case, the news was about an improvement for all.
  In response to a request, Brandi will check out ratings for TIAA-CREF vs. Fidelity. She will also inquire about bitcoin.
  A senator reported that Colorado State transitioned to Fidelity as well. His colleagues are happy with the change.

New Business:
None.

Adjournment:
The agenda being completed, the meeting was adjourned at 4:55pm.

Respectfully Submitted,

Francesca Sammarruca
Secretary of the University Faculty & Secretary to Faculty Senate

University of Idaho
2023 – 2024 Faculty Senate Agenda

Meeting #17

Tuesday, January 16, 2024, at 3:30 pm
Zoom Only

I. Call to Order

II. Approval of Minutes
- Minutes of the 2023-24 Faculty Senate Meeting #16 January 9, 2024, **Attach. #1**

III. Consent Agenda
- Sabbatical Leave Committee Recommendations **Attach. #2**

IV. Chair's Report

V. Provost's Report

VI. Policy Business (non-voting)
- APM 30.18 Change Management – Teresa Amos, Deputy Director, IT Planning and Initiatives, Office of Information Technology **Attach. #3**
- APM 95.24 Vandal Alert Notification System – Lee Espey, Division Operations Officer, DFA Operations, Steve Mills, Director of Parking and Transportation Services **Attach. #4**
- APM 45.03 Definitions for Grants, Contracts and Gifts – Sarah Martonick, Director, Office of Sponsored Programs, Office of Research Assurances, Heather Clark, Accounting Manager II, Office of Sponsored Programs **Attach. #5**
- APM 45.04 Notice of Sponsored Projects and Establishment of Budgets – Sarah Martonick, Director, Office of Sponsored Programs, Office of Research Assurances, Heather Clark, Accounting Manager II, Office of Sponsored Programs **Attach. #6**
- APM 45.06 Allowable and Unallowable Sponsored Project Expenditures – Sarah Martonick, Director, Office of Sponsored Programs, Office of Research Assurances, Heather Clark, Accounting Manager II, Office of Sponsored Programs **Attach. #7**
- APM 45.07 Cost Transfers on Sponsored Projects – Sarah Martonick, Director, Office of Sponsored Programs, Office of Research Assurances, Heather Clark, Accounting Manager II, Office of Sponsored Programs **Attach. #8**

VII. Announcements and Communications
- SUCCESS – Daniel Eveleth, Regular Faculty, Department of Business, Erin Chapman, Clinical Faculty, School of Family and Consumer Sciences **Attach. #9**
- Vandal Gateway Program Update – Annette Folwell, Associate Dean, College of Letter, Arts and Social Sciences, Brian Dulin, Program Coordinator, Vandal Gateway Program, Sean Quinlan, Dean, College of Letter, Arts and Social Sciences
- Optional Retirement Plan – Brandi Terwilliger, Director of Human Resources

New Business

Adjournment

Attachments
- **Attach. #1** Minutes of the 2023-24 Faculty Senate Meeting #16 January 9, 2024
- **Attach. #2** Sabbatical Leave Committee Recommendations
- **Attach. #3** APM 30.18
- **Attach. #4** APM 95.24
- **Attach. #5** APM 45.03
- **Attach. #6** APM 45.04
- **Attach. #7** APM 45.06
- **Attach. #8** APM 45.07
- **Attach. #9** SUCCESS

University *of* Idaho
Faculty Senate

2023 – 2024 Faculty Senate – Pending Approval
Meeting # 16
Tuesday, January 9, 2024, 3:30 pm – 5:00 pm
Zoom only

Present: Barannyk, Blevins, Chapman, Gauthier (Chair), Haltinner (Vice Chair), Hobbs, Justwan, Kenyon, Kirchmeier, Torrey Lawrence (w/o vote), Long, McKenna, Mittelstaedt, Murphy, Ramirez, Raney, Reynolds, Roberson, Rinker, Sammarruca (w/o vote), Schiele, Schwarzlaender, Shook, Tibbals.
Absent: Strickland (excused), Hobbs, Miller, Mischel, Reynolds, Rode.

Call to Order: Chair Gauthier called the meeting to order at 3:30 pm.

Approval of Minutes (vote):
> The Secretary noted an error in the reporting of the votes on the motion to amend by postponing the implementation of deferred pay by one year – the vote should be a tie.
> The minutes of the 2023-24 Meeting #15, December 5, 2023, were approved as corrected.

Chair's Report:
- I wish you all a peaceful and productive 2024.
- Later today, Christopher Nomura will give a presentation about the new Carnegie criteria for university research classifications, R1, R2, or R3. Another upcoming change at the Office of Sponsored Programs is the adoption of a ticketing system, named TDNext system. Please ask your constituents for feedback or suggestions about this change and whether a survey would be helpful.
- Please let your constituents know about saving accounts available to faculty (4.5% interest).
- Other business for Spring 2024 includes:
  - Dependent benefits (including tuition reduction for dependents) task force.
  - Faculty compensation.
  - Changes in admission criteria (GPA and SAT scores).
  - Mental health initiatives.
  - The Artificial Intelligence and Machine Learning Task force plans to organize an exhibit of U of I faculty projects, both research and teaching, using AI and a workshop. This will take place during Spring 2024. We are placing a call for projects to be shown in the exhibit.

Provost's Report:
- Spring semester enrollment is currently up by 3.7% compared to the same time last year. We'll know more when the 10th day numbers become available.
- The legislature convened yesterday. The Governor delivered The State of the State Address focused on his priorities. One of them is the Idaho Launch Program. Recording of the address: https://www.youtube.com/results?search_query=State+of+the+state+address+Idaho
- The Provost gave a brief recap of the deferred pay issue. After the last senate meeting in December 2023, the 122 faculty currently on spread pay were notified of the recommendation. There was strong reaction, and many concerned messages were sent to the President. President Green considered the senate recommendation and decided not to approve the proposed summer 2024 implementation date because, due to the short timeframe, it could potentially

hurt some employees. Delaying to summer 2025 implementation could negatively impact other employees, but there are tools available to mitigate the impact on employees not currently on spread pay. Communication about those tools, which are very similar to spread pay, is forthcoming. Details towards summer 2025 implementation are being worked out.

Discussion:
There was an inquiry into the allegations against the leadership of the women's volleyball team. Is there a statement or additional information on what is being done? Provost Lawrence responded that the university is looking into the matter following appropriate processes. Given the nature of the investigation, the university will not release a statement.

Committee Reports (vote):
- Proposed changes to the University Catalog
  Taylor Raney presented items UCC 164 to UCC 333 as a package, because they share identical rationale. In Idaho, a Teacher's Certification requires an endorsement attached to it, either a single 45 credit endorsement or two endorsements with 20 + 30 credits. Presently, the Catalog dictates what courses must be taken beyond the required 20 credits for the current teaching minor. With these changes, students will have the flexibility to select courses with their advisors.
  - UCC 164 Biological Sciences Teaching Major.
  - UCC 245 History Teaching Major 33 credits.
  - UCC 218 English Teaching Major 34 credits.
  - UCC 263 Mathematics Teaching Major 36 credits.
  - UCC 322 Chemistry Teaching Major.
  - UCC 326 Earth Sciences Teaching Major.
  - UCC 335 Geography Teaching Major.
  - UCC 329 English Teaching Major 46 credits.
  - UCC 337 German Teaching Major.
  - UCC 339 History Teaching Major 45 credits.
  - UCC 342 Mathematics Teaching Major 51 credits.
  - UCC 345 Physics Teaching Major.
  - UCC 350 Spanish Teaching Major.
  - UCC 347 Political Science Teaching Major.
  - UCC 333 French Teaching Major.

  There were no objections to the suggestion to vote on all the 15 curricular changes listed above as a package.
  Discussion: none
  Vote: 20/20 in favor. Motion passes.
  - UCC 108 Academic Requirements for Graduate Admission concerning letters of recommendation – Jerry McMurtry, Dean, College of Graduate Studies.
    Graduate Council voted on April 19, 2023, to remove the mandatory three letters of recommendation as part of the application and allow the programs to decide how many and what type/format of reference they would like to evaluate their prospective students. They are no longer bound by the static written letters.
    Discussion: none
    Vote: 19/19 in favor. Motion passes.
  - UCC 127 General Management (MBA) – Lisa Victoravich, Dean, College of Business and Economics.
    This is a "repackaging" of an existing MBA, formerly offered in person in Coeur d'Alene, which became dormant due to COVID. They are now changing this existing program

from face-to-face in Coeur d'Alene to online delivery. Market demands and the business environment in which managers operate have changed. Hence, they seek to update the General Management (MBA) to a timely and relevant curriculum and delivery mode. They are changing from a business-only curriculum to an interdisciplinary MBA approach. This integrated approach, and the fact that all our faculty are in-house, differentiates this MBA from those of our competitors.

Discussion:

In response to a question about the different number of credits for courses in the current catalog, Lisa explained that one of the changes is to assign three credits to all courses. As a follow-up question, the senator asked whether course change proposals are coming through at the same time. Lisa confirmed that core changes will go through UCC and then come to Faculty Senate.

The next question was about program fees: since 12 credits are going to be earned outside the college, will other colleges receive some of those fees? Lisa replied that a lower fee would be paid to those other colleges.

Another follow-up question: Are those program fees? Are they approved by the State Board? Response: in the updating of the MBA curriculum and modality, we are transitioning the MBA from its current 'Self-Support Academic Program Fees' model to an 'Institutional Online Program Fee' model.

Vote: 19/19 in favor. Motion passes.

- o UCC 502 Advanced Semiconductor Design Graduate Academic Certificate – Feng Li, Electrical and Computer Engineering.
  Feng Li was not present. Dakota Roberson offered to help with questions.
  Discussion: none
  Vote: 18/19 in favor; 1/19 against. Motion passes.
- o UCC 266 Kinesiology and Leisure Sciences (MS) – Philip Scruggs, Department Chair, Movement Sciences**.**
  The proposed program name change from Movement and Leisure Sciences to Kinesiology and Leisure Sciences is to increase marketability of the degree program. The name kinesiology is the key search term prospective students would use to explore graduate programs like the MS Movement and Leisure Sciences Program. The MS program name change is one of the department's strategies to increase enrollment through better program name recognition for prospective students
  Discussion: none
  Vote: 20/20 in favor. Motion passes.
- o UCC 506 Smart Grid Cybersecurity Graduate Academic Certificate – Yacine Chakhchoukh, Electrical and Computer Engineering.
  This is a 15-credit graduate certificate. This proposal will enhance cybersecurity and power systems education at the University of Idaho. Improving the cybersecurity applied to critical infrastructures is becoming crucial with increased automation and renewable generation integration. The certificate will increase collaborative cybersecurity course offerings between the ECE and CS departments. Since the courses are offered online, the proposed certificate will increase online and collaborative offerings to increase the outreach to professionals, and the workforce.
  Discussion: none
  Vote: 21/21 in favor. Motion passes.

- Proposed changes to the Faculty Staff Handbook

- o FSH 3250 Flextime/Flexplace – Brandi Terwilliger, Director of Human Resources**.**
  Updated throughout to revise procedures and ensure compliance with export control requirements in international flexwork arrangements. The title "flexwork" is chosen as a matter of internal notation.
  Discussion: none
  Vote: 21/21 in favor. Motion passes.
- o FSH 1640.64 Officer Education Committee and FSH 1640.74 Sabbatical Leave Evaluation Committee – Diane Kelly-Riley, Vice Provost for Faculty.
  Structure revised to replace Vice Provost for Academic Affairs with Vice Provost for Faculty. The Vice Provost for Academic Affairs position no longer exists. Its functions were split into Vice Provost for Faculty and Vice Provost for Academic Initiatives.
  Discussion:
  Suggestion to check that the same changes are made everywhere in FSH where the old name for the position appears.
  Vote: 20/21 in favor; 1/21 against. Motion passes.

- Announcements and Communications
  - o R1 Initiative Update – Chris Nomura, Vice President, ORED
    Vice President Nomura gave an overview of the new Carnegie criteria for university research classifications (R1, R2, R3). Recently, those moved under the American Council on Education (ACE).
    Chris Nomura showed that our R1 Initiative resulted in real improvements since the 2021 Carnegie classifications, with considerable increase in the number of postdoctoral fellows and doctoral research staff, as well as the number of research Ph.Ds. awarded. In 2025, the U of I is expected to qualify as R1 under the new Carnegie criteria, and, after the improvements highlighted above, would qualify as R1 also under the old criteria. Measured against the new (2025) ACE metrics, the U of I reached R1 threshold for the first time in 2023.
    The new Carnegie criteria emphasize research expenditures as the single best measure of research (and economic) impact. By this measure, U of I is leading in the state, with more research expenditures than BSU and ISU combined. In summary, we are on a great trajectory.
    Discussion:
    A senator brought up concerns about possible "unintended consequences" of achieving R1 status: increase in research support staff, both pre- and post-award, must be commensurate. We must be able to hire and retain talent, but presently we see a large turnover of staff. Chris Nomura acknowledged the large turnover, possibly related to salary limitations, and the need to invest in research administration staff. It may be useful to look at F&A funds and sponsors who can help support research administration staff. It may be a slow process, but P3R1 resources can be spent for hiring research staff. It's a longer-term discussion.

    A senator asked Vice President Nomura to elaborate on the positive impacts expected to result from moving to R1 status. Chris Nomura pointed out that federal funds, especially from the NSF, have been allocated for research. A fraction (about 15 or 20%) must go to EPSCoR states, which can submit proposals to programs that are earmarked for EPSCoR. Within those, some larger programs only accept proposals from R1

institutions. Thus, we may be able to apply for opportunities we didn't have before, which means more opportunities for our students.

Another concern raised by senators is the need to adjust salaries to be competitive for hiring at the R1 level – presently, we use a combination of R1 and R2.

In closing, Chris Nomura emphasized that, although we must acknowledge our success, we should also keep in mind that ACE numbers are only a baseline and can change. We'll work very carefully to keep a stable pipeline.

- o Update on Faculty CV Revisions: postponed.

New Business:
None

Adjournment:
The agenda being completed, the meeting was adjourned at 4:42pm.

Respectfully Submitted,

Francesca Sammarruca
Secretary of the University Faculty & Secretary to Faculty Senate

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AND EXECUTIVE VICE PRESIDENT

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M E M O R A N D U M

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

DATE: January, 11 2024

SUBJECT: Items for Faculty Senate

Please see the below table with the faculty members who were approved for a sabbatical in the 2024-25 Academic Year.

NAME	COLLEGE	DEPARTMENT	SABBATICAL TERM
Jeffrey Bailey	CBE	Business	Spring 2025
Erik Coats	COE	Civil & Environmental Engineering	AY 2024-25
Benjamin Cover	LAW	Law	AY 2024-25
John Crepeau	COE	Mechanical Engineering	Spring 2025
Sydney Freeman Jr.	EHHS	Leadership & Counseling	AY 2024-25
Dave Gottwald	CAA	Art & Design	Spring 2025
Ahmed Ibrahim	COE	Civil & Environmental Engineering	AY 2024-25
S.J. Jung	COE	Civil & Environmental Engineering	Fall 2024
Hangtian Lei	COE	Electrical & Computer Engineering	Spring 2025
Haifeng (Felix) Liao	COS	Earth & Spatial Sciences	Fall 2024
Jerry Long	LAW	Law	Fall 2024
Michael Lowry	COE	Civil & Environmental Engineering	AY 2024-25
Magdi Noguera	CBE	Business	Fall 2024
Daniel Robertson	COE	Mechanical Engineering	Fall 2024
Nathan Schiele	COE	Chemical & Biological Engineering	Spring 2025
Shenghan Xu	CBE	Business	Fall 2024
Elowyn Yager	COE	Civil & Environmental Engineering	AY 2024-25

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* ☐ 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. 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

1. **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.

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.

30.18 – Change Management

Contents:

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) 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

![University of Idaho logo]

POLICY COVER SHEET

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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. 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 provide~~s~~ 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 (~~CEMP~~EOP) 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.

A~~C~~. ~~~~Definitions~~.~~

A~~C~~-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/chs/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 Web~~MyUI ~~applicatio~~application. ~~n.~~ ==~~Emergency Management (uidaho.edu)~~== ~~M~~Members of the greater Moscow community may also be enrolled in Vandal Alert.

A~~C~~-2~~.~~ Campus Communi~~ty.~~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.

A~~C~~-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.

A~~C~~-3. Timely Warning (Clery Act Requirement).~~:~~ An alert issued to the campus community when a Clery C~~c~~rime 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.

A~~C~~-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).

A~~C~~-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~~t~~imely W~~w~~arning but may be of significant interest to the campus community.

B~~D~~.Policy and ~~/~~Procedure~~.~~

B~~B~~D-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 ~~u~~University receives a confirmed report from a cognizant authority (i.e. a~~n~~ ~~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~~UI~~ 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 ~~u~~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.)

B~~B~~D-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 ~~u~~University community. When appropriate, Timely Warnings may be broadcast through other communication methods (web pages, press releases, printed ~~and/~~or social media, etc.)

B~~B~~D-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~~UI~~ 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 Ooffice 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 ~~u~~University community of approved closures or delays.

B~~B~~D-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

University of Idaho

POLICY COVER SHEET
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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: **APM 45.03 DEFINITIONS FOR GRANTS, CONTRACTS AND GIFTS**

*Note: If revision or deletion, request original document from 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 __x_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, Contracts~~Determination of Sponsored Project Versus ~~and~~ Gift~~s~~

~~A.~~ **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~~B~~. Definitions.

~~B-1~~C-1. ~~Grant or Contract~~Sponsored 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 award~~ed~~ funding based on an~~or~~ agreement in writing, ~~and~~ 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: P~~p~~erforming ~~specific~~ research to accomplish~~, accomplishing~~ a specific objectiv~~ee~~, providing a service, ~~or~~ producing a product, or committing to a specific line of scholarly or scientific inquiry. Separate accountability and oversight for the funds received is ~~required~~generally applicable. State and federal financial assistance funds are almost always classified as a sponsored project.

~~B-2~~C-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 a~~a~~n item of value (tangible or intangible) expressly noted as an exchange item, and resulting from a funded sponsored project.

C~~D~~. ~~Information and/or Clarification~~Policy. ~~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) 885-6689~~51 and ~~, and the~~Foundation Gift Administration (UIF) staff ~~(UIF) @(208) 885-4000 Gift Administration~~Corporate and ~~Foundation Relations (CFR) Office @ (208) 885-7060~~6796, 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 ~~CFR~~UIF 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.S~~

E-2. ~~CFR~~OSP and ~~OSP~~UIF coordinate the process and are the only entities authorized to make this determination.

E-3. ~~CFR~~OSP or ~~OSP~~UIF will notify the PI of the decision, and ~~CFR~~UIF 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 in~~to 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 cfrrelations@uidaho.edu (208) 885-7060~~University of Idaho Foundation, Inc.: gifts@uidaho.edu, (208) 885-4000~~;~~
- Office of Sponsored Programs: osp@uidaho.edu, (208) 885-6651

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POLICY COVER SHEET

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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: **APM 45.04 NOTICE OF SPONSORED PROJECTS AND ESTABLISHMENT OF BUDGETS**

*Note: If revision or deletion, request original document from 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 _x__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.
   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 Project~~s 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~~.~~

> **C~~B~~-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~~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 ~~E~~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 signatur~~ee(s) are~~e is required.

D~~C~~. 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~~The Director of OSP, or ~~her/his~~their designated representative, is the only person authorized to sign ~~for~~on behalf of the University. ~~Principal~~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.

E~~D~~. ~~Process/~~Procedure~~s.~~

> **E~~D~~-1. Request for ~~Prior R~~review and~~/or Approval~~ approval of ~~Award~~ award d~~D~~ocuments.** 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 (CR~~O~~U)~~ 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 CROOSP. (See APM 45.05 when an Early Setup) is requested).

E-2. Compliance Pprotocols. 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 indexesnumber. This budget numberThese 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 isfinancial 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. BBoth 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.

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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: **APM 45.06 Allowable and Unallowable Sponsored Project Expenditures**

*Note: If revision or deletion, request original document from 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   __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.

     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.~~.~~

A~~C~~-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~~,~~; or
- 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*.*

A~~C~~-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.

B~~D~~. 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~~.

~~B~~D-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 (~~GA~~DGA). 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). C. 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 mustshould 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 45.09an 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 OSPBudget Office website for current rates.

   CE-3. **Temporary Hourly (TH) employees. Employees.**

- The guidelines issued above for Salariessalaries 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.

CE-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)..

CE-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.

CE-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 athe subaward or subcontract is not included in the original proposal, agency approval willmay be required prior to subcontract issuance.

- SubcontractSubaward or subcontract costs are split out from the award and budgeted on a separate fundsindex within the overall grant budget.
- All subcontractorsubrecipient requests for payment (invoices) must be approved by both the PI and OSP prior to being charged against the purchase ordersubaward or subcontract.
  - o Cumulative amountamounts invoiced may not exceed the total amount of the subcontractsubrecipient index.
  - o 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~~ 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.

E

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.

![University of Idaho logo]

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.

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: **APM 45.07 Cost Transfers on Sponsored Projects**

*Note: If revision or deletion, request original document from 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   _x__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.

~~C~~**A**. **Cost transfer d~~D~~efinition~~s~~ed.** A cost transfer is a

~~C~~**A**-**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.

~~D~~**B**. **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.)

~~C~~**E**. ~~Process/~~**Procedure~~s~~**. 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.

~~C~~**E-1. Timely ~~Corrections~~corrections**. 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~~cost 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-~~C~~2. Proper ~~Explanation~~ explanation ~~Required~~required. PIs and Department Grant Administrators (~~D~~GAs) 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~~ benefit~~ted~~ ~~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~~s~~ path and to reduce the chance~~s~~ ~~that~~ of the same ~~cost transfer~~expense being~~is~~ moved~~made~~ 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 ~~Non~~non-~~P~~payroll ~~Cost~~ cost ~~Transfers~~transfers. 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.~~

c~~d.~~) Ensure that any transferred expense is an allowable expense on the receiving budget. Refer all allowability questions to the Cost Accounting Unit of OSP.

d~~e.~~) Prior to transferring an~~y~~ 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 ~~Transfers~~transfers). The Banner Labor Redistribution process is used to correct ~~for~~ labor when it has been ~~identified~~determined that ~~salaries or wages have~~labor 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) ~~c)~~ 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 s~~Specific 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 NWPREX report, the NHIDIST screen, and the PHAHOUR 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.~~

~~C~~E-6. Cost ~~Transfer~~ transfer ~~Limitation~~limitation. A cost ~~will~~ should not be transferred more than once, unless it was disallowed.

~~D~~F. Contact ~~Information~~information. Any questions regarding cost transfers should be addressed to the Office of Sponsored Programs at 208-885-6651 or osp@uidaho.edu.

~~G. Forms.~~

~~G~~H. Related Policies.
- APM 45.06 – Allowable and Unallowable Sponsored Project Expenditures
- APM 45.12 – Sponsored Projects Record Retention
- APM 75.30 – Interdepartmental Charges (IDs)~~;~~

University of Idaho

Requesting Campus Feedback:

Improving Student Success Via Revised Curricula and Instruction

To strengthen U of I students' outcomes, President Green has charged a Step-Up Completion: Collaboration, Evidence, Synergies, & Support (SUCCESS) Team to propose initiatives for funding likely to **increase our current 61% six-year graduation rate to 77%**, matching the current average at Research I institutions. Because U of I is enrolling increasing numbers of first-generation and other students from historically marginalized groups, President Green's charge focuses on using evidence-based approaches shown to improve graduation rates **(Bradley, 7.14.21**; **The Equity/ Excellence Imperative: A 2030 Blueprint for Undergraduate Education at U.S. Research Universities**). To ensure that the final proposal is informed by perspectives from across campus, the SUCCESS Team invites feedback from campus groups over the next few months.

Specifically, the team is charged to build on U of I's existing Strategic Enrollment Plan (SEP) by focusing on evidence-based revisions to curricula and instruction shown to deepen learning and improve academic achievement. The team will propose three broad curricular and instructional student

success initiatives to President Green and Provost Lawrence by mid-May.

The SUCCESS Team invites feedback from campus groups, in two stages.

In **stage 1** *(January/early February),* campus groups are asked to provide feedback on six possible initiatives, each informed by evidence from other institutions. Using campus feedback, the team will narrow to three initiatives and develop possible approaches to pursue each.

In **stage 2** *(late February/early March),* all members of campus will be asked for feedback on the possible approaches.

The Team has worked hard to research and provide references for your consideration. **Your feedback is critical to success, and we appreciate your input** on this important project.

To provide stage 1 feedback, please review the descriptions of **each of the six possible initiative topics below**, then click on this **Feedback Form**, selecting which of the initiatives you are responding to. Note you can re-enter to submit for each initiative. You'll be asked for your thoughts in response to the following questions for each initiative:

1. *What existing relevant strengths at UI could serve as a foundation for this initiative?*
    On a scale of 1 to 10 (1 low, 10 high), how extensive and well established are UI's existing relevant strengths?

2. *What improvements in students' learning, preparation for upper-division courses, or other outcomes would you expect to result if UI pursued this initiative?*
    On a scale of 1 to 10 (1 low, 10 high), how important is it to achieve these improvements?

3. *What is potentially interesting or attractive about this initiative?*
    On a scale of 1 to 10 (1 low, 10 high), how much would you like to see UI pursue this initiative?

4. *What concerns do you have about this initiative and its implementation?*

Revise General Education Curriculum

General education prepares students to connect ideas across disciplines, engage usefully with differing views, recognize how knowledge claims differ across disciplines, adapt to changing work environments, and participate in civic life. Revised general education curricula often streamline general education requirements, use broad themes across disciplines, and scaffold courses' integration with major requirements across four years.

Research: shows (a) integrating and applying knowledge deepens understanding[1] and (b) integrated curricula and learning experiences promote academic success[2].

Example: Arizona's General Education Curriculum

Initial Ideas Generated by the SUCCESS Team:

1. Reconsider when and how courses are offered to support students' timely completion.

2. Develop an introduction-to-campus module.

3. Redesign curricula to engage detached students.

4. Add a civic participation requirement.

Expand & Enhance Common Learning Experiences

Common learning experiences, such as first-year seminars and learning communities, offer meaningful curricular and cocurricular experiences to enhance student learning, often using broad themes and varied curricular and co-curricular choices.[3]

Research: shows common learning experiences (a) improve student success and GPA; (b) are consistently linked to higher retention and graduation rates; and (c) positively impact racially/ethnically minoritized, first-generation, conditionally admitted, and undeclared students[4-10].

Initial Ideas Generated by the SUCCESS Team:

1. Bridge program to prepare students for a FYE.

2. Various FYE opportunities to introduce general education.

3. Links from FYE to sophomore-, junior-, and senior-year experiences.

4. A culminating experience that builds on students' earlier common intellectual experiences.

5. Support for core cognitive and non-cognitive skills.

Example: [Arizona State's highly rated First-Year Experience (FYE) Program](#)

Increase Use of Evidence-Based Teaching Practices

Evidence-based teaching practices, such as active learning, promote higher order thinking and self-directed learning through discussion, case studies, group work, problem solving, writing, sketching, and other instructor-guided activities.

Research: A meta-analysis of 255 studies of STEM courses linked active learning to +6% average exam scores and +12 percentage points in course success rates, with traditional lecture students 1.5 times more likely to fail[11]. Substantial research has linked success in foundational courses to increases in both retention and graduation rates[12-17, 22-23].

Example: Home • Active Learning and Inductive Teaching • Iowa State University (iastate.edu)

Initial Ideas Generated by the SUCCESS Team:

1. Revise promotion and tenure criteria

2. Establish evidence-based, inclusive teaching practices; offer leadership, elevate expertise, and emphasize research on learning & instruction.

3. Ensure faculty have resources needed to pursue evidence-based teaching practices.

Provide More Real-World Learning Opportunities Earlier

Undergraduate (UG) research, internships, community-based learning, and other real-world learning experiences are linked to increased learning, graduation rates, and post-graduation success.

Research: UG research has been linked to +4% to +10% in overall graduation rates and +13% STEM degree completion, with particular benefits for racially/ethnically minoritized and other historically marginalized backgrounds[18-21].

Initial Ideas Generated by the SUCCESS Team:

1. Add co-op experiences, problem solving components, career experiences, undergraduate research, and capstone courses or experiences.

2. Strengthen industry connections.

3. Engage community members as co-creators of learning and scholarship.

Example: **Echegoyan et al (2019)** showed a strong association between completing **UTEP's Freshman Year Research Intensive Sequence** and long-term retention for the 1,652 students they studied, 2015-2017 (~63% female, ~86% Hispanic).

Streamline Degree Pathways

The open source **Curricular Analytics** *toolkit enables faculty to quantify curricular complexity, identify opportunities to streamline curricula, and create degree plans that best enable students to achieve timely degree completion. For example, some universities using Curricular Analytics have revised prerequisites or integrated just-in-time modules on key topics, e.g., building instruction in differential equations into engineering courses that require this knowledge.*

Research: Preliminary data from a **$1.99M Ascendium Foundation grant** supporting the use of Curricular Analytics at 30 R1 and R2 institutions suggest that curricular complexity varies by discipline and that, while some complexity is needed to sequence learning, higher complexity typically correlates with lower graduation rates and longer time- to-degree for those who do graduate, with greater impacts on first-generation, Pell-eligible, white, and some minoritized students.

Initial Ideas Generated by the SUCCESS Team:

1. Examine evidence about where students get slowed or stopped, e.g., when courses needed to progress are offered too infrequently or with too few seats.

2. Accelerate the process and smooth the pathway for transfer students; enter all degree plans into VandalWeb.

3. Consider upgrading our college policy manuals for students. Consider including information on commonly used course substitutions.

4. Consider a "one-stop shop" for students, passports to success, and a humanistic/ not mechanistic approach to genuinely supporting our students throughout their academic career.

Example: The Curricular Analytics Project is part of a larger trend to use data to create more equitable curricular pathways, e.g., **at UT San Antonio**.

Better Support Historically Marginalized Students

Provide intentional support for all students, especially first-generation students, international students, and others from historically marginalized groups.

Research: Founded in 2004, **Excelencia in Education** tracks degree completion goals and measures of progress for Latino and all students, replicates and expands practices shown to improve academic achievement, and supports institutions committed to serving Latino students.

Example: *Excelencia's* **Growing What Works Database** features 200+ programs supporting Latino students' academic success. Similarly, the **Center for First-Generation Student Success** supports colleges and universities to scale programs shown to effectively support first-generation (first-gen) students by providing data and professional development opportunities, promoting research on first-gen persistence and completion, and building a national network. Typically, educational approaches that benefit first-gen and racially/ethnically minoritized students better support *all* students.

Initial Ideas Generated by the SUCCESS Team:

1. Expand and/or extend the work of UI's **Office of Equity and Diversity** and its existing programs.

2. Equip faculty and staff to work effectively with students from first-generation, low-income, and/or high-trauma backgrounds, as well as those from other marginalized groups.

3. Prepare students to request support, course substitutions, etc., when needed and appropriate.

4. Develop online modules and/or other resources to support students who need to brush up on foundational skills.

5. Redesign campus spaces to promote student success.

6. Consider seeking a first-generation designation.

7. Support faculty in designing high-quality courses across delivery modes (face-to-face, online, hybrid).

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VANDAL GATEWAY PROGRAM (VGP) ANNUAL REPORT

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ANNETTE FOLWELL, ASSOCIATE DEAN
BRIAN DULIN, VGP COORDINATOR

COLLEGE OF LETTERS, ARTS, AND SOCIAL SCIENCES
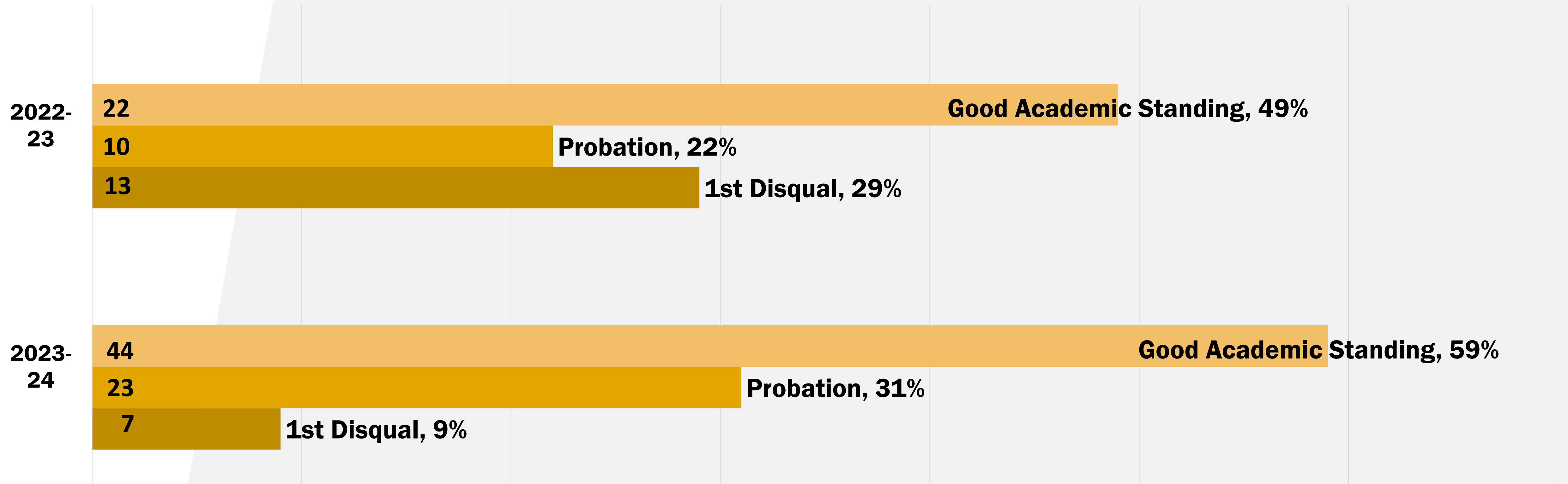
University of Idaho

VANDAL GATEWAY PROGRAM

- Allows students slightly below our usual admissible standards to be directly admitted to UI (2.3-2.59 GPA)

- For their 1st year, students take General Education courses along with courses in their anticipated major

- VGP has dedicated staff and faculty that advise, mentor, and teach students

- After 1st year, VGP student transfer to their chosen major

- 75% of VGP students served are Idaho residents

- 48% of VGP students served are first-generation college students

ACADEMIC STANDING

AY 2022–23: 45 VGP students (47 attended but 2 withdrew)

AY 2023–24: 77 VGP students (84 attended but 7 withdrew)

2022-23
- 22 — Good Academic Standing, 49%
- 10 — Probation, 22%
- 13 — 1st Disqual, 29%

2023-24
- 44 — Good Academic Standing, 59%
- 23 — Probation, 31%
- 7 — 1st Disqual, 9%

PERSISTENCE, RETENTION, AND AWARDS

AY 2022-23:

- 88% persisted from fall to spring and 50% were retained for Fall '23

- 5 additional students returned for the Spring '24 semester (three Fall 22 students did not attend in Fall '23, but returned spring '24 and two spring '24 students did not attend fall '23, but returned spring '24)

- 3 students transferred to other institutions

- 9 students achieved a 3.0 or higher GPA and earned CLASS one-time awards

AY 2023-24:

- 85% persisted from fall to spring

- 2 students transferred to another institution

- 20 students achieved a 3.0 or higher GPA and earned CLASS one-time awards

WINS, LESSONS, AND LOOKING AHEAD

- All the right pieces are now in place:

  - Direct admissions policy, well-qualified and effective VGP Coordinator hired, and additional faculty and advisor hired

- Significant improvement in student achievement (10% increase of Good Academic Standing and 20% decrease in 1st DQ)

- VGP opens doors for students who otherwise could not attend college

  - VGP serves multiple colleges and increases overall UI enrollments

  - Students who transfer from UI, while not ideal, are success stories

- Financially self-sustaining and remained within original budget

- Develop a process for VGP students to be considered for **Idaho Opportunity** or **Go Idaho** scholarships after completion of first year