

2017-18 MEETING #3 OF THE FACULTY OF THE UNIVERSITY OF IDAHO

Wednesday, April 25th - 3:00-4:30 p.m. (PT), Bruce M. Pitman Center Vandal
Ballroom

Boise – IWC 162; Coeur d’Alene – 241; Idaho Falls – TAB 350; Twin Falls – B-66
President Chuck Staben Presiding

Call to Order.

In Memoriam.

Minutes. Meeting #2, November 29, 2017

Announcements.

Special Orders.

Report of the Faculty Senate

Below items are available:

http://www.webpages.uidaho.edu/facultycouncil/General_Faculty_Meetings/univ_faculty_meetings.htm

I. Proposed Changes/Additions to Faculty-Staff Handbook (FSH)

Faculty-Staff Handbook:

- **FS-18-017:** FSH 1570 – Faculty Secretary
- **FS-18-038:** FSH 1565 H – Graduate Assistants
- **FS-18-042:** FSH 1640.74 – Sabbatical Leave Evaluation Committee
- **FS-18-043:** FSH 1640.54 – Institutional Review Board
- **FS-18-049:** FSH 1640.10 – Americans with Disabilities Act Advisory Committee
- **FS-18-050:** FSH 3050 – Position Description & FSH 3320 Annual Evaluation
- **FS-18-051:** FSH 1640.72 – Research Council
- **FS-18-053:** FSH 6920 – University Library
- **FS-18-054:** FSH 3840 – Procedures for Faculty Appeals & 1640.43 – Faculty Appeals Hearing Board
- **FS-18-055:** FSH 1640.76 – Safety & Loss Committee
- **FS-18-056:** FSH 1640.XX – University Staff Compensation Committee

Informational Items:

- **FS-18-026:** FSH 5200 – Human Participant (Subject) Research
- **FS-18-035:** APM 95.21 – University Closures
- **FS-18-036:** APM 35.91 – Bomb Threats
- **FS-18-037:** APM 45.01 – Animal Care Use
- **FS-18-052:** APM 50.16 – Criminal Background Check

President’s Remarks.

Adjournment. Refreshments will be available.

Liz Brandt, Secretary of the Faculty, (885-6151)

NOTE: 109 faculty members (all campuses statewide) constitute a quorum. Quorum and voting regulations are located in [FSH 1520 Article III](#). To determine your voting right as a faculty member, please see [FSH 1520 Article II Section I](#). Those who are recognized by the President, for the purpose of speaking, should identify themselves by name and discipline or position.

NOTICE: Off-campus faculty will receive a separate email with a URL to access the meeting live, if they are unable to attend at one of the designated locations. Also available at this site will be a streaming video link that can be viewed after the meeting for those unable to attend.

University of Idaho
University Faculty Meeting Minutes
2017-18 Meeting #2, November 29, 2017

Call to Order: President Staben called the meeting to order at 3:05 pm.

In Memoriam: President Staben asked for a moment of silence in honor for our departed colleague.

Ed Duren
Professor Emeritus of Animal and Veterinary Science
-November 2017-

Quorum Count: 83 faculty members were present (Moscow 66, Boise 5, Coeur d'Alene 4, Idaho Falls 4, Twin Falls 4) less than the one-eighth required for a quorum.

Minutes: In the absence of a quorum, the minutes of the September 20, 2017 stand as a record of the meeting but were not formally approved.

Report of Faculty Senate: The report was given by the chair of the faculty senate, Professor Patrick Hrdlicka. Hrdlicka informed the body that in the absence of a quorum, the policy and curriculum changes approved by senate are deemed approved pursuant to [FSH 1520 Article III, Section 3. Clause A.](#) and will be forwarded to the president. He then reviewed each of the policy changes on the agenda and invited questions regarding each pending proposals. He also reviewed proposed changes in the academic regulations and in the curriculum.

A faculty member made a comment regarding the revisions to FSH 2700 New Student Evaluation Form. He asked that the Teaching and Advising Committee consider extending the timeframe for students to complete the course evaluation. He stated that closing the time period for student evaluation of the course on the last day of classes discourages student participation.

President's Report: President Staben thanked those who worked on revisions to the faculty annual evaluation form and the student disciplinary procedures for their efforts on these major policies. He also thanked Hrdlicka and members of the faculty compensation taskforce for their work on advancing the market based compensation system for the university.

Staben identified several areas that he will emphasize to continue to increase student enrollment.

1. *Apply Idaho.* This program provides a fast and efficient way for students to apply to the state's universities at no cost. The University of Idaho is seeing an increase in the number of applications across the state. It does not appear that students are just randomly applying to all 8 institutions in Idaho. The average number of institutions for each applicant is 2.5. We are continuing

aggressive follow-up on these applications. Also, we are changing and improving our admission events and activities.

2. *Raise.me Micro Scholarship Program*. Enrollment management recently implemented Raise.me. The site matches student achievements to scholarships. It also helps students identify ways to prepare for college and qualify for specific scholarships. Accounts in the system are free to students. Students can follow multiple schools. The university already has quite a few followers.
3. *Global Student Success Program with Navitas*. This program complements our own international programs. We have had significant interest in the program.
4. *Student Success*. We have increased our first year to second year retention from 77% to 82%. However, Staben believes the university can make further improvements. We are consolidating advising and implementing the StarFish retention software which will be known on campus as VandalStar. The Associated Students of the University of Idaho (ASUI) Student Senate passed a resolution endorsing the use this software. They want more timely feedback and more support from faculty in their efforts to succeed.

President Staben also addressed some confusion that has arisen from his State of the University address concerning faculty growth. He clarified that his estimate of 10% faculty growth was not intended as a cap. Rather, he believes it is a responsible estimate of how much our faculty can grow. He is optimistic that we can increase the size of the faculty. The institution has to have more resources and more students to fuel growth.

Staben provided his outlook on the upcoming legislative session. He began by offering a disclaimer that he is not a “prognosticator” or political scientist. Rather, he is providing his sense of the issues and challenges relevant to the university in the upcoming session. Staben noted that the state has a surplus in tax revenue. However, he pointed out that because this is an election year he believes that many legislators will favor tax cuts. Although he will urge that the tax surplus be invested in programs that will benefit the state including higher education, he does not think there will be much motivation to make such investments this legislative session. He believes that compensation for state employees will be an issue. Unfortunately, he does not know what the legislature will approve for change in employee compensation.

Another process by which the university receives legislative appropriations, in addition to change in employee compensation, is the “line item” process. During the previous spring the university developed several line item budget requests. Our requests are based on the recommendations of the University Budget and Finance Committee (UBFC). The administration selects and further develops these recommendations which become the basis for our line item budget proposals to the State Board of Education (SBOE). Once submitted, our requests are further developed by the SBOE. This year, the two line item requests that we have moved forward are:

1. *Library Improvement Phase II*. This request is aimed at increasing our library resources to maintain the quality and stature of our research library. Last year the legislature funded Phase I of this project. This year we are asking for funding for the second phase.

2. *Student Success and Support.* This request relates to providing enhanced counselling and psychiatric support for students. This request would, in part, provide enhancements for the Ravens Scholars Program that supports students on the autism spectrum.

In addition, we have additional special program requests. One of these requests is for Agricultural Research and Extension. Last year within this area of budget requests we received a \$10 million appropriation for the Center for Agriculture Food and the Environment (CAFE) program. This appropriation was put into a savings account of sorts. The university match this legislative appropriation with private funds in order to receive the appropriation. We believe the project is a \$45 million project. The plan is that the state would provide \$15 million, we would provide \$15 million and we would also identify \$15 million in private funding. Staben and College of Agriculture and Life Sciences (CALs) Dean Michael Parella have developed a proposal for how the university will bring in the private matching support to move this program forward. The governor has committed to advocate for the additional \$5 million in state funding once the university has identified the private funding. We have not completed our process, so we will not see a funding request for CAFE in the upcoming budget.

Forest Utilization Program. We will have a request that will benefit both rangeland and wood science. The wood science position will help support our new arena project. We have made outstanding progress in funding the arena project already. The price of the project has increased from \$30 million to \$45 million. President Staben thinks we can raise the necessary funds. On the rangeland side of this request, we have received gifts that will help us move forward on the Rock Creek project.

WWAMI – We have made significant progress in increasing and supporting the WWAMI program. We have increased from 20 seats to 40 seats. Our curriculum has changed from a one-year to a two-year program. Thus, where we had 20 WWAMI students on campus, we now have 80 students on campus. We are consolidating recent changes and have support for modest budget increases. The university is modifying the former Incubator building for WWAMI and we have leased space on the 3rd floor of the new Gritman building. This will provide high quality new facilities for the program. We are monitoring the new medical school in Boise which is likely to get accreditation.

The president then opened the floor for questions.

A faculty member thanked the President for sharing his thoughts on the upcoming legislative session. He asked what faculty and staff at the university can do as private citizens to help advance the university's agenda. Specifically, the faculty member asked whether faculty and staff can be helpful in engaging students and alumni to support the university's agenda. Is there a fact sheet, or a quick guide, that could be made available?

President Staben asked general counsel about the limitations on how public employees may engage in political activities. General Counsel Kent Nelson who was in attendance at the meeting, responded that employees cannot use university resources to lobby for legislation. He also stated that it would probably be unwise to use university email to send political messages. President Staben further responded

that the administration tries to engage students through a legislative lunch during the session. He also pointed out that ASUI employs a student lobbyist who has an office in Boise during the legislative session. Frequently the student lobbyist coordinates efforts with those of the university. Finally, Staben also responded that the university works to engage alumni networks by informing them of how the university will be affected by pending legislative issues. He added that if a faculty or staff member is going to Boise to testify before the legislature, whether as part his or her employment or as a private citizen, it is helpful to let Joe Stegner, Special Assistant to President Staben for Legislative Affairs, know of the planned testimony. Finally, President Staben noted that he has some issue sheets used in public presentations that he will consider placing on the president's webpage.

A faculty member pointed out that at the federal level the pending tax bill may have significant impacts on the university, particularly because of its impact on teaching and research assistants. He asked whether the university has taken a position on this legislation. President Staben responded that the university has endorsed the positions of several professional groups to which we belong. We also have contacted our congressional delegation on these issues.

There are multiple ways we could be impacted. Tuition waivers for graduate students could become taxable income. Another provision would make any tuition waivers to employees, or dependents, taxable. The legislation also may prohibit refinancing of bonds by exempt authorities like the university.

A faculty member commented that he was glad to see the micro-scholarships program. He asked whether there are scholarships available for club leadership. Providing scholarships for such students may have broad impacts since the club leaders are often student opinion makers. Staben replied that the Raise.me program is just getting started. This year will be experimental. After this year, we will examine results and implement improvements. He directed suggestions to Vice Provost for Enrollment Management (SEM) Dean Kahler.

Another faculty member commented that student leaders from north Idaho were on campus for a meeting. He believes the university should focus recruitment efforts on these sorts of events. He also asked why we charge such groups to use our facilities when providing space at no cost could be an incentive to students to attend the university. Staben commented that faculty need to communicate with SEM when we know of these activities.

The end of the agenda having been reached the meeting was adjourned 4:04 pm.

Respectfully Submitted

Liz Brandt
Faculty Secretary



POLICY COVER SHEET

See *Faculty Staff Handbook 1460* for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: FSH 1570 – Secretary of the Faculty

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

*Note: If revision/deletion request original document from apm@uidaho.edu or fsh@uidaho.edu, all changes must be made using “track changes.”

Originator(s): Senate Leadership, Chair Hrdlicka & Liz Brandt,

Faculty Secretary

(Please see FSH 1460 C)

Telephone & Email:
ehrdlicka@uidaho.edu &
lbrandt@uidaho.edu

Name _____ Date _____
hrdlicka@uidaho.edu &

Policy Sponsor: (If different than originator.)

Telephone & Email:

Name _____ Date _____

Reviewed by General Counsel ___Yes ___No Name & Date: ___

I. **Policy/Procedure Statement:** Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

Update policy to reflect current roles and responsibilities of the Faculty Secretary, including oversight of policy process and the role this position plays in achieving positive outcomes.

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

None

III. **Related Policies/Procedures:** Describe other policies or procedures existing that are related or similar to this proposed change. FSH 1460

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

UI FACULTY-STAFF HANDBOOK

CHAPTER ONE:

HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

July 2017

1570

SECRETARY OF THE FACULTY

PREAMBLE: This section outlines the appointment, responsibilities, and duties of the Secretary of the Faculty. The faculty secretaryship is a position of long standing in the university and this section appeared first in the 1979 edition of the Handbook. The first substantial revision was that of November, 1991, where the faculty secretaryship was redefined as a half-time position (allowing for the creation of a half-time ombudsman position) and the responsibilities of the office were substantially changed. The second substantial revision was done in 2003 to reflect current practice and responsibilities. In 2009 responsibility for vita preparation was removed from the Office of the Faculty Secretary and placed with the faculty. Except where noted, the text remains as it was in 1996. For further information, contact the Office of the Faculty Secretary (208-885-6151). [ed. 7-00, 7-03, rev. 7-11]

CONTENTS:

- A. Appointment
- B. Responsibilities and Duties
- C. Nomination Process for Secretary of the Faculty

A. APPOINTMENT.

A-1. The secretary of the faculty (aka faculty secretary, policy coordinator see FSH 1460) is appointed on a fiscal-year basis by the president from among the tenured members of the university faculty or faculty emeriti [see 1520 II-1 and III-2]. The president appoints the secretary of the faculty from a list of candidates recommended by a nominating committee and ratified by the Faculty Senate [see C below]. [rev. 7-02, ed. 7-09]

A-2. Release time for the faculty secretary will be at least one-half time and may be greater, at the discretion of the president, depending on the circumstances, the needs of the Faculty Senate, and the needs of the faculty member appointed. [ed. 7-09]

A-3. The term of service is three years and is renewable. [rev. 7-02]

A-4. The faculty secretary serves at the pleasure of the president and reports to the chair of the Faculty Senate and to the provost. The provost, in consultation with the chair and vice chair of the Faculty Senate, conducts an annual review of the faculty secretary. Early in the third year of service, an in-depth evaluation is conducted by the provost and the chair of the Faculty Senate. Included are evaluations by the senate as a whole, by other appropriate administrators and faculty, and by the incumbent. A confidential evaluation report is given to the president for review and discussion with the incumbent by the first week in October in the third year of service. [rev. 7-02, ed. 7-09]

B. RESPONSIBILITIES AND DUTIES. The Secretary of the Faculty shall: [rev. 7-02]

B-1 ~~1~~. Serve as a major significant source of information for UI administrators, faculty, staff personnel and students concerning policies, regulations, and procedures; ~~serve as a channel of communication to the members of the university faculty concerning administrative and regents' actions; work with the administration and Faculty Senate in achieving positive outcomes to university policies and procedures; and serve as a liaison with the President's Office to ensure facilitate proper maintenance and publication of the policy and procedures handbooks (see FSH 1460).~~

B-8 ~~2~~. Serve as Policy Coordinator (FSH 1460 B-5) with oversight ~~the editor~~ of the *Faculty-Staff Handbook* (FSH) and Administrative Procedures Manual (APM) to ensure facilitate the timely and orderly adoption of policies and procedures including, but not limited to: 1) consulting and collaborating with the administration to identify and address policy issues; 2)

Commented [AT1]: This first part is from B-10.

Commented [TA(2)]: This middle sentence was part of original B-1.

Commented [TA(3)]: The Fac. Sec. works with Counsel, Provost, FAC, UCC, and is part of Sen. Leadership who work through items of concern that arise from changes submitted by a policy sponsor (HR, Research, Infrastructure, DOS, et al). This role is crucial to ensure everyone's work to-date is not lost and to avoid presidential disapproval.

Commented [AT4]: Last sentence here was in original B-8 moved to B-2 below.

Commented [TA(5)]: Was B-8, everything that follows below is linked to this and the above role, including the UFM which is the last Faculty Governance approval process before the President.

UI FACULTY-STAFF HANDBOOK

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

Section 1570: Secretary of the Faculty

~~keeping upper administrative officials informed of policy proposals being developed by university committees and others; 3) advising on the development and drafting of policy; 4) identifying policies in need of revision and ensuring that such revisions are addressed; 5) ensuring monitoring that institutional processes for the timely development of policies and procedures are followed; and 6) keeping the university community informed.~~ Inform Faculty Senate of any additions and changes to the handbook policy and procedures. See 1460 for a more detailed description on the university-wide policy process which includes students, Staff Council, Faculty Senate, University Faculty, the President and Regents. Serve as a major resource to the faculty and administrators with respect to the contents of the handbook and participate in keeping it up to date. Serve as a liaison with the President's Office to ensure proper maintenance and publication of the handbooks. [ren. and rev. 7-02, ed. 7-09]

Commented [TA(6): Combined and moved these last two sentences into B-1 above.

~~B-13. Prepare, with the president's approval, oversee the preparation of~~ Propose the agenda and supporting documents for each meeting of the university faculty; ~~for with the approval by of the president;~~ record and publish the minutes of meetings; ~~ensure that forward~~ reports of actions of the university faculty are forwarded to the president; ~~and the Department of Special Collections and Archives in the University Library, and other interested parties with copies of the minutes of the university faculty meetings;~~ and [rev. 7-02, 7-11]

Commented [TA(7): This is part of B-1 that was moved here to follow the policy process mentioned above.

Commented [TA(8): No longer happens, available on the web.

~~B-3. Oversee the placement of Faculty Staff Handbook sections and keywords on the UI policy and regulations website. [add. 7-02]~~

~~B-49. Prepare. Ensure the accurate and timely preparation and distribution of for publication~~ General Policy Reports for publication and distribution to the for review and approval of university faculty ~~for review and approval.~~ [add 7-02, 7-11]

Commented [TA(9): Was B-9.

~~B-45. Serve as an ex-officio nonvoting member of the Faculty Senate, work closely with and advise the chair and vice chair of Faculty Senate on policy matters and on the conduct of senate business, and, as his or her primary responsibility, provide services related to shared governance on request from for the Faculty Senate, and other faculty bodies, faculty, staff, students, and administration.~~ [ren. 7-02, ed. 7-09]

Commented [AT10]: There was nothing after this and I assumed it should be administration.

~~B-56. Serve as secretary to an ex officio nonvoting member of the Committee on Committees. Oversee the process for solicitation of faculty members to serve on university-wide standing committees and the publication of committee function statements and membership lists. [ren. and rev. 7-02]~~

~~B-67. Serve as an ex-officio nonvoting member of the University Curriculum Committee, and cooperate work closely~~ with UI officials to ~~ensure-facilitate~~ the accuracy of all published academic information. [ren. and rev. 7-02]

~~B-78. Serve as chair of the University Multi-campus Communications Committee, 1640.94. [add. 1-10]~~

~~B-29. Oversee and ensure the accuracy of the Faculty Senate, Faculty Secretary, Faculty-Staff Handbook, Administrative Procedures Manual and University Policy websites. Oversee the placement of material on those websites and historical records. [add. 7-02, ed. 7-09, rev. 7-17]~~

Commented [AT11]: Was B-2

~~B-11. Perform such other duties related to faculty governance as may be assigned by the president or the president's designee or the university faculty.~~ [ren. 7-02]

Commented [AT12]: Reinstated.

C. NOMINATION PROCESS FOR SECRETARY OF THE FACULTY.

C-1. The chair of the Faculty Senate appoints a five-member nominating committee, with the

UI FACULTY-STAFF HANDBOOK

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

Section 1570: Secretary of the Faculty

approval of the Faculty Senate. The committee is composed of the provost and four other members of the senate, one of whom shall be the Faculty Senate Chair, or his/her designee, who shall serve as the committee chair. [*ed. 7-09, rev. 7-17*]

C-2. The nomination committee should seek out and give preference to nominees who have the following qualifications; (1) attained the rank of full professor or are faculty emeriti, (2) communication skills, (3) supervisory experience, (4) extensive experience in university service, and (5) excellent understanding and commitment to the role and mission of the University of Idaho. [*add. 7-02, rev. 7-17*]

C-3. The committee advertises the position, solicits and accepts applications and nominations, and screens candidates. The committee functions in a confidential manner. [*ren. 7-02*]

C-4. The committee recommends a list of candidates for ratification by the Faculty Senate. The senate may meet in executive session to discuss candidates recommended by the nominating committee. The senate may not add names to those recommended by the nominating committee but may choose to delete any of the candidates nominated by the committee. [*ren. and rev. 7-02*]

C-5. The Faculty Senate forwards the names of nominees ratified by the Faculty Senate to the president. The president selects the faculty secretary from that list or requests that a new group of nominees be selected following the procedures outlined in C-1 through C-4. [*ren. 7-02, ed. 7-09*]



POLICY COVER SHEET

(See *Faculty Staff Handbook 1460* for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

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

Chapter & Title: Chapter one: FSH 1565 H.

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

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

Originator(s):

1/18/2018

(Please see FSH 1460 C)

Telephone & Email:
 mcmurtry@uidaho.edu

Jerry McMurtry

Name Date

885-6245

Policy Sponsor: (If different than originator.)

Telephone & Email:

Name Date

Reviewed by General Counsel ___ Yes ___ No Name & Date:

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

The new support category allows for the support of graduate students who are not aligned directly with the responsibilities of a teaching or research assistant. The addition of the term "graduate" in front of the title is simply to more clearly define the persons involved and differentiate from undergraduate assistants. Graduate Council approved on Oct. 18, 2017.

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

n/a

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

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

FSH1565 - ACADEMIC RANKS AND RESPONSIBILITIES

PREAMBLE: This section defines the various academic ranks, both faculty and non-faculty (e.g. graduate student appointees and postdoctoral fellows), and their responsibilities. Subsections A, C, D, E, F, and I should be read in conjunction with the policy and procedures concerning granting of tenure and promotions in rank which are contained in 3520 and 3560 (subsection I only in conjunction with 3560). Most of the material assembled in this section was a part of the original 1979 Handbook. The material in section I was added July, 1987. The definitions of 'postdoctoral fellow' (J-5), 'graduate assistant' (K-3) and 'research fellow' (K-4) were revised in July 1996. Section J-1, voting rights for lecturers, was changed in July 2001. Section A was substantially revised in July 1994, so as to underline better the importance of both teaching and scholarship. At that time the so-called "Voxman Amendment" (the addition of 'in the classroom and laboratory' to the list of possible venues wherein the evaluation of scholarship might take place) made its first appearance. Section A underwent additional substantial revision in July 1998 and July 2006, always with the hope of creating greater clarity in a complex subject. Extensive revisions along those same lines were made to B (entirely new and in 2008 B was moved to 3570), C, D, and E, in July 1998. Further, less extensive revisions were made to C-1, D-1, and E-1 in July 2000. In July 2008, this section was reorganized to better reflect classifications as stated in FSH 1520 Article II, no substantive changes were made to policy. In 2009 changes to the faculty position description and evaluation forms integrating faculty interdisciplinary activities into the evaluation processes were incorporated into this policy as of January 2010. Ranks for Associated Faculty in F were removed because the promotion process as detailed in 3560 for faculty ranks was deemed excessive for associated faculty. Those currently holding a specific rank in adjunct or affiliate will retain that privilege. In July 2010 the affiliate and adjunct terms were switched to conform to national norms and rank of Distinguished Professor was added. In July 2011 voting for associated faculty was clarified and Clinical Faculty under "G. Temporary Faculty" moved to "D. University Faculty" as D-9 and was revised. In July 2012 edits were made to the Distinguished Professor under D-8 and to the qualifications for Emeritus status and a search waiver under E. In July 2013 definitions for research and teaching assistants were more clearly defined. In January 2014 the time necessary to qualify for Emeritus status was redefined and in July 2014 the cap on non-tenure track faculty appointments in a unit was adjusted and promotion processes clarified and revised. Further information may be obtained from the Provost's Office (208-885-6448). [rev. 7-98, 7-00, 7-01, 7-06, 1-08, 7-08, 1-10, 7-10, 7-11, 7-12, 7-13, 7-14]

H. NON-FACULTY: Those within this category are not members of the faculty. [*ed. 1-10*]

H-1. POSTDOCTORAL FELLOW. Postdoctoral fellows are persons who hold the doctoral degree or its equivalent at the time of their appointment and are continuing their career preparation by engaging in research or scholarly activity. Postdoctoral fellows are special exempt employees in the category of "temporary or special" (FSH 3080 D-2 a) employees recognized by the regents. [See also 3710 B-1.b.] [*ed. 1-10*]

H-2. GRADUATE STUDENT APPOINTEES: The general nature of the following graduate assistantships is defined as an apprenticeship experience that consists of a work obligation partnered with educational and developmental activities, all of which are integrated with the graduate degree program of the student. All graduate assistants must be individually mentored by a faculty advisor and may receive additional mentoring from other faculty and/or staff on or off campus. All graduate assistant positions (H-2. a, b, c) are limited to twenty hours per week of work. All graduate student appointees must be academically qualified and registered. [See also 3080 D-2-a.]

a. Graduate Teaching Assistant. Graduate Teaching Assistants perform duties related to the instructional efforts of the unit in which they are employed under the supervision of a member of the university faculty, associated faculty, or temporary faculty (see FSH 1565 D, F, and G). These duties, which must be associated with academic credit instruction and constitute at least 50 percent of a Teaching Assistant's effort, may include, but not be limited to: primary teaching responsibilities; grading assignments; assisting with the delivery of instruction through technology; and providing other assistance related to instruction. [*ed. 1-10, rev. 7-13*]

UI FACULTY-STAFF HANDBOOK

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

Section 1565: Academic Ranks and Responsibilities

b. Graduate Research Assistant. Graduate Research Assistants develop competence in performing professional-level work in support of research, scholarship, or creative activity. These positions can only have duties within the scope of work permitted by the funding source. *[ed. 1-10, rev. 7-13]*

c. Graduate Support Assistant. Graduate Support Assistants perform a wide-range of duties and can have varying responsibilities in academic and non-academic campus departments and programs. The specific duties depend on the needs of the office or project and on the qualifications and experiences of the Graduate Support Assistant. Graduate Support Assistants may provide academic and/or non-academic instruction, and/or assist with research, or provide other support functions. The duties must be directly related to the Graduate Support Assistant's program of study. The College of Graduate Studies shall periodically publish standards governing the permissible scope of Graduate Support Assistant appointments on its website.



POLICY COVER SHEET

(See Faculty Staff Handbook 1460 for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: FSH 1640.74 Sabbatical Leave Committee

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

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

Originator(s):

(Please see FSH 1460 C)

Telephone & Email:

ejames@uidaho.edu

Erin James Sept 18, 2017

Name

Date

(775) 527.7019;

Policy Sponsor: (If different than originator.)

Telephone & Email:

Name

Date

Reviewed by General Counsel X Yes No Name & Date: Kim Rytter, Aug 31, 2017

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

The Sabbatical Leave Evaluation Committee (SLEC) is recommending the following revisions to section 1640.74 in the Faculty/Staff Handbook. Current language on the structure of the committee states that "A member selected to serve on this committee who is planning on applying for a sabbatical shall recuse themselves from participating the semester in which they apply." Because sabbaticals are no longer centrally funded through the Provost's Office and because there is no benefit to SLEC members who are applying for sabbatical leave to rank other applications poorly, the SLEC believes that there is no need for this conflict of interest provision. The SLEC also understands that this conflict of interest provision causes more problems than it solves, as it makes committee formation more difficult. The SLEC thus suggests that this sentence be removed.

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

This revision will have no fiscal impact.

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

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

UI FACULTY-STAFF HANDBOOK

CHAPTER ONE:

HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

July 2017

1640

COMMITTEE DIRECTORY

PREAMBLE: This section contains statements of the function and structure of each university-level standing committee. The names of persons appointed to serve on each such committee are published at the beginning of each academic year by the Committee on Committees, and copies of this publication are available from the Office of the Faculty Secretary (208-885-6151). This section, dating to the 1979 edition of the Handbook, has been frequently revised as necessitated by the changing mission or membership of existing committees or the deletion of obsolete committees or the addition of new ones.

1640.74

SABBATICAL LEAVE EVALUATION COMMITTEE

A. FUNCTION. To review applications for sabbatical leave, to make recommendations to the Faculty Senate for approval and referral to the president, to review the reports of those returning from sabbatical leave, and to evaluate annually the results of the program. [See also 3720.] [ed. 7-00, 7-09]

B. STRUCTURE. Five faculty members (with at least one representative each from the humanities, natural sciences, and social sciences) and vice provost of academic affairs, or designee (w/o vote). ~~A member selected to serve on this committee who is planning on applying for a sabbatical shall recuse themselves from participating the semester in which they apply.~~ [rev. 7-06, 2-09, 7-16]



POLICY COVER SHEET

(See *Faculty Staff Handbook 1460* for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: Chapter Five: 5200 Human Participant Research & 1640.54

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

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

Originator(s):

(Please see FSH 1460 C)

Telephone & Email:

Jennifer Walker	11/17/2017
Name	Date
208-885-6340 irb@uidaho.edu	

Policy Sponsor: (If different than originator.)

Telephone & Email:

janetenelson@uidaho.edu

Janet E. Nelson	12/15/2017
Name	Date
208-885-6689	

Reviewed by General Counsel X_Yes ___No Name & Date: Casey Inge 11/17/2017

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

The U.S. Department of Health and Human Services have issued final revisions to the Federal Policy for the Protection of Human Subjects (the Common Rule). The Final Rule was published in the Federal Register on January 19, 2017 and is effective on January 19, 2018. It implements new steps to better protect human subjects involved in research, while facilitating valuable research and reducing burden, delay, and ambiguity for investigators. The revisions to the FSH are necessary for University compliance with the Final Rule.

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

No impact.

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

FSH 1640.54 – minor changes.

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

January 1 since the effective date of the regulatory changes is January 19, 2018.

UI FACULTY-STAFF HANDBOOK

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

Section 1640: Committee Directory

1640.54**INSTITUTIONAL REVIEW BOARD**

[Formerly Human Assurances Committee, rev. 1-09, 1-18, rewritten 7-10]

A. FUNCTION. The federal government requires the University of Idaho (University) to designate an Institutional Review Board (IRB) to ensure that human participant-subject research conducted under the auspices of the University meets federal requirements. Under the approved federal-wide assurance (~~FWA00005639~~) for the University, the IRB shall apply the regulations set forth by United States Department of Health and Human Services (HHS) (www.hhs.gov) at 45 CFR 46 to all federally funded human participant-subject research, ~~regardless of funding source~~, and shall be guided by the ethical principles set forth in The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research of the National Commission for the Protection of Human Subjects. All non-federally funded or unfunded human participantsubject research shall comply with these regulations unless otherwise specified by University policy. The IRB shall also apply the human participant-subject research regulations established by the Food and Drug Administration for clinical investigations involving drugs, biologics, medical devices, and other test articles. (21 CFR 50; 56; 312, and 812). The IRB shall not approve FDA-regulated human participantsubject research without prior approval for such research from the Office of Research and Economic Development. The IRB shall act in conformance with other federal laws and regulations germane to human participant-subject research and with applicable state and local law ~~that serves to elucidate and supplement federal regulations for human-subject research~~. [See FSH 5200]

A-1. Human participantsubject Rresearch that has been approved by the IRB may be subject to further review and approval ~~or disapproval~~ by UI University officials. However, a University officials may not approve such research, or that portion of a research project that constitutes human participantsubject research, ~~if that it~~ has not been approved by the IRB. ~~(45 CFR 46.112)~~

A-23. The committee ~~also~~ serves as an advisory body to the Vice President for Research and Economic Development for matters related to hHuman Subjects/Partieipants Rresearch ~~Matters~~.

B. STRUCTURE AND MEMBERSHIP.

B-1. The IRB is composed of at least five (5) members withappointed by the VP for Research and Economic Development. Members shall have varying backgrounds to promote complete and adequate review of research activities commonly conducted at the University. The IRB is chaired by a faculty member-chaired-committee.

B-2. ~~It shall have at least five members, with varying backgrounds to promote complete and adequate review of research activities commonly conducted at the University of Idaho [45 CFR 46.107(a)].~~

B-23. The Director of Research Assurances ~~position of Chief Research Compliance Officer~~ serves ~~in the capacity of as an~~ ex officio non-voting

UI FACULTY-STAFF HANDBOOK

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

Section 1640: Committee Directory

~~standing committee~~ member to assist in representing institutional commitments and regulations, ~~[45 CFR 46.107(a)]~~.

B-4. The IRB shall include at least one member whose primary concerns are in scientific areas and one member whose ~~main~~-primary concerns are in nonscientific areas ~~[45 CFR 46.107(e)]~~.

B-5. The IRB shall include one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person ~~who is~~ affiliated with the institution ~~[45 CFR 46.107(d)]~~.

B-6. At its discretion, ~~t~~The IRB may, ~~in its discretion,~~ invite individuals with competence in special areas to assist in the review of issues ~~which that~~ require expertise beyond or in addition to that available on the IRB. These individuals may not vote with the IRB ~~[45 CFR 46.107(f)]~~.

B-7. The ~~Signatory Official, who is the~~ Vice President for Research and Economic Development may remove and replace a committee member at any time. ~~If and when he/she determines that~~ the member is unwilling or unable to carry out committee functions.

B-8. Alternates. The IRB Chair, or designee, may select an alternate member to substitute for, with vote, an absent voting member at a convened meeting. The alternate member shall have similar expertise as the absent voting member for whom they are serving as a replacement.

B-9. The Vice President for Research and Economic Development appoints all members of the IRB, including the alternates.

University of Idaho

POLICY COVER SHEET

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

Faculty/Staff Handbook [FSH] Addition Revision* Deletion* Emergency
 Minor Amendment
Chapter & Title: _____

Administrative Procedures Manual [APM] Addition Revision* Deletion* Emergency
 Minor Amendment
Chapter & Title: _____

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

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

Originator(s):

(Please see FSH 1460 C)

Name

Date

Telephone & Email:

Policy Sponsor: (If different than originator.)

Name

Date

Telephone & Email:

Reviewed by General Counsel Yes No Name & Date: _____

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

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

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

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

If not a minor amendment forward to: _____

Policy Coordinator
 Appr. & Date:

[Office Use Only]

APM

F&A Appr.: _____
[Office Use Only]

FSH

Appr. _____
 FC _____
 GFM _____
 Pres./Prov. _____

[Office Use Only]

Track # _____
 Date Rec.: _____
 Posted: t-sheet _____
 h/c _____
 web _____
 Register: _____
(Office Use Only)

UI FACULTY-STAFF HANDBOOK

CHAPTER ONE:

HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE January 2018

1640
COMMITTEE DIRECTORY

PREAMBLE: This section contains statements of the function and structure of each university-level standing committee. The names of persons appointed to serve on each such committee are published at the beginning of each academic year by the Committee on Committees, and copies of this publication are available from the Office of the Faculty Secretary (208-885-6151). This section, dating to the 1979 edition of the Handbook, has been frequently revised as necessitated by the changing mission or membership of existing committees or the deletion of obsolete committees or the addition of new ones.

Subsections

- | | |
|--|--|
| .02 Academic Hearing Board | .54 Institutional Review Board |
| .04 Academic Petitions Committee | .55 Information Technology Committee |
| .06 Administrative Hearing Board | .56 Intellectual Property Committee |
| .08 Admissions Committee | .58 Ubuntu |
| .10 Americans with Disabilities Act Advisory Committee | .60 Library Affairs Committee |
| .12 Institutional Animal Care and Use Committee | .64 Officer Education Committee |
| .14 Institutional Biosafety Committee | .66 Parking Committee |
| .18 Borah Foundation Committee | .69 Promotions Review Committee |
| .20 University Budget & Finance Committee | .70 Publications Board |
| .22 Campus Planning Advisory Committee | .71 Radiation Safety Committee |
| .24 Classified Position Appeal Board | .72 Research Council |
| .26 Commencement Committee | .74 Sabbatical Leave Evaluation Committee |
| .28 Committee on Committees | .76 Safety and Loss-Control Committee |
| .34 Provost Council | .77 Scientific Misconduct Committee |
| .36 Dismissal Hearings Committee | .80 Staff Affairs Committee |
| .40 Facilities Scheduling Policy Committee | .83 Student Conduct Board |
| .41 Faculty and Staff Policy Group | .84 Student Financial Aid Committee |
| .42 Faculty Affairs Committee | .86 Teacher Education Coordinating Committee |
| .43 Faculty Appeals Hearing Board | .87 Teaching and Advising Committee |
| .44 Faculty Senate | .89 University Committee for General Education |
| .46 Arts Committee | .90 General Education Assessment Committee |
| .48 Graduate Council | .91 University Curriculum Committee |
| .50 Grievance Committee for Staff Employees | .92 University Development Council |
| .51 Grievance Committee for Student Employees | .94 University Multi-Campus Communications Committee |
| .53 Honors Program Committee | .95 University Security and Compliance Committee |

UI FACULTY-STAFF HANDBOOK

Chapter I: HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE Section 1640: Committee Directory

1640.10

AMERICANS WITH DISABILITIES ACT ADVISORY COMMITTEE

[Created 2012, see Ubuntu FSH 1640. 58]

A. FUNCTION.

A-1. To advise the Director of ~~Human Rights, Access and Inclusion~~The Office of Civil Rights and Investigations on all matters relating to disability, including universal access and design of university facilities, websites, and programming; accommodation of students, faculty and staff with disabilities; full compliance with the Americans With Disabilities Act as amended, Idaho Human Rights Act, Rehabilitation Act of 1974, and Fair Housing Act; and to discharge such other functions as may be assigned by the Faculty Senate or by the president or the president's designee.

Commented [AE(1)]: Updated to reflect changes to office name.

A-2. To fulfill the major faculty responsibility for monitoring and advancing UI's commitment to ensuring that its facilities, programs, activities and services are accessible to all persons with learning, sensory, physical and other disabilities, and to serve the needs of these members of the university community. The committee works closely with administrative officers in identifying and ensuring compliance with applicable laws, regulations and best practices, as well as regents' policy.

A-3. To submit periodic reports on its activities to the Director of ~~Human Rights, Access and Inclusion~~The Office of Civil Rights and Investigations, who will distribute them to the Faculty Senate along with recommendations for appropriate program or policy changes.

Commented [AE(2)]: Updated to reflect changes to office name.

B. STRUCTURE AND MEMBERSHIP. Three (one from the library, one academic administrator, and the third should have experience and/or possess knowledge of persons with disabilities) all of whom are selected by the Committee on Committees, ITS Director (or designee), Facilities Director (or designee), Executive Director for Human Resources (or designee), Director of ~~Disability Support Services~~Center for Disability Access and Resources, Director of ~~Housing and Residence life~~, Director of Counseling and Testing Center (or designee), Director of ~~The Office of Civil Rights and Investigations~~Human Rights, Access and Inclusion (who also serves on Ubuntu), two staff members, two students (undergraduate and graduate), and the following without vote: Parking and Transportation Services, Center on Disabilities and Human Development, Public Safety & Security (or designee), and Office of General Counsel. [ed. 8-12]

Commented [AE(3)]: Updated to reflect changes to office name.

Commented [AE(4)]: Updated to reflect changes to office name.

Commented [AE(5)]: Addition of CTC Director as supported by ADA Advisory Committee.

Commented [AE(6)]: Updated to reflect changes to office name.

Commented [AE(7)]: This position is filled by the Chief Diversity Officer.



POLICY COVER SHEET

(See Faculty Staff Handbook 1460 for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: FSH 3050 – Position Description Policy & Form
and FSH 3320 – Annual Evaluation policy

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

*Note: If revision/deletion request original document from apm@uidaho.edu or fsh@uidaho.edu, all changes must be made using “track changes.”

Originator(s):

22, 2018

(Please see FSH 1460 C)

Telephone & Email:
ytreberg@uidaho.edu

Marty Ytreberg

March

Name

Date

208-885-6908

Policy Sponsor: (If different than originator.)

Telephone & Email:

Name

Date

Reviewed by General Counsel ___Yes __X__No Name & Date: _____

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

FAC approved March 22, 2018. The changes to the position description (PD) policy and form are to: (i) Eliminate the annual process. The PD will be initially created by the unit administrator(s) when a faculty member is hired (or once policy goes into effect for current faculty) and modified only if substantial changes occur. (ii) Make the PD form electronic. There will no longer be paper forms. (iii) Clean up, clarify and simplify language.

The changes to the Annual Evaluation (AE) policy adds the word “and goals” to FSH 3320 A-1. e to encourage a discussion.

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

III. Related Policies/Procedures: Describe other policies or procedures existing that are related or similar to this proposed change.
None

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

***Note:** This form was drafted solely for the purpose of informing the IT folks who will develop the online form, that will follow as closely as possible the substantive contents of the form. The online form is not likely to look like this form, e.g. the red text will not remain on the form.

University of Idaho
Faculty Position Description (*link to FSH 3050)

Date: (*effective date – retain all versions)

Faculty Name: _____ **Employee V#:** _____

Rank: _____ **Administrative Title (if applicable):** _____

Unit(s): _____

<u>Responsibility Areas</u> (*link to FSH 1565 C)	PD%
Teaching and Advising	
Scholarship and Creative Activities	
Outreach and Extension	
University Service and Leadership	
Total	100%

Brief* description of expectations** that must be consistent with the unit(s) context statement and that encompasses the range of expected activities.

*limit box to 500 characters, or consult with Faculty Affairs
 ** propose on form a checkbox used for instance when faculty go on full leave for extenuating circumstances, when box checked of no responsibility to equal 0% responsibility for specified time

Will include several checkboxes (replaces following signatures on current form):

- **Faculty Member signature box, confirm button that also assigns date,**
- **Unit administrator (UA),**
- **UAs for those on joint appointments, interdisciplinary/center activities; and**
- **college dean.**

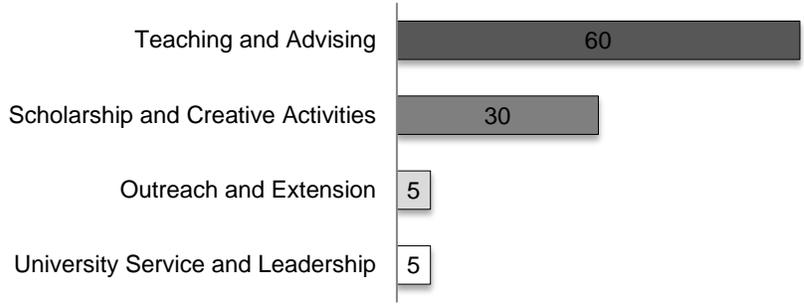
Note: Position descriptions are one component of the independent process for promotion and tenure. See FSH [3520](#) and [3560](#) for details on the promotion and tenure process.

Current Form in Policy – 2016

FACULTY POSITION DESCRIPTION¹

ENTER CALENDAR YEAR for review period:

Faculty Name: Title/Rank: Unit(s):	V Number: Administrative Title: (if applicable) FTE:
--	---



Overall description of responsibilities and goals by category²:

Faculty Member: I agree that this is a reasonable description of my responsibilities to the University of Idaho for the forthcoming calendar year.

Signature of Faculty Member Date

Interdisciplinary/Center Activities: Attach narrative.³

Unit Administrator(s): I agree that this position description is a reasonable reflection of the stated expectations for progress towards tenure, promotion and/or continued satisfactory performance.

Signature of Unit Administrator Date

Signature of Additional Unit Administrator Date
(e.g. joint appointments [if applicable])

Signature of Additional Unit Administrator Date
(e.g. joint appointments [if applicable])

College Dean: I agree that this position description is a reasonable reflection of the stated expectations for progress towards tenure, promotion and/or continued satisfactory performance.

Signature of Dean Date

¹ FSH 3050

² See FSH 1565 for faculty responsibilities. Also, instructors will provide syllabi to their unit offices at the beginning of each term for courses for which they are responsible. Each syllabus should include expected learning outcomes for the course and should describe an example of how at least one learning outcome is assessed.

³ If the above box is checked, the unit administrator is responsible to solicit comments from, and discuss with, the interdisciplinary/center administrators listed whether the interdisciplinary/center activities as stated are accurate. All solicited comments are to be attached to this form. (FSH 3050 B-2, 3520 E-1, G-3, G-4 c, 3560 C, and E-2d, and 3320 A-1 d).

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

January 2017

3050
POSITION DESCRIPTIONS

PREAMBLE: This section describes the creation and use of position descriptions that define responsibilities for faculty. This section was original to the 1979 Handbook; it has been editorially revised at intervals. In July 1998 the year covered by a position description was changed from an academic year to a calendar year. In July 2001 section B underwent some clarifying changes while the form itself underwent extensive revisions. In July 2007 the form underwent substantial revisions to address enforcement and accountability issues in the UI promotion and tenure process as well as to align the form with the Strategic Action Plan. In 2009 the form was revised to better integrate faculty interdisciplinary activities (including ensuring communication among all parties and eliminating the need to obtain multiple signatures) and FSH 3140 was incorporated into this policy. In January 2015 assessment language was added to the form. In 2016 a pilot form was introduced that reduced the amount of detail requested from faculty, streamlining the process and ratified in January 2017 with minor edits. Further information may be obtained from the Provost's Office (208-885-6448). [rev. 7-98, 7-01, 7-07, 7-09, 1-15, 1-17ed. 12-06]

A. GENERAL. The position description establishes the expectations for each faculty member's ~~specific responsibilities~~ in the ~~four~~-major responsibility areas identified in FSH 1565 C, Teaching and Advising, Scholarship and Creative Activities, Outreach and Extension, and University Service and Leadership. Expectations must be consistent with the unit(s) context statement. Faculty should ensure that the description fully encompasses the range of their expected activities ~~be careful when preparing their position description to ensure they describe their goals and expectations in all responsibility areas.~~ The position description serves as a reference for a faculty member's a variety of important functions; in particular, it constitutes the essential frame of reference in annual performance evaluation of faculty members [see 3320], and consideration of faculty members is one component of the independent process for tenure and promotion [see 3520 and 3560]. *[rev. 7-98, 1-17, ed. 7-00, 7-02, 7-09, 1-12]*

~~**B. PERFORMANCE EXPECTATIONS.** Expectations designated for individual faculty members to achieve tenure or promotion in rank or satisfactory performance evaluation must be compatible with the criteria of the department or other unit concerned. Each faculty member is to be advised of these expectations in writing by the departmental or unit administrator at the time of appointment. [7-09 original text from 3140 A]~~

~~**B-1.** Expectations are specified in the current faculty position description and are the basis for the annual performance evaluation. Expectations must not be greater than those that can be reasonably supported in the department or unit by providing sufficient time and resources. [rev. 7-09 partial text from 3140 B-1, 4 & 5]~~

~~**B-2.** Except by written agreement between the faculty member and the appropriate administrator, expectations for individual faculty members are in effect for a period of one calendar year. [7-09 original text from 3140 B-2]~~

BC. PROCEDURE.

~~**CB-1.** The calendar year A position description shall be provided to each faculty member by the unit administrator within a reasonable period of time~~

~~after the faculty member begins employment. The faculty member, and the unit administrator(s), and/or center director, must approve the position description. is recorded on the form appended to this section with a due date established by the provost. [rev. 7-98, 1-08, 7-09, ed. 7-01]~~

~~**C-2.** The form should be filled out in collaboration with the unit administrator. Faculty members involved in interdisciplinary activities should check the box on the position description form and attach a narrative explaining their activities and listing units and members involved. For faculty involved in interdisciplinary activities or with centers, the unit administrator is to solicit comments regarding the position description and discuss it with all interdisciplinary/center administrator(s) listed on the faculty member's narrative attached to the form. The form is then to be signed by the faculty member, approved by the unit administrator, and dean, and sent to the Provost's Office. [rev. 7-01, 7-02, 1-08, 7-09]~~

~~**BC-32.** The position description shall remain in effect unless revised to reflect substantial changes in expectations. Such a change may include the assumption of administrative responsibilities, a change in teaching load, an increase in research responsibilities, leave or sabbatical, etc. The faculty member and the unit administrator(s), and/or center director, must approve the revised position description. Any change in duties or responsibilities that represents a significant departure from the position description is permitted only with the written consent of the faculty member and administrator involved. A revised position description should be filed in this event. [7-09—original text from 3140 B-3]~~

~~**C-4.** When the personnel activity report form (PAR) (see APM 45.09) is completed, the unit administrator should compare the data obtained for each faculty member with the corresponding position description. Perfect agreement between the position description and the record of actual performance is not necessarily expected, but it is desirable that any discrepancy between them be as small as is feasible. [ed. 7-01, 7-09]~~

UI FACULTY-STAFF HANDBOOK

CHAPTER THREE:

EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

??

3050
POSITION DESCRIPTIONS

PREAMBLE: This section describes the creation and use of position descriptions that define responsibilities for faculty. This section was original to the 1979 Handbook; it has been editorially revised at intervals. In July 1998 the year covered by a position description was changed from an academic year to a calendar year. In July 2001 section B underwent some clarifying changes while the form itself underwent extensive revisions. In July 2007 the form underwent substantial revisions to address enforcement and accountability issues in the UI promotion and tenure process as well as to align the form with the Strategic Action Plan. In 2009 the form was revised to better integrate faculty interdisciplinary activities (including ensuring communication among all parties and eliminating the need to obtain multiple signatures) and FSH 3140 was incorporated into this policy. In January 2015 assessment language was added to the form. In 2016 a pilot form was introduced that reduced the amount of detail requested from faculty, streamlining the process and ratified in January 2017 with minor edits. Further information may be obtained from the Provost's Office (208-885-6448). [rev. 7-98, 7-01, 7-07, 7-09, 1-15, 1-17ed. 12-06]

A. GENERAL. The position description establishes the expectations for each faculty member in the major responsibility areas identified in FSH 1565 C, Teaching and Advising, Scholarship and Creative Activities, Outreach and Extension, and University Service and Leadership. Expectations must be consistent with the unit(s) context statement. Faculty should ensure that the description fully encompasses the range of their expected activities. The position description serves as a reference for a faculty member's annual performance evaluation [see 3320], and is one component of the independent process for tenure and promotion [see 3520 and 3560]. [rev. 7-98, 1-17, ed. 7-00, 7-02, 7-09, 1-12]

B. PROCEDURE.

B-1. A position description shall be provided to each faculty member by the unit administrator within a reasonable period of time after the faculty member begins employment. The faculty member, and the unit administrator(s), and/or center director, must approve the position description. [rev. 7-98, 1-08, 7-09, ed. 7-01]

B-2. The position description shall remain in effect unless revised to reflect substantial changes in expectations. Such a change may include the assumption of administrative responsibilities, a change in teaching load, an increase in research responsibilities, leave or sabbatical, etc. The faculty member and the unit administrator(s), and/or center director, must approve the revised position description.

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

November 2017

3320

**ANNUAL PERFORMANCE EVALUATIONS OF FACULTY MEMBERS
AND
PERFORMANCE EVALUATION OF ACADEMIC ADMINISTRATORS**

PREAMBLE: This section contains those policies and their attendant procedures for those periodic reviews of performance that affect faculty members and academic administrators. Policies concerning performance evaluation were part of the original 1979 Handbook, but were completely rewritten in July 2002 and further refined in 2003. In July 2007 Form 1 underwent substantial revisions to address enforcement and accountability issues in the UI promotion and tenure process as well as align the form with the Strategic Action Plan. In January 2008 Form 1 was again revised to include a Disclosure of Conflicts statement to comply with FSH 6240. In 2009 this section was again revised to reflect recent changes to the faculty position description and evaluation forms to better integrate faculty interdisciplinary activities. In July 2010 B was added and FSH 1420 E-6 was incorporated into D to consolidate the evaluation process into one policy. In July 2014 changes were incorporated to ensure all faculty go through a review by their peers. In January 2017 a temporary fix to this policy was put in place to allow for a pilot narrative evaluation process for 2016 and ensure that existing policy would apply. In November 2017 an emergency revision (rewrite of the faculty section, not the administrator section) to this policy was put in place to address the new narrative evaluation process so as to be effective before the next evaluation process. Further information may be obtained from the Provost's Office (208-885-6448. [ed. 7-03, rev. 7-07, 1-08, 7-09, 7-10, 7-14, 1-17]

CONTENTS:

- A. Annual Performance Evaluation for Faculty Members
- B. Faculty Performance that does not Meet Expectations
- C. Performance Evaluation of Academic Administrators
- D. Sequence of Evaluation of Faculty Members and Administrators.

A. ANNUAL PERFORMANCE EVALUATION FOR FACULTY MEMBERS.

A-1. PERFORMANCE EVALUATION. Annual evaluation of the performance of each member of the faculty is primarily the responsibility of the faculty member and unit administrator. The provost is responsible for preparing supplementary instructions each year, including the schedule for completion of the annual performance evaluation. Personnel on international assignment see FSH 3380 C. [rev. 7-03, 7-09, 7-14, ed. 7-10, 1-17]

a. Forms. The Annual Performance Evaluation Form is available below. The form may not be altered without following the appropriate governance process (see FSH 1460). The unit administrator is responsible for ensuring that each faculty member uses the proper form together with the supplementary instructions as provided by the Provost Office. [rev. 7-01, 1-17]

b. Performance expectations are described below. The narrative in the evaluation form shall provide evidence to support the evaluation. [ed. 7-10]

i. Performance that Meets or Exceeds Expectations is at least satisfactory performance during the review period of a faculty member relative to the position description.

ii. Performance that does not Meet Expectations denotes performance during the review period that is less than expected of a faculty member relative to the

position description and means improvement is necessary. An evaluation of not meeting expectations in one or more responsibility areas triggers procedures outlined in FSH 3320 B below.

c. Annual Report of Efforts and Accomplishments by Faculty Member. Each faculty member shall provide his or her unit administrator with the following materials in preparation for the annual performance evaluation:

- (1) Current Curriculum Vitae
- (2) UI Faculty Position Description for Annual Performance Review
- (3) Written detailed summary report of faculty activity for the period of the annual performance review that compares accomplishments to expectations in the Position Description for the review period. This report may be in the form of a self-evaluation using the annual evaluation form included in this policy. *[rev. 7-09]*
- (4) Other materials necessary to document efforts and accomplishments for the review period. *[add. 7-01, ed. 7-10]*

d. Evaluation of Faculty by Unit Administrators. Unit administrators evaluate the faculty members in their unit. The performance of each faculty member during the review period is judged on the basis of the position description(s) in effect during that period. In the case of a faculty member holding joint appointments and/or involved in interdisciplinary activities, as described in the position description, in two or more academic or administrative units, it is the responsibility of the administrator in the faculty member's primary academic discipline to solicit and consider relevant information on job performance from other administrators with responsibility for the faculty member's work. *[See also 3080 E-3.] [rev. 7-09, ed. 7-10]*

Whether a faculty member's performance meets expectations is determined by comparing the faculty member's performance to the position description for the review period. For each area of responsibility, the unit administrator shall describe the basis for her/his evaluation of the faculty member's performance in the narrative on the form. After the unit administrator has completed the narrative evaluation for all faculty for the review period, the unit administrator shall provide the following items to each reviewed individual as they become available: *[rev. 7-03, 7-09]*

- (1) a copy of the individual's annual evaluation form *[rev. 7-09]*
- (2) if requested, comparative information to help assess performance evaluation

The unit administrator shall also include comments and recommendations for the faculty member's progress toward tenure, promotion or continued satisfactory performance in the appropriate place on the annual evaluation form.

e. Conference. It is strongly recommended that the unit administrator meet with each faculty member. The unit administrator shall provide each faculty member with the opportunity to meet to discuss the unit administrator's evaluation. (Suitable alternate arrangements shall be made for off-campus personnel.) The purpose of this meeting is to review and discuss the administrator's evaluation and the faculty member's detailed report of activities. The unit administrator should explain the narrative providing a formative assessment on progress towards tenure, promotion, and/or continued satisfactory performance. The faculty member and the unit administrator should work to identify strategies and goals to help the faculty member improve performance. The evaluation may be modified as a result of the discussion. At the conclusion of the review process, each faculty member shall sign the evaluation form indicating that she/he has had the opportunity to read the evaluation report and to discuss it with the unit administrator. If the faculty member wishes to respond to the contents of the review, he/she shall be permitted to append a response to the unit administrator's evaluation. A copy of the administrator's final evaluation shall be given to the faculty member. *[ren. and rev. 7-01, rev. 7-09, ed. 7-10]*

f. College-Level Action. Copies of the performance evaluation materials forwarded by the unit administrator to the appropriate dean(s), for evaluation at the college(s) level, shall include: *[rev. 7-09]*

(1) the evaluation form with the complete narrative and the comments and recommendations on progress towards tenure, promotion, and/or continued satisfactory performance, and *[rev. 7-09]*

(2) any comments provided by interdisciplinary/center administrators or from those administrators of faculty holding joint appointments provided pursuant to subsection A-1. d., above. *[rev. 7-09]*

g. If the unit administrator fails to include the required narrative and comments/recommendations the college shall return the materials to the unit administrator. *[add. 7-09, rev. 7-10]*

h. If the faculty member has attached a response to the evaluation, the response shall be provided to the dean with the annual evaluation form. The dean shall arrange a meeting with the unit administrator and the faculty member to attempt to resolve the relevant issues.

i. If the college dean disagrees with the unit administrator's evaluation, the dean shall attach a narrative stating the reasons for the disagreement. A copy of the dean's narrative shall be provided to the faculty member. The faculty member may respond to the dean's evaluation before the evaluation is forwarded to the provost. The faculty member, unit administrator, and dean are encouraged to resolve the disagreement before forwarding the evaluation to the provost. If the matter remains unresolved at the college level, the provost shall be notified of the disagreement.

j. The college shall forward all evaluation material at the unit and college level, including the dean's narrative and faculty responses, if any, to the provost for permanent filing. *[ren. and rev. 7-01, rev. 12-06, 7-09, 7-10]*

A-2. Relationship to Promotion and Tenure Process. The faculty annual performance evaluation is an administrative review. Annual evaluations are one component of the independent promotion and tenure process. See FSH 3520 and FSH 3560 for details on the promotion and tenure process.

B. FACULTY PERFORMANCE THAT DOES NOT MEET EXPECTATIONS. *[add. 7-10]*

B-1. If the unit administrator determines that a faculty member is not meeting expectations, the unit administrator should consider the reasons for and explanations of the performance. (see FSH 3190). *[ed. 7-09, rev. 7-10]*

The unit administrator, in consultation with the faculty member, should address the possible causes of the problem, should suggest appropriate resources and encourage the employee to seek such help. Faculty members and unit administrators may obtain referral information and advice from the Ombuds, Human Resources, or the Provost's Office. *[ed. 12-06, 7-09, 7-14, rev. 7-16]*

B-2. PROVOST INVOLVEMENT. In the event of an overall evaluation of "does not meet expectations" where the faculty member's performance is so far below expectations that it is ~~it~~ not acceptable in relation to the position description, the provost may, in consultation with the dean and unit administrator, determine that further review of the faculty member's performance is required pursuant to FSH 3320 B-5 below. *[ren. and ed. 7-09, rev. 7-16]*

B-3. FIRST OCCURRENCE. In the event that a faculty member has not met expectations overall or within one or more areas of responsibility, the unit administrator shall offer to meet with the faculty member. At this meeting, the faculty member and the unit administrator shall review the faculty member's Position Description and examine

strategies that would permit the faculty member to improve performance. A mentoring committee shall be formed upon the request of either the faculty member or the unit administrator. The committee shall be composed of two or more faculty members agreed upon by the unit administrator and faculty member. *[rev. 7-09, 7-10]*

B-4. TWO OCCURENCES WITHIN THREE YEARS. In the event of two annual evaluations within three years concluding that the faculty member has not met expectations overall or within one or more areas of responsibility the unit administrator shall arrange a meeting of the faculty member, the unit administrator and the college dean *[ed. 12-06, rev. 7-10]*

The intent of the meeting is to review:

a. the current position description and revise it if necessary to address the issues identified during the discussion. *[ed. 7-09]*

b. the strategies implemented in the previous year(s) and to identify why the strategies did not result in the faculty member meeting expectations. The parties should re-examine strategies that would support improved performance by the faculty member. *[ed. 7-09]*

B-5. THREE OCCURENCES WITHIN FIVE YEARS. In the event of three annual evaluations of “does not meet expectations” within a five-year period, either overall or within one or more areas of responsibility, the dean shall initiate a formal peer review. *[rev. 7-09, ren. 7-10]*

a. Composition of the Review Committee. The Review Committee shall consist of at least four (4) members, appointed as follows:

- (1) The faculty member may submit to the unit administrator a list of the names of three faculty members from within the unit and at least one faculty member from outside of the unit. If the faculty member is tenured or on the tenure track, faculty on the committee should be tenured faculty unless no tenured faculty are available. The unit administrator shall appoint the committee, including at least two names from the faculty member’s list.
- (2) The committee members shall select a chair.

b. Report and Timing. The committee report includes the review and possible recommendation(s), and shall be completed within sixty days of the annual evaluation.

c. The Review. The purpose of the review is to assess the level of performance of the faculty member, the reasonableness of the previous evaluations, and the appropriateness of the strategies put in place to assist the faculty member.

The faculty member and the unit administrator shall provide the following materials for the review period to the committee:

- (1) Updated Curriculum Vitae of the faculty member,
- (2) Position Descriptions,
- (3) Annual evaluation materials submitted by the faculty member,
- (4) Annual Evaluations of the faculty member by the unit administrator and the dean,
- (5) Student and peer evaluations (if any) of teaching,
- (6) A summary of the strategies put in place to assist the faculty member,
- (7) A self-assessment summary of each area of the faculty member’s responsibility and what the faculty member has learned and achieved during the review period, including contributions to the department, university, state, nation, and field (about 2 pages).

The faculty member may submit any additional information he or she desires, and the committee may request additional materials as it deems necessary.

d. Responses to Committee Report. The committee chair shall submit the report to the faculty member, unit administrator, and dean. Each recipient shall have fifteen days from the report's date to submit written responses to the review committee. The committee chair shall send the report and all responses to the provost.

e. Provost. The provost shall be responsible for determining the appropriate resolution, which may include: *[rev. 7-09]*

- (1) continuing the status quo;
- (2) mentoring to address area(s) of concern;
- (3) termination for cause;
- (4) consideration of other recommended resolution(s). *[1-4 add. 7-09]*

B-6. Non-Tenured Faculty. Pursuant to Regent's policy, non-tenured faculty do not have an expectation of contract renewal beyond that stated in FSH 3900 B-2, absent a specific written multi-year contract. The process set forth in FSH 3320 B does not require the University to renew a non-tenured faculty contract. The process set forth in FSH 3320 B shall not be required for a non-tenured faculty member who has been given notice of non-renewal.

C. PERFORMANCE EVALUATION OF ACADEMIC ADMINISTRATORS. *[ed. 7-09, ren. 7-10]*

C-1. EVALUATION BY FACULTY MEMBERS. Opportunity is provided for an annual performance evaluation of college deans, assistant and associate deans, and administrators of academic departments and other intracollege units by the faculty members of the respective units. The provost sends each faculty member an appropriate number of copies of the form, "Annual Faculty Evaluation of Academic Administrators" [form 2 appended to this section] to be used for evaluation of the unit or center administrator, one to be used for evaluation of the dean, and one to be used for evaluation of each assistant or associate dean in the college. *[ren. & ed. 7-10, 10-10]*

C-2. EVALUATION OF UNIT AND CENTER ADMINISTRATORS AND ASSISTANT AND ASSOCIATE DEANS. The review and evaluation of unit and center administrators, and assistant and associate deans, require consideration of their responsibilities as faculty members and as administrators as defined by percentage allocations in the Annual Position Description. All administrators are entitled to a review and evaluation of their performance as faculty members. Further, all administrators are entitled to a review of their performance as administrators. (Forms to be used in the evaluation of administrators are found in Form 1 and 2. *[rev. 7-99, ed. 3-07, rev. & ren. 7-10 (incorporated 1420 E-6 into this entire section C-2 through C-4)]*

1. Evaluation as a Faculty Member.

a. Annual Evaluation. The annual evaluation of an administrator's performance as a faculty member shall be conducted by the dean of the college in accordance with the provisions of *FSH 3320 A* above.

b. Third Year Review. If the administrator is untenured, there shall be a third-year review in accordance with the procedures outlined in *FSH 3520 G-4*.

2. Evaluation as an Administrator.

a. Annual Evaluation. The dean shall conduct an annual evaluation of each administrator's performance in accordance with the responsibilities specified in *FSH 1420 E-1* and in the Annual Position Description. The dean and administrator will negotiate the administrator's Annual Position Description on the basis of the unit's needs, and make it available to the faculty for annual evaluation purposes. The administrator will present his or her annual goals for the unit at the beginning of the review year and report on his/her effectiveness in meeting last year's goals. Annual goals should be based on the unit action plan,

needs of the unit, and discussion with the dean. The dean will make a conscientious effort to solicit input from unit faculty through evaluation form 2. *[rev. 7-99, ed. 6-09, 10-10]*

Unit faculty must send completed copies of form 2 directly to the dean. The dean furnishes the administrator a summary of the faculty evaluations in such a way that the confidentiality of individual evaluations is preserved. The dean may arrange a conference with the administrator to discuss the summary. After these steps have been completed, the dean shall destroy the individual faculty members' evaluations and shall file the written summary in the dean's office. The dean then submits a summary of conclusions and recommendations resulting from the review to the provost, who in turn makes his or her review and forwards recommendations to the president. The dean will then provide feedback to faculty who have submitted form 2, as appropriate. *[ed. 10-10]*

C-3. EVALUATION OF DEANS. The provost shall conduct an annual evaluation of each dean's performance in accordance with the dean's responsibilities specified in *FSH* 1420 D-2 and in the Annual Position Description. The provost and dean will negotiate the Annual Position Description for the dean on the basis of the college's needs and make it available to the faculty for annual evaluation purposes. The dean will present his or her annual goals for the college at the beginning of the review year and report on his or her effectiveness in meeting last year's goals. Annual goals should be based on the college's action plan, needs of the college, and discussion with the provost. The provost will make a conscientious effort to solicit input from college faculty through evaluation form 2. *[ed. 10-10]*

College faculty will send completed copies of form 2 directly to the provost. The provost will summarize the faculty responses and share that summary with the dean. In preparing and conveying that summary, the provost has the responsibility to ensure that faculty comments are confidential. This includes, but is not limited to, avoiding the use of any phrases that can identify the faculty member making the comments. The provost may arrange a conference with the dean to discuss the summary. After these steps have been completed, the provost shall destroy individual faculty members' evaluations and file the written summary in the Office of Academic Affairs. The provost must then submit a summary of conclusions and recommendations resulting from the review to the president. The provost will then provide feedback to faculty who have submitted form 2, as appropriate. *[ed. 10-10]*

C-4. PERIODIC REVIEW OF ADMINISTRATORS. Each administrator is formally reviewed at least six months before the end of each appointment term, or, if there is not a fixed appointment term, at least every five years. The Provost appoints an ad hoc review committee to include faculty, department chairs, and experienced administrators of other units. The periodic review will be conducted at the request of the Provost and Executive Vice President and in accordance with the mechanisms of formal review, which must provide for the following:

1. Opportunity for the dean, center administrator, or unit administrator to prepare a report/portfolio summarizing his or her administrative achievements for the period, including annual reviews; *[rev. and ren. 7-99]*
2. Opportunity for all faculty and staff of the college/unit to participate in the review;
3. Solicitation of input by the committee from appropriate constituencies of the college/unit. Confidentiality of all individual evaluations will be ensured; *[add. 7-99]*
4. Preparation by the review committee of a written report summarizing the findings and recommendations of the review, which will be forwarded to the Provost and the dean/center or unit administrator; *[ed. and ren. 7-99]*
5. The provost will submit the written report along with any additional comments and recommendations to the president and provide appropriate feedback to the administrator. *[rev. and ren. 7-99]*

UI FACULTY-STAFF HANDBOOK

Chapter III: EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

Section 3320: Annual Performance Evaluations and Salary Determination of Faculty Members
and Performance Evaluation of Academic Administrators

a. Additional Review. The provost and/or college dean may initiate a review at any time he or she determines a review is needed. The dean shall submit to the provost a summary of conclusions and recommendations resulting from this additional review. If the review is conducted by the provost, he or she shall submit a summary of conclusions and recommendations to the president.

The faculty of the unit may also initiate, by majority vote, a formal review (as outlined above) of the unit administrator. The tenured faculty of a college may also initiate, by majority vote, a formal review (as outlined above) of the college dean.

D. SEQUENCE OF EVALUATION OF FACULTY MEMBERS AND ADMINISTRATORS. The provost prepares the schedule for completion of steps in the performance evaluation and salary determination process each year. The schedule will ensure that faculty members' evaluations of unit or center administrators and assistant and associate deans have been received by the dean before the administrators' recommendations on salary, promotion, and tenure are made known to the faculty and, similarly, that faculty members' evaluations of deans have been received by the provost before the deans' recommendations on salary, promotion, and tenure are made known to the faculty. Likewise, the summaries of faculty evaluations of unit or center administrators, assistant and associate deans, and deans will be communicated to the persons evaluated after their recommendations on faculty salary, promotion, and tenure have been transmitted to the provost. [*ren. & rev. 7-10*]



POLICY COVER SHEET

(See *Faculty Staff Handbook 1460* for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: Chapter One: 1640.72 Research Council

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

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

Originator(s):

(Please see FSH 1460 C)

Telephone & Email:

Audrey Harris **02/06/2018**

Name Date

208-885-4054

ajharris@uidaho.edu

Policy Sponsor: (If different than originator.)

Telephone & Email:

janetenelson@uidaho.edu

Janet E. Nelson **2/06 /2018**

Name Date

208-885-6689

Reviewed by General Counsel X_Yes _ No Name & Date: Casey Inge, 3/22/18

- I. Policy/Procedure Statement:** Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

The current FSH lists the Institutional Review Board (IRB) as a standing subcommittee of the Research Council and we would like to remove this statement. The IRB has not been involved with Research Council and we feel that this relationship is not accurate. Research activities on campus include a wide range of disciplines outside the scope of human subjects.

- II. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?
No impact.

- III. Related Policies/Procedures:** Describe other policies or procedures existing that are related or similar to this proposed change.
None

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

UI FACULTY-STAFF HANDBOOK

CHAPTER ONE:

HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

January 2017

1640.72
RESEARCH COUNCIL

A. FUNCTION. The Research Council is the faculty's standing committee that oversees the implementation of discovery, creativity, and research policies [see 5100 and 5200] and resolves disagreements about the interpretation or implementation of those policies. ~~The Institutional Review Board (IRB) is a standing subcommittee of the Research Council. For information on its function, structure, and membership, call the Research Office. [See also 5200 D and E.]~~ [rev. 1-06, 1-09]

B. STRUCTURE. One faculty member from each of the colleges, four members appointed by the president to ensure adequate representation from faculty constituencies that are most active in discovery, creativity, and research policies while ensuring that faculty engaged in multidisciplinary activities are represented, and (w/o vote) vice president for research and dean of library services (or the latter's designee). The representatives from the colleges are designated in accordance with procedures determined by their respective faculties. The vice president for research and economic development serves as chair of the Research Council. [ed. 7-97, 9-10 rev. 1-06]



POLICY COVER SHEET

(See Faculty Staff Handbook 1460 for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: 6920 UI Library

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

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

Originator(s):

(Please see FSH 1460 C)

Robert Perret 11/03/2017

Name Date

Telephone & Email:

(208) 885-6534

rperret@uidaho.edu

Policy Sponsor: (If different than originator.)

Name Date

Telephone & Email:

Reviewed by General Counsel ___Yes __X__No Name & Date:

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.
Revisions to update policy on current library practices, partnerships, and policies.

II. Fiscal Impact: What fiscal impact, if any, will this addition, revision, or deletion have?
N/A

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

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

If not a minor amendment forward to:

UI FACULTY-STAFF HANDBOOK
CHAPTER SIX:
OTHER GENERAL INSTITUTIONAL POLICIES

2007 (editorial)

6920

UNIVERSITY LIBRARY

PREAMBLE: This section provides basic information about the UI Library. For further information, contact the library [directly](tel:208-885-6534) (208-885-6534).

A. INTRODUCTION. As Idaho's flagship research library, the University of Idaho Library (Library) connects our users with information, ideas, tools, and spaces; enriches formal and informal learning opportunities; supports and advances research, scholarly, and creative activity; builds partnerships through regional and national outreach; and preserves university, state, and regional historical archives. We champion the transformative power of ideas and learning, inspire our students to engage in a lifelong pursuit of intellectual development, and provide an essential foundation for innovation, research, and scholarship. The University Library supports the teaching, research, and service missions of the university. It is the regional depository in Idaho for U.S. Government documents, regional repository and is a designated Earth Science Information Center and a U.S. Patent depository. As a member of WLN and OCLC it has access to the collections of other scholarly libraries within the region and the nation. The Library seeks to build and maintain mutually beneficial partnerships to ensure faculty, staff, and students have the broadest access to the Library collections, while providing services to citizens of the state and region.

B. SERVICES.

B-1. Loan Privileges.

a. Books in the general collection may be borrowed for four ~~have a six weeks loan period. Loan periods for Mmaterials from the general collection are charged out at the loan desk located near the entrance on the first floor in other collections may be shorter. These All~~ materials are subject to recall after two weeks, ~~if needed by others.~~

b. Faculty members are exempt from overdue charges with the exceptions of fines associated with overdue interlibrary loan, consor~~t~~ial, or recalled materials; nevertheless, it is not in the overall university interest to have a faculty member borrow a large number of books and keep them for a long time. Highly specialized materials that are not in demand and are needed by faculty members for continuous close-at-hand use may be charged out loaned for an extended period as long as one semester.

e. Normally, the ~~UI Library does not lend indexes, abstracts, reference books, U.S. government documents, or periodicals for use outside the library because it is in the best interest of the UI community that they be available in the library and accessible to all. In exceptional cases, arrangements to check them out may be made through the librarian in charge.~~

B-2. Interlibrary Loans.

a. The ~~Library's department~~ administers an interlibrary-loan service and, to facilitate borrowing on request, will obtain scholarly materials ~~not available here~~ from another ~~libraries~~ for use by faculty members, staff and students ~~engaged in serious research.~~

b. Interlibrary loans are agreements between libraries. The lending library establishes has the privilege of stipulating the conditions under which the loan period is made, and

UI FACULTY-STAFF HANDBOOK
 Chapter VI: OTHER GENERAL INSTITUTIONAL POLICIES
 Section 6920: University Library

~~the borrowing library must abide by these regulations and any special use conditions. Overdue Ample time should be allowed for securing the item desired, and any book that is in print and of value to the library should be ordered rather than borrowed. It is recommended that graduate student research at UI not be undertaken in areas in which a large percentage of the needed library materials must be borrowed through interlibrary loan are subject to fines as infractions may interrupt service to from other libraries users.~~

~~e. The Library is a member of the Orbis Cascade Alliance, a consortium of academic libraries in the Pacific Northwest. UI faculty, staff and students can borrow materials located at member libraries, including Washington State University. In view of the fact that most research libraries limit the loan of periodicals, persons requesting periodical articles on interlibrary loan should expect to receive photocopies and should be prepared to pay the charges involved.~~

B-3. Electronic Resources.

~~a. The Library licenses and makes available electronic content for use by students, faculty, and staff currently affiliated with of the UI. Use of licensed content is dictated by terms agreed to by both the Library and the content provider. These agreements typically prohibit excessive downloading of content, commercial use, and use by individuals not directly affiliated with the UI. If the Library is notified that a user is violating the terms of a license, appropriate action will be taken by the Library to address the violation in questions and, as necessary, to prevent further abuse.~~

~~b. Individuals not affiliated with the UI have limited use of most resources through public terminals in the Library.~~

B-3. Reciprocal Use Agreement with WSU.

~~a. Washington State University and UI have an agreement under which faculty members and students of either institution have free use of the library resources and facilities of the other. Such use is subject, however, to the regulations of each institution.~~

~~b. UI faculty members and students must consider use of the WSU Library a privilege, not a right. They should not abuse or endanger this privilege by borrowing a large number of items at one time, items for class use here, materials in great demand, items this library should buy, or rare items; nor should they keep, or request to keep, materials they borrow longer than the normal loan period. Under certain circumstances, UI faculty members may be given a long term or semester loan of certain UI library materials, but this is not true of WSU library materials.~~

~~— **B 4. Library Hours.** The University Library is normally open about 100 hours a week. Changes in library hours for holidays and vacation periods are regularly published in the *Idaho Register* and posted at the main entrance of the library.~~

B-546. Placing Books on Course Reserve.

~~a. It is important that Faculty members are encouraged to place books or related materials on course reserve before at least one week prior to making class assignments.~~

UI FACULTY-STAFF HANDBOOK
 Chapter VI: OTHER GENERAL INSTITUTIONAL POLICIES
 Section 6920: University Library

~~b. The library should be given Requests forms to create a reserve-book lists are available online or in the Library at least one week in advance.~~

~~b. c. Standard "Library Reserve Book" forms should be used and may be picked up at, or ordered by telephone from, the reserve desk. Faculty members are urged to check the card catalog to ascertain that the library has the needed books, to write the call numbers on the form and, if convenient, to take the books required for reserve directly to the reserve desk. Faculty members may place personal copies, as well as library books, on reserve for two hour, one day, or three day loans at their discretion. Non-library materials should be properly identified with a mark of ownership and should be reclaimed after they are no longer needed on reserve.~~

~~d. If library materials are to be purchased for reserve, sufficient time should be allowed for their acquisition. "Purchase Request" forms marked "for reserve use first (second semester)" will be given priority treatment.~~

B-~~657~~. Library-Use Lectures.

~~a. Upon request, librarians conduct Sspecialized lectures on the use using and evaluating of information library resources are available for upper division and graduate classes.~~

~~b. The lectures are given by the subject librarians, and techniques of bibliographic searching are emphasized. Far from being stereotyped orientation talks, these presentations are intended to meet specific needs and may be adapted to stress any points that the instructor indicates. With this specialized instruction, followed by individual consultation with the subject librarians, students are able to make far better use of library resources. Instructors may make arrangements for the lectures through the appropriate subject librarianlibrarian.~~

~~c. Students may consult individually with librarians after The lectures are given to gain additional insights about the research process in the library and at least one week's notice should be given to avoid scheduling conflicts.~~

B-~~768~~. Ordering Books and PeriodicalsResource Requests.

~~a. To order a book, a fFaculty members are encouraged to work with their librarians to select materials that will serve the current and future needs of the UI fills out a "Purchase Request" form, listing all pertinent information. The order Resources may be requested via email or through the online resource purchase request form is forwarded to the library after obtaining approving signatures as required by the department or college. When the book is received and cataloged, the library notifies the requester. Faculty members are urged to turn in requests early in the fiscal year. Faculty members who require specialized materials for continuous use in the office or laboratory are permitted to requisition them for purchase from their department (not library) funds, subject to approval of the departmental administrator or dean. New periodical subscriptions require the cancellation of an equivalent dollar amount of existing subscriptions. Faculty requests for new subscriptions to periodicals should be made to the appropriate subject specialist in the library.~~

UI FACULTY-STAFF HANDBOOK
 Chapter VI: OTHER GENERAL INSTITUTIONAL POLICIES
 Section 6920: University Library

~~b. . — b. New periodical subscription requests should be made through a librarian. Due to the cost of these materials, the Library is judicious in acquiring new titles without an evaluation of existing titles. When books disappear, the library normally delays ordering replacements for a year on the assumption that they may reappear on the shelves. Most of them do. If, however, a missing book is needed immediately (e.g., for reserve, as a reference book, or because it is in great demand), the library will order a replacement immediately. If faculty members wish to reorder missing books, they should so indicate on the order form used for requesting books by inserting the statement “book missing replace.” If this is not done, the library’s acquisitions section may find it listed in the catalog and return the request marked “duplicate.” Frequently the library does not find out that a book is missing until it is reported by students or faculty members.~~

~~c. Resources needed immediately (for reserve or because of demand) will be ordered and processed in an expedited fashion.~~

~~**B-8. Library Publications.** The *Bookmark* serves as a communication medium from the library to the faculty and staff. Its aim is to bring helpful information on books, library problems, and library goals to the faculty and staff.~~

~~**B-79. Copying Use of Copyrighted Materials.** The U.S. copyright law governs the making of photocopies or other reproductions reproduction, preparation of derivative works, distribution, performance, display, and transmission of copyrighted materials. Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be “used for any purpose other than private study, scholarship, or research.” If a user makes a request for, or later uses, a photocopy or reproduction for purposes outside the standards of “fair use,” that user may be charged with copyright infringement. The University Library reserves the right to refuse to accept a copying any request by a patron that order if, in its Library’s judgment, fulfilling the order would involve the Library acting in violation of U.S. copyright law.~~

Commented [IC(1): Revision to address broad range of services provided by Library, and discretion of Library in the performance of these services, with respect to compliance with copyright law.

~~**B-810. Departmental Libraries.** It is the policy of the UI University of Idaho to maintain a strong central library. Branch libraries are generally discouraged because: (a) they reduce the accessibility of materials of interest to several disciplines, (b) proper staffing increases overall library expenses, and (c) costly duplication of holdings is likely to result. Exceptions to this policy are considered on an individual basis. In view of the volume and special character of UI’s library resources in the field of law, the College of Law maintains a library and a staff with specialized training in law librarianship [see 6925].~~

~~**B-911. Additional Information.**~~

~~a. For additional information about the University Library and its operations, see the Library maintains a world-wide web-site at.~~

~~b. Faculty members who wish to suggest changes in library regulations or policies should feel free to make these suggestions known to the library staff or members of the Library Affairs Committee [see 1640.60].~~



POLICY COVER SHEET

(See *Faculty Staff Handbook 1460* for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

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

Chapter & Title: Chapter 3, Procedures for Faculty Appeals FSH 3840 & FSH 1640.43

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

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

Francesca Sammarruca (FAHB, Chair) 03/18/2018

Originator(s):

(Please see FSH 1460 C)

Telephone & Email:
fsammarr@uidaho.edu

Name	Date
885-6738	

Policy Sponsor: (If different than originator.)

Telephone & Email:

Name	Date

Reviewed by General Counsel Yes No Name & Date: Kent Nelson 4/3/18

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

The FAHB proposes the determinations which fall under the scope of the FAHB review, presently found in FSH 1640.43, should be stated in FSH 3840 along with *Areas of Concern*. It is crucial for an appellant to write a properly focused appeal. The move improves clarity and concentrates the most relevant information the appellant needs in the section they will be referring to, not the committee section of the FSH. The appellant should also be instructed to contact the chair of the FAHB to receive a copy of the unofficial document known as "FAHB Procedures," otherwise unavailable to the faculty member.

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

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

FSH 1640.43. This policy contains information that we want to see in FSH 3840.

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

UI FACULTY-STAFF HANDBOOK

CHAPTER THREE:

EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

July 2015

3840

PROCEDURES FOR FACULTY APPEALS

PREAMBLE: This section deals with the procedures for faculty appeals. It formed a part of the 1979 Handbook and was revised in July of 1994 to add harassment on the basis of race, color, religion, gender, national origin, age or disability to the "areas of concern" and in January of 1996 so as to remove the Faculty Affairs Committee from those bodies through which an appeal had to travel before being heard. The section was substantially revised in July 1999 and again in July 2002 to clarify the committee's scope and its procedures, and A was revised in 2007 to add a process for addressing retaliation complaints. In 2008 the committee composition previously in C and D was moved into FSH 1640 Committee Directory. In April 2014 changes were made to align this policy with Board policy. Further information is available from the Provost's Office (208-885-6448) or the Office of the Faculty Secretary (208-885-6151). [rev. 7-99, 7-02, 7-07, 7-08, ed. 7-00, 7-05, 4-14]

CONTENTS:

- A. Areas of Concern
- B. Procedures for Initiating an Appeal
- C. Faculty Appeals Hearing Board
- D. Hearing Procedures
- E. Procedures Following the Hearing

A. AREAS OF CONCERN. The procedures provided in this policy are to be used by faculty members to appeal administrative decisions, including without limitation decisions in such matters as denial of tenure, denial of promotion, position description, performance evaluation, salary determination, and to challenge the contents of personnel files. Applicability of these procedures to some matters is subject to certain limitations and exclusions - nonrenewal of fixed-term appointments [see 3900 E and F], dismissal for cause [see 3910, in particular, 3910 D-5-c], and layoff resulting from a declaration of financial exigency [see 3970]. Allegations of sexual harassment or discrimination based on race, color, sex, national origin, religion, age, sexual orientation, or disability are not subject to this policy, but should be brought to the Director of Human Rights, Access and Inclusion. Decisions of the president concerning administrative assignments are not appealable under this policy. A faculty member alleging retaliation is required to follow the process set forth in FSH 3810 before proceeding under this policy. The time period for appeal will begin to run upon completion of the process set forth in 3810. [rev. 7-99, 7-02, 7-07, 7-12, ed. 9-06, 6-09]

B. PROCEDURES FOR INITIATING AN APPEAL.

B-1. Before, or in addition to, filing an appeal, the faculty member should seek satisfaction informally by discussing his or her complaint with the administrator who made the decision. If the issue is not resolved by this means, the faculty member should then go to the next administrative level for redress. Reference to these discussions should be included in the request for a hearing.

B-2. A faculty member who wishes to appeal an institutional decision may do so by submitting a written request for a formal hearing. Such a request must be made within 30 calendar days after he or she receives written notice of the institutional decision, except that a 20-day period is allowed in cases of nonrenewal of fixed-term appointments [see 3900 F], a 14-day period is allowed in cases of denial of tenure or promotion, and a 15-day period is allowed in cases of dismissal for cause [see 3910 D-5-a]. If the appeal concerns salary determination, the 30-day period allowed for filing begins with receipt of notice of the dollar amount of salary assigned [see 3420 B-3, B-6]; the earlier assignment to a salary-increment category [see 3420 B-3] may be appealed by the informal means described in B-1 or may be

included in the appeal after the salary amount has been fixed. In the request, the faculty member must state clearly what decision is being appealed and, briefly, the grounds on which the appeal is based. If the time deadlines contained in this provision or in any rules or procedures adopted by the Faculty Appeals Hearing Board are not complied with the appeal shall be dismissed unless the Faculty Appeals Hearing Board determines that an attempt at informal resolution through the Ombuds Office or extraordinary circumstances justified the delay. *[rev. 7-99, 2-07, ed. 7-01, 7-02, ed. 3-14]*

B-3. The request for a hearing ~~is shall be~~ addressed to the chair of the Faculty Appeals Hearing Board (FAHB) (see FSH 1640.43). ~~The scope s of grounds for the FAHB review is are limited to the following possible determinations: (1) failure to comply with prescribed procedures; (2) application of inappropriate considerations; (3) abuse of discretion; and; (4) abuse of the appellant's academic rights and privileges. The request for a hearing must be based on one, or more, of these four grounds.~~ The FAHB chair will forward copies of the request to the provost, and other administrators concerned. The provost, or another administrator designated by the provost, will furnish the FAHB chair and the faculty member a written statement of the reasons for the administrative decision. *[rev. and ren. 7-99, ed. 7-02]*

Commented [AT1]: This was taken from FSH 1640.43 and moved here.

B-4. A request for a hearing does not affect the effective date of the decision being appealed. *[add. 7-02]*

B-5. ~~The FAHB may establish additional procedures (see C-1 below) for initiating appeals not inconsistent with this policy. The appellant should request these procedures prior to submitting an appeal.~~

C. FACULTY APPEALS HEARING BOARD. *(see FSH 1640.43)*

DC. HEARING PROCEDURES. *[ren. 7-08]*

DC-1. ~~The FAHB hearing board~~ may adopt rules of procedure from time to time. In a particular case these rules may be altered by the Board in the interest of fairness. These rules ~~shall be filed with the Faculty Secretary and shall be are~~ available on request from the chair of the ~~FAHB board~~ and/or the faculty secretary. *[add. 7-99, ren. 7-08]*

C-2. ~~The FAHB chair organizes the formation of a panel to hear an appeal, see FSH 1640.43 B on panel formation.~~

C-32. ~~In order to maintain the independence of the FAHB panel in its hearing process and deliberations, there shall be no communications between any member of the board and a party to an appeal that are not in writing and provided contemporaneously to all parties to the appeal. Parties to an appeal shall make all communications to the FAHB panel in writing and shall provide contemporaneous copies to all other parties. Likewise, communications from the FAHB panel shall be copied to all parties.~~

DC-42. ~~The board-panel~~ will meet before the hearing to consider the nature of the parties' expected presentations, to make decisions about the procedure that will be followed in the hearing, and to set mutually acceptable dates for the hearing, including the time and duration of the presentations. The ~~board-panel chair~~ communicates the ~~panel's~~ decisions in writing to the parties and allows each of them five working days in which to respond. The chair of the ~~board-panel~~ negotiates any disputed matters. *[ed. and ren. 7-99, ren. 7-08]*

DC-53. The chair of the ~~board-panel~~ summons the faculty member and the officer (or a representative of the body) whose decision is under appeal. The chair also summons other UI employees or students to appear on the request of either party or of the ~~board-panel~~ itself; the summons must set a reasonable time and place to appear and must give due notice. Persons summoned have the obligation to respond as though summoned by the president. Either party may be assisted by counsel or an advisor of its choice in an advisory capacity only. Both

parties are entitled to be present during the entire hearing. *[rev. and ren. 7-99, ed. 7-02, ren. 7-08, rev. 7-15]*

DC-64. During the hearing, the faculty member's case will be presented first, in whatever manner he or she desires: e.g., through the testimony of witnesses, submission of documents, or oral statements. The ~~board-panel~~ may then question the faculty member. The administration then presents its case, followed by questions from the ~~board-panel~~. The faculty member is given an opportunity to respond and to summarize his or her case. *[ed. 7-97; ren. 7-99, ed. 7-02]*

DC-75. As a general rule, the ~~board-panel~~ admits, rather than excludes, presentations that either party desires to make. The chair may rule against presentations that are clearly repetitive or irrelevant. *[ren. 7-99]*

DC-86. The faculty member and the ~~board-panel~~ should know of the existence and substance of all materials on which the administration has relied in making the decision being appealed [see 3040]; there should be no means by which the substance of any charge, or other adverse information or allegation, can be kept secret from the faculty member. *[ren. 7-99, ed. 7-02]*

ED. PROCEDURES FOLLOWING THE HEARING. *[ren. 7-08]*

ED-1. The findings and recommendations of the hearing ~~board-panel~~ are reported promptly in writing to the faculty member, his or her departmental administrator and dean, the provost, and the president. *[rev. 7-99, ed. 7-02, ren. 7-08]*

ED-2. The president, following receipt of the report of the hearing ~~board-panel~~, has the responsibility of promptly responding in writing—and in any case within 45 days—to the faculty member, and the hearing ~~panel-board~~, and of providing a statement of the rationale for his or her decision. *[rev. 7-99, ed. 7-02, ren. 7-08]*

ED-3. No Appeal to the Regents. The Regents have delegated authority for personnel matters to the president (RGPIIB2b), specifically stating that employee grievances are not appealable to the Board. (RGPIIM2)*[add. 7-02, ren. 7-08, rev. 4-14]*

ED-4. The chair of the ~~FAHB-board~~ shall report annually to the Faculty Senate regarding the nature of the matters considered by ~~the-all~~ ~~board-panel(s)~~ during the preceding year. *[add. 7-99, ren. 7-02, 7-08, 6-09]*

UI FACULTY-STAFF HANDBOOK**CHAPTER ONE:****HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE**

January 2018

1640.43**FACULTY APPEALS HEARING BOARD**

[This section was removed from FSH 3840 C & D and placed here in July 2008]

A. FUNCTION. This board will conduct a hearing at the request of a faculty member who wishes to appeal an institutional decision under FSH 3840 A. In each case referred to it, the board ~~has the following responsibilities: *[ed. 4-12]*~~

~~**A-1. To will** review all documentary evidence submitted by the parties prior to the hearing and all evidence submitted by the parties at the hearing. The board may require the parties to submit evidence deemed relevant by the board. **The board will make recommendations to the president (see FSH 3840 for further details).**~~

~~**A-2. To determine whether there has been any (1) failure to comply with prescribed procedures, (2) application of inappropriate considerations, (3) abuse of discretion, or (4) abuse of the appellant's academic rights and privileges.**~~

~~**A-3. To make recommendations to the president.**~~

Commented [AT1]: FAHB requested this be moved to the policy, FSH 3840 so that faculty filing appeals understand what their appeal will be based upon. FAHB felt this was very important for faculty to understand and believe it is missed by faculty because it resides in the committee function/structure and not the policy on Faculty Appeals. This is a non-substantive edit as it is simply being moved from one policy to another for clarity.

B. STRUCTURE AND MEMBERSHIP: Five faculty members, one of whom is a departmental administrator, are principal members. In addition, five other faculty members, two other departmental administrators, and three off-campus faculty members are appointed as alternate members of the board. In appointing members, including alternates, the Committee on Committees must ensure that the majority of the members are tenured and each of them have been employed at the UI for longer than two years. Since a case for dismissal is appealable to the Faculty Appeals Hearing Board, care should be taken in appointing members to both Faculty Appeals Hearing Board and Dismissal Hearings Committee. The term of membership is three years, with initial terms staggered to form a rotation pattern. The off-campus alternates will serve, in place of principal faculty members chosen by lot, when an appeal by an off-campus faculty member is to be heard. The other alternate members will serve, as appropriate, when a principal member is deemed to have a conflict of interest. Once the panel for an individual hearing has been determined, it will meet at the direction of the chair of the Faculty Appeals Hearing Board and elect its own panel chair. In selecting a chair, a tenured faculty member will receive priority. *[rev. 7-99, 1-09, 4-11, 7-17]*

B-1. Panel Chair's Role: Once a panel chair has been selected, he/she will request a meeting with the Faculty Secretary at their earliest opportunity to discuss and review process. The panel chair may request assistance from the Faculty Secretary, Ombuds, or General Counsel's office throughout the hearing. *[add. 7-15]*

B-2. Observers: Both parties may have an advisor or counsel at the hearing. *[add. 7-15]*

C. SPECIAL CONSIDERATION: Faculty members serving on the Faculty Appeals Hearing Board (FAHB) should take careful note of the following additional considerations and conditions for service: 1) appeals usually occur following tenure, promotion, and salary decisions in the middle of the Spring semester, 2) appeal hearings usually require a 2-4 hour time block which will require meeting on a weekday evening or Saturday to accommodate the schedules of all of the parties involved in a hearing, and 3) the term of office of a member of the FAHB ends when the last active case final report is submitted. Faculty members not willing to abide by these conditions should not apply for service on the Faculty Appeals Hearing Board. *[add. 7-02]*



POLICY COVER SHEET

(See Faculty Staff Handbook 1460 for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: FSH 1640.76 Safety & Loss Committee

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

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

Originator(s):

(Please see FSH 1460 C)

Telephone & Email:

Rich Seamon

Name

Date

Policy Sponsor: (If different than originator.)

Telephone & Email:

ConC

Name

Date

Reviewed by General Counsel X Yes No Name & Date: _____

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

See attached.

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

This revision will have no fiscal impact.

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

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

Memo

To: Committee on Committees

From: Richard Seamon, Chair (2017-2018), University Safety and Loss-Control Committee (SLCC)

Re: SLCC Request to Revise Membership

Date: March 21, 2018

Dear Committee on Committees:

At its meeting on November 15, 2017, the SLCC approved a resolution to seek a change to the SLCC's membership. The change would add four new voting members, to represent Information Technology Services, University Support Services, the University Library, and the Office of Research and Economic Development. If adopted, this change would require revising Faculty Staff Handbook 1640.76.B as follows:

B. STRUCTURE. The committee is composed of ~~17~~21 voting members and 3 ex-officio (non-voting) members, as follows: One faculty member from each college; a member from Information Technology Services; a member from University Support Services; a member from the University Library; a member from the Office of Research and Economic Development; Director of University Residences or designee; Director of Student Health Services or designee; Assistant VP of Facilities or designee; Assistant Vice-President of Human Resources or designee; Staff Affairs Representative; one undergraduate student; one graduate student; Commander, Moscow Police Department, campus subdivision (ex-officio); Occupational Safety Specialist (ex-officio); the Director, Environmental Health & Safety (ex-officio), and the University of Idaho's Executive Director of Public Safety or designee. The Safety and Loss-Control Committee is governed by a chair and vice-chair, with the vice-chair assuming responsibilities of the chair after one-year rotation. The committee elects its own chair and vice-chair from among the voting members. Committee members representing colleges are appointed by the university's Committee on Committees and serve a three-year period. The college representatives are ex officio members of their college unit safety committees. Student members of the committee will serve terms as recommended by the ASUI and GPSA.

The SLCC voted to approve this proposed change after a discussion of the concerns that, as we understand it, were expressed by your committee and Ann Thompson when the SLCC passed an identical resolution in March or April, 2016. Again as we understand it, the main concerns were:

1. This change would make the SLCC too big to be manageable, with regard, for example, to getting a quorum.
2. Considering the concern about size, would it be better to make any additional representatives ones who would serve without a vote?
3. How does the SLCC relate to "unit safety committees" and to the university-wide safety and loss-control infrastructure, including safety and loss control at the educational centers and research and extension centers.

Below is a summary of the SLCC's discussion of these concerns.

1. *Will adding four members make the committee unwieldy?*

The SLCC does not think that adding four voting members will make the committee unwieldy. For the last 18 months or so, monthly meetings have almost always had a quorum. Furthermore, almost all of these meetings have been devoted primarily to sharing information and reinforcing each other's commitment to "spreading the gospel of safety" to colleagues, rather than debating action items. The SLCC thus functions to facilitate a culture and safety by spreading awareness of issues and best practices. The SLCC voted to add four new members to broaden this effort to cultivate a culture of safety.

2. *Would it be better, if new members are added, to have them participate without a vote?*

The SLCC does not think that it would be better to leave the new members without a vote. The consensus was that people who lack a vote will be less likely to attend than people who have a vote, and more generally, that people who lack a vote will not have the same investment in the committee's mission as people who have a vote. If the key goal of the SLCC is to promote a culture of safety through information sharing and "spreading the gospel," it would be better to add members who have "skin in the game."

3. *How Does the SLCC Relate to the University's "Safety Units," its Centers, and the Broader Safety and Loss Infrastructure?*

a. Administrative Procedures Manual (APM) 35.32.D requires unit administrators to develop and implement a "unit safety program." One element of a "unit safety program," under APM 35.32D-1, is a "unit safety committee." For example, each academic unit -- each college, in other words -- has a unit safety committee. The unit safety committees help implement the University's Safety and Loss Control Program. Ultimate responsibility for administering this program lies with the Director of Environmental Health and Safety (EHS). The unit safety committees have no formal connection with the SLCC; they are not supervised by the SLCC. They do, however, provide information that is regularly reported to the SLCC, and members of the SLCC regularly communicate with their corresponding unit safety committee.

b. To the extent that units operate in the centers as well as on the Moscow campus, those units' safety and loss committees implement unit safety programs at the centers as well as the main campus. For example, the College of Agricultural and Life Sciences has a unit safety committee that implements that college's unit safety program at the Moscow campus and the research and extension centers.

c. As mentioned above, the Director of EHS heads the university's institutional Safety and Loss Control Program. Under APM 35.32A-1, the Director prescribes "[s]afety policies and procedures which are required in order to ensure compliance with local, state, or federal law or regulation." When the Director proposes safety policies that "are a combination of legal or regulatory requirements and institutional policy, those portions with institutional policy" elements are "submitted for review and approval by" the SLCC. (APM 35.32A-1.) In addition to prescribing safety policies and procedures (some of which are subject to SLCC review and approval), the Director of EHS "is responsible for administering the institutional Safety and Loss Control Program." (APM 35.32A-3.) To carry out this responsibility, among other things the Director of EHS "coordinates the efforts of all University units and employees to

create and maintain" safety. To that end, the Director of EHS and EHS Office staff work with unit safety committees to develop and implement unit safety plans.

* * *

Thank you for considering this request.

Attached to this memo are:

- A. SLCC Minutes from meeting 2017-18 # 3 (Nov. 15, 2017)
- B. Unit Safety Committees and contact personnel
- C. APM 35.32

Attachment A
University Safety and Loss Control Committee

Meeting Minutes

Meeting 2017-18 #3

Date: November 15, 2017

Location: Idaho Commons Panorama Room

Members/Alternates Present: Richard Seamon (CH), Benjamin Barton, Mike Sonnichsen, Rob Keefe, Member (for Raymond Dixon), James Moberly, Onesmo Balemba, Elaina McIntosh-Perry (for Mike Holthaus), Nancy Spink (for Matt Dorschel), Samir Shahat, Kelvin Daniels

Members Absent: Monica Banyi, Brandi Terwilliger, Debbie Huffman, Nicholas Brannon, Amy Lin, Cynthia Ballesteros, Fahmid Tousif

Also in attendance: Greg Cain, and Russell McClanahan

HANDOUTS/ATTACHMENTS:

1. USLCC Minutes for October 18, 2017
2. Meeting 2017-18 #3 Agenda
3. Annual Unit Safety Assessments

Meeting called to order at 2:05 p.m. by committee chair, Richard Seamon.

Confirmed next meeting for December 20, 2017.

Minutes for October 21st meeting approved, motioned by Ben Barton and seconded by Mike Sonnichsen.

Open issues:

1. Richard Seamon has met with Miranda Anderson of the Committee on Committees. Miranda suggests the Committee starts over and answers three questions.
 - a. Who are the Unit Safety Committees, where are they located and how do they relate to the USLCC. Answer; Unit Safety Committees are a separate part of APM 35.32 to implement Loss Control. APM and list attached to minutes.
 - b. How are the Branch Campuses represented? Answer; Research and Extension are represented in CALS and CNR USCs.

- c. Would increasing the membership from 17 to 21 make it too difficult to get a quorum?

Chair suggests submitting a written request polished with answers. Discussion followed regarding the APM 35.32 and FSH 1640. Copies will be sent out for next meeting. Motion was made by James Moberly to submit the request again to include the 4 new members, ITS, ORED, ESS and the Library. Motion was seconded by Onesmo Balemba and passed with all yeas.

2. Accident report; As of November 14, 2016 there were 94 accidents with an incurred total of \$604,214 with 4 claims still open and \$225,808 of that incurred total is reserve. As of November 14, 2017 there are 95 accidents that have an incurred total of \$648,889 with 42 open claims and \$393,588 in reserves.

Discussion followed on accident report outs to USC and departments. Using near misses and accident numbers we hope to track trends to be proactive in training and preventative rather than reactive.

3. Unit Safety Committee reports:
 - a. CNR hopes to meet November 29th. They have been burning on the Ex. Forest and working with EHS for communication SOP and permits. The Department is working on Lab Safety (Dora) and assisting with Fire Safety and Evacuation. The logging safety grant is on hold, through NIOSH 65,000 subscribers nationally.
 - b. ESS – will have Unit Safety meeting as the first half of one of the semi-monthly staff meetings.
 - c. Col of A&A has focused on completing the Fire Safety and Emergency Evacuation plans.
 - d. CLASS- has no report.
 - e. CALS met Nov 9 (report by Kelvin) Watch for Slips and falls. Lab audits, annual vehicle inspections and new AEDs in AgSci and AgBio.
 - f. Col-Law – will be having the CPR and First Aid training as a college. They have a current issue with egress at the clinic and are installing security cameras.
4. Benjamin Barton volunteered to act as Vice-Chair

New business:

1. Staff council requested information on dissuading fears about concealed carrier on campus. Active shooter response training will be conducted at the Bruce Pitman Center December 6.
2. Annual Unit Safety Committee Assessments have been distributed and are due December 11.

For the Good of the Order

None

Meeting adjourned at 3:10 p.m. motion by Ben Barton, seconded by James Moberly.

Submitted by: Kelvin Daniels, Occupational Safety Specialist, Secretary.

UNIT SAFETY COMMITTEES
CONTACT PERSONNEL
Fiscal Year 2018

E-mail string for all unit safety committee contacts

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COLLEGE OF ENGINEERING

- Don Parks donparks@uidaho.edu

COLLEGE OF LAW

- Mike Nugen mnugen@uidaho.edu

COLLEGE OF LETTERS, ARTS & SOCIAL SCIENCES

- Jennie Hall jenniej@uidaho.edu

COLLEGE OF NATURAL RESOURCES

- Darrell Stout dstout@uidaho.edu

COLLEGE OF SCIENCE

- Mark Neilsen markn@uidaho.edu

OFFICE OF RESEARCH AND GRADUATE STUDIES AND INSTITUTES

- Dan LaHann dlahann@uidaho.edu

IRIC

- Russ McClanahan rmccclanahan@uidaho.edu

Updated 09/18/2017

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- Nick Brannon nbrannon@uidaho.edu

EVENT & SUPPORT SERVICES

- Greg Cain gcain@uidaho.edu

FACILITIES

- Thad Gilkey thadg@uidaho.edu

HUMAN RESOURCES – moving into Executive area committee

- Shelby Hurn shelby@uidaho.edu

EXECUTIVE AREA (PRESIDENT’S / PROVOST’S OFFICE, ACADEMIC AFFAIRS)

- David Pittsley dpittsley@uidaho.edu

IDAHO COMMONS/STUDENT UNION/ACADEMIC AND STUDENT SERVICES

- Elissa Keim ekeim@uidaho.edu

INFORMATION TECHNOLOGY SERVICES

- Brian Borchers bborcher@uidaho.edu

LIBRARY

- Samm Green samm@uidaho.edu

UNIVERSITY ADVANCEMENT/ALUMNI

- Judy Pankopf jpankopf@uidaho.edu

WWAMI

- Marlane Martonick marlanem@uidaho.edu

OUTREACH

UI Center – Boise

- Stephanie Fox sfox@uidaho.edu

UI Center – Idaho Falls

- Joanna Taylor jltaylor@uidaho.edu

UI Center – Coeur d’Alene

- To be determined



Administrative Procedures Manual

Menu

35.32 - Safety & Loss Control Program

January 11, 2011

A. Institutional Safety and Responsibility. *[ed. 1-11]*

A-1. Safety Policies and Procedures. Safety policies and procedures which are required in order to ensure compliance with local, state, or federal law or regulation will be prescribed by the Director of Environmental Health and Safety. When proposed safety policies are a combination of legal or regulatory requirements and institutional policy, those portions with institutional policy will be submitted for review and approval by the University's Safety and Loss Control Committee. *[ren. & rev. 1-11]*

A-2. Obligations. Administrators, managers and supervisors are responsible for developing and implementing safe work practices, promoting safety, and setting the example for others. All employees are expected to adhere to safe operating work practices and are encouraged to provide expertise and offer ideas to make safety a part of the job. All members of the University community are expected to continuously promote safety awareness, maintain property and equipment in safe operating condition, and comply with APM Chapter 35 (Environmental Health & Safety). *[ren. & rev. 1-11]*

A-3. Director of Environmental Health and Safety Responsibilities. The Director of Environmental Health and Safety is responsible for administering the institutional Safety and Loss Control Program. To fulfill this responsibility, the Director of Environmental Health and Safety directs the activities of the Environmental Health and Safety ("EHS") Office, monitors the work

environment and coordinates the efforts of all University units and employees to create and maintain safe conditions of study, research, and employment, to promote safe practices and to ensure compliance with applicable regulations. The Director of Environmental Health and Safety also serves as the University's environmental compliance officer. *[ed. & ren. 1-11]*

A-4. Supervisor Responsibilities. Deans, directors, department heads, faculty members, staff and other supervisory personnel are responsible for providing safe environments and operations under their control (including, but not limited to, work, classroom, laboratory, and field-trip activities), and are required to ensure that all reasonable and necessary precautions are taken to prevent accidents and to preserve the life and health of the employees, instructors, students and others under their supervision. Supervisors are responsible for ensuring that employees under their supervision are adequately trained, equipped, monitored, evaluated, and guided as appropriate to ensure compliance with established safety policies, standards, and procedures. Annual performance evaluations of supervisors shall reflect performance in promoting safe work practices. *[ed. & ren. 1-11]*

A-5. Employee Responsibilities. All University employees are required to comply with the safety policies, procedures, and work practices established by the University. Employees must avoid any activity that creates or constitutes a serious hazard to themselves or others while working for the University. Any employee who believes that performing an assigned work task or activity may pose a serious risk to life or health is expected to immediately bring their concerns to the attention of his or her supervisor, or others as designated by department/division procedures. *[ren. 1-11]*

B. Safety and Loss Control Committee Function. In conformity with the State of Idaho's Safety and Loss Control Program model, the University has established a Safety and Loss Control Committee. [See also FSH 1640.76]

B-1. Responsibilities. The responsibilities and purposes of the committee are described in FSH 1640.76. *[ed. 7-10]*

C. Safety and Loss Control Committee Membership/Structure.

C-1. Membership/Structure. See FSH 1640.76. *[ed. 7-10]*

C-2. Governance. The Safety and Loss Control Committee is governed by a chair and vice-chair, with the vice-chair assuming responsibilities of the chair after a one-year rotation. Committee members are appointed by the University's Committee on Committees and serve a three-year period with students serving terms as recommended by the ASUI and GPSA. *[ed. 1-11]*

D. Unit Safety Program. Unit administrators are required to ensure that a unit safety program is developed and implemented using the template provided by EHS. *[add. 1-11]*

D-1. Unit Safety Program Elements. The Unit Safety Program is comprised of the following nine elements: *[add. 1-11]*

- Policy and Procedures
- Unit Safety Committee
- Job Hazard Assessment
- Safety Training
- Accident Reporting and Investigation
- Inspections
- Emergency Response Plans
- Vehicle Safety and Use
- Hazardous Materials Use

Further information, guidance, resources and tools to assist in the development of a unit safety program are available at the EHS website. Please click here to access the Unit Safety Program webpage. *[add. 1-11]*

D-2. Unit Safety Program Assessment. Unit administrators shall ensure that their safety program is reviewed annually to determine the progress made in reaching the goals described in the unit safety program template. To accomplish this, a Unit Safety Program Assessment Checklist is available.

Please click here to access the Assessment Checklist. *[add. 1-11]*

E. Information. For additional information and assistance, please contact the Environmental Health and Safety Office at (208) 885-6524 or Safety Office email. *[add. 1-11]*



UI FACULTY-STAFF HANDBOOK

CHAPTER ONE:

HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

January 2018

1640.76**SAFETY AND LOSS-CONTROL COMMITTEE***[created 7-00, replacing previous Safety Committee]*

A. FUNCTION. The responsibilities and purposes of the committee are as follows:

a. to promote policies and programs that will provide a safe and healthy working and living environment for university students, employees, and members of the public, and that will protect public property from injury or damage; **b.** to promote the principles and associated benefits of an effective Safety and Loss-Control Policy; **c.** to endorse and systematically promote university employee safety training; **d.** to encourage the campus community to identify, correct, and report potential hazards and/or unsafe work practices; **e.** to monitor and review University of Idaho accident and loss summarized reports and statistics; and; **f.** to report annually to Faculty Senate and the President's Executive Council on campus-wide safety initiatives and program development. *[ed. 7-09]*

B. STRUCTURE. The committee is composed of 217 voting members and 3 ex-officio (non-voting) members, as follows: One faculty member from each college; a member from Information Technology Services, University Support Services, University Library, Office of Research and Economic Development; ~~Director of University Residences,~~ or designee; Director of Student Health Services, or designee; Assistant VP of Facilities, or designee; ~~senior Assistant Vice President of Human Resources~~ executive, or designee; a Staff Affairs ~~R~~representative; one undergraduate student; one graduate student, and the Executive Director of Public Safety, or designee; the three ex-officio non-voting members include the Commander, Moscow Police Department, campus subdivision ~~(ex-officio);~~ Occupational Safety Specialist ~~(ex-officio);~~ the Director, Environmental Health & Safety ~~(ex-officio), and the University of Idaho's Executive Director of Public Safety or designee.~~

The Safety and Loss-Control Committee is governed by a chair and vice-chair, with the vice-chair assuming responsibilities of the chair after one-year rotation. The committee elects its own chair and vice-chair from among the voting members. Committee members representing colleges are appointed by the university's Committee on Committees and serve a three-year period. The ~~college-faculty~~ representatives are *ex officio* members of their college unit safety committees. Student members of the committee will serve terms as recommended by the ASUI and GPSA. *[rev. 7-05, 7-06, 7-08, ed. 6-09, 10-13]*



POLICY COVER SHEET

(See Faculty Staff Handbook 1460 for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: Chapter 1, University Committees 1640.XX – University Staff Compensation Committee

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

*Note: If revision/deletion request original document from apm@uidaho.edu or fsh@uidaho.edu, all changes must be made using “track changes.”

Lisa Miller, Chair Staff Compensation

Task Force 4/4/2018

Originator(s):

(Please see FSH 1460 C)

Telephone & Email:

Name Date
lisa@uidaho.edu 5-7004

Policy Sponsor: (If different than originator.)

Telephone & Email:

Name Date
Brian Foisy
brianfoisy@uidaho.edu

Reviewed by General Counsel Yes No Name & Date: Kent Nelson 4/3/18

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.
The Staff Compensation Taskforce (SCTF) was established in 2015. The taskforce is at a place where it has been determined a permanent committee will better serve the university. This proposal is to create an official university standing committee and place it within the Faculty-Staff handbook.

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

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

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

UI FACULTY-STAFF HANDBOOK

CHAPTER ONE:

HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

March 2018

1640.XX

UNIVERSITY STAFF COMPENSATION COMMITTEE formerly SCTF

A. FUNCTION. The function of the University Staff Compensation Committee (USCC) is:

A-1. To advise the president, provost and the vice president for finance and administration on matters pertaining to staff compensation. The USCC will periodically review policy matters regarding annual change in employee compensation (CEC) allocations and annual market-based adjustment to staff salary based on College and University Professional Association (CUPA) and the Bureau of Labor Statistics (BLS);

A-2. To be involved strategically in the university annual CEC process. The USCC will advise on the CEC process and staff compensation goals, and participate in university hearings and meetings;

A-3. To initiate and/or respond to the study of staff compensation policies and issues; and,

A-4. To provide periodic reports to Staff Council and Faculty Senate on matters pertaining to staff compensation.

B. AGENDA. The agenda of each meeting will be set by the chair of the committee in collaboration with the senior human resources executive and/or the vice president for finance and administration, or designee. The senior human resources executive is the point of contact for the committee and is responsible for notifying the committee of relevant matters pertaining to staff salaries.

C. STRUCTURE AND MEMBERSHIP. The committee is composed of eleven members as follows: voting members will consist of nine staff. Ex officio (w/o vote) members include the vice president for finance and administration and the senior human resources executive. The committee's chair will be selected by Staff Council. The membership is appointed by Staff Council and will consist of a broad representation of staff located university-wide with a minimum of two off-campus members.



POLICY COVER SHEET

(See Faculty Staff Handbook 1460 for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Faculty/Staff Handbook [FSH] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: Chapter Five: 5200 Human Participant Research

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

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

Originator(s):

(Please see FSH 1460 C)

Telephone & Email:

Jennifer Walker 11/17/2017

Name Date

208-885-6340 irb@uidaho.edu

Policy Sponsor: (If different than originator.)

Telephone & Email:

janetenelson@uidaho.edu

Janet E. Nelson 12/15/2017

Name Date

208-885-6689

Reviewed by General Counsel X_Yes ___No Name & Date: Casey Inge

11/17/2017

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

The U.S. Department of Health and Human Services have issued final revisions to the Federal Policy for the Protection of Human Subjects (the Common Rule). The Final Rule was published in the Federal Register on January 19, 2017 and is effective on January 19, 2018. It implements new steps to better protect human subjects involved in research, while facilitating valuable research and reducing burden, delay, and ambiguity for investigators. The revisions to the FSH are necessary for University compliance with the Final Rule.

II. Fiscal Impact: What fiscal impact, if any, will this addition, revision, or deletion have?
No impact.

III. Related Policies/Procedures: Describe other policies or procedures existing that are related or similar to this proposed change.
FSH 1640.54 – minor changes.

IV. Effective Date: This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.
January 1 since the effective date of the regulatory changes is January 19, 2018.

If not a minor amendment forward to: _____

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

APM F&A Appr.: _____ [Office Use Only]
--

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

Track # _____ Date Rec.: _____ Posted: t-sheet _____ h/c _____ web _____ Register: _____ (Office Use Only)
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UI FACULTY-STAFF HANDBOOK

CHAPTER FIVE:
RESEARCH POLICIES

July-January 2018

5200

HUMAN ~~SUBJECT~~ ~~PARTICIPANT~~ RESEARCH

PREAMBLE: This section outlines the considerations, legal and ethical, that need to be taken into account in any research that involves human subjects. It was original to the 1979 Handbook and was revised in July of 1995, and again in July 2003, to reflect changes in applicable federal law. In 2009 the Human Assurances Committee (HAC) was renamed to Institutional Review Board (IRB). In February of 2010 it has been rewritten in accordance with federal law and University policies. In 2018 changes were made to bring this policy into compliance with recent federal regulation changes. For further information, contact the Research Office (208-885-6651). [rev. 7-03, 1-09, 7-10, 1-18]

Commented [WJ(1): The office of the VP suggested that we change the word "participant" to "subject" since this is what is used in the CFR. I have made this change throughout the document to be consistent.

CONTENTS:

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- A. General Policy, Legal Authority and Ethical Principles
- B. Covered Activities
- C. Scope of Responsibility and Authority
- D. Institutional Review Board
- E. Organization and Membership of the IRB
- F. IRB Standard Operating Procedures
- G. Contact Information

A. GENERAL POLICY, LEGAL AUTHORITY AND ETHICAL PRINCIPLES

A-1. GENERAL POLICY. The University of Idaho, in the course of carrying out its teaching, research, and service missions, engages in human subject or participant research across a wide array of academic disciplines ~~and administrative functions~~. Recognizing that engaging in research involving human ~~subjects~~ ~~participants~~ imposes responsibility for safeguarding the rights and welfare of these persons, the University of Idaho ("University") is committed to the protection of human research ~~participants~~ ~~subjects~~ through compliance with applicable federal and state regulations and observance of ethical principles for the conduct of human research. ~~(that are recognized and adopted by the University through its federal wide assurance)~~. This policy governs all human ~~participant~~ ~~subject~~ research performed under the auspices of the University. [ed. 1-18]

A-2. LEGAL AUTHORITY. All research subject to this policy shall be conducted in accordance with federal, state, and local law.

In fulfilling its commitment to protect the rights and welfare of human research ~~participants~~ ~~subjects~~, the University applies the regulations promulgated by the United States Department of Health and Human Services (HHS) for Protection of Human Subjects ~~(45 C.F.R. 46)~~ to all federally funded research. Under the approved federal-wide assurance ~~(FWA00005639)~~ provided by the University to HHS, all federally funded human ~~participant~~ ~~subject~~ research, ~~regardless of funding source~~, and the oversight of such research shall be performed in a manner that complies with the applicable federal regulations ~~set forth by HHS at 45 C.F.R. 46~~. The University also complies with human ~~participant~~ ~~subject~~ research regulations established by the Food and Drug Administration for clinical investigations involving drugs, biologics, medical devices, and other test articles. ~~(21 C.F.R. 50; 56; 312, and 312)~~. ~~University investigators may not initiate FDA-regulated human subjects research without prior approval from the Office of Research and Economic Development.~~ [rev. 1-18]

Commented [AT2]: Casey noted to remove the FWA reference.

Commented [IC(3): Revised to be consistent with the new regulations for human subject research (Revised Common Rule" or "RCR"), which no longer permits extension of regulations to all research activity through selection of this option under the Federalwide Assurance ("FWA").

Commented [IC(4): To be addressed through ORED procedures and later revision of FSH 5200.

By this policy, the University also requires that all non-federally funded and unfunded research comply with these regulations, unless otherwise specified by University policy, including but not limited to University of Idaho IRB Standard Operating Procedures (see

UI FACULTY-STAFF HANDBOOK
Chapter 5: RESEARCH POLICIES
Section 5200: Human Participant Research

Section F, below. The University acts in conformance with other federal laws and regulations germane to human ~~participant-subject~~ research and with applicable state and local law ~~that serves to elucidate and supplement federal regulations for human subject research.~~ [rev. 1-18]

Commented [IC(5): Clarification that the University will continue to apply these requirements to unfunded and non-federally funded research; does not substantially change the approach from the prior version of the policy. This does allow for increased flexibility in application.

A-3. ETHICAL PRINCIPLES. Consistent with its federal-wide assurance and this policy, the University shall be guided by the ethical principles governing the evaluation and conduct of research involving human ~~participants~~subjects, whether or not such research is subject to federal regulation, set forth in *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research* of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research on at the HHS www.hhs.gov website or contact Office of Research Assurances (see G below). While the principles announced in *The Belmont Report* serve to guide human ~~participant-subject~~ research at the University, these principles are never held to or construed so as to supersede any local, state, or federal law or to supersede any regulations or policies promulgated by federal agencies. [ed. 1-18]

B. COVERED ACTIVITIES.

B-1. HUMAN PARTICIPANT SUBJECT RESEARCH ACTIVITIES. ~~In~~respective of funding source, aAll activities that meet the criteria for: (i) “research” involving “human subjects,” as defined in HHS regulations ~~(45 CFR 46.102)~~, or (ii) a “clinical investigation” involving “human subjects” or “subjects,” as defined in FDA regulations ~~(21 CFR 50.3; 21 CFR 56.103; 21 CFR 312.3; 21 CFR 812.3)~~, shall be subject to this policy. [ed. 1-18]

a. HHS Definition of “Research” Involving “Human Subjects:”

~~(1) “research:” a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. [45 CFR 46.102(d)]. This includes qualitative research methods such as constructivist, participatory and action research that may not be considered generalizable. It also includes other methodologies that may not be considered generalizable but have the intent of adding to a body of knowledge.~~

Commented [IC(6): Deleted; merely reproduces definitions contained in the applicable regulations. Also avoids potential for confusion of FDA definition of clinical investigation with similar definitions, such as NIH’s definition of clinical investigation. The IRB will offer guidance on the various definitions (and their differences) critical to the RCR.

~~— Note: Certain activities by policy do not fall under the definition of research and are not subject to IRB review and approval. For example projects carried out as part of coursework with the sole intent of teaching students research skills may be covered under the Course Related Research Practica policy. Projects carried out as part of a University Quality Improvement or Quality Assurance project may be covered under the policy for such activities.~~

~~(2) “human subject:” a living individual about whom an investigator (whether professional or student) conducting research obtains (i) data through intervention or interaction, or (ii) identifiable private information [45 CFR 46.102(f)].~~

~~(i) “Intervention” includes both physical procedures by which data are gathered (for example, venipuncture) and manipulations of the subject or the subject’s environment that are performed for research purposes.~~

~~(ii) “Interaction” includes communication or interpersonal contact between investigator and subject.~~

UI FACULTY-STAFF HANDBOOK
 Chapter 5: RESEARCH POLICIES
 Section 5200: Human Participant Research

~~(iii) “Private information” includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a medical record). Private information must be individually identifiable (i.e., the identity of the subject is or may readily be ascertained by the investigator or associated with the information) in order for obtaining the information to constitute research involving human subjects.~~

~~**b. FDA Definition of “Clinical Investigation” Involving “Human Subjects” or “Subjects:”**~~

~~(1) “clinical investigation” (deemed by the FDA to be synonymous with “research”): any experiment that involves a test article and one or more human subjects, and that either must meet the requirements for prior submission to the FDA under section 505(i) or 520(g) of the act, or need not meet the requirements for prior submission to the Food and Drug Administration under these sections of the act, but the results of which are intended to be later submitted to, or held for inspection by, the FDA as part of an application for a research or marketing permit. [21 CFR 50.3(e); 21 CFR 102(e); 21 CFR 312.3(b); and 21 CFR 812(h)].~~

~~(i) “Test article” is defined as any drug (including a biological product for human use), medical device for human use, human food additive, color additive, electronic product, or any other article subject to FDA regulation. [21 CFR 50.3(j) and 56.102(l)].~~

~~(2) “human subject” or “subject:” an individual who becomes a participant in research, either as a recipient of a test article or as a control. [21 CFR 50.3(g) and 56.102(e)]; a human who participates in an investigation, either as a recipient of the investigational new drug or as a control. [21 CFR 312.3(b)]; or a human who participates in an investigation, either as an individual on whom or on whose specimen an investigational device is used or as a control. (21 CFR 812.3).~~

B-2. EXEMPT HUMAN PARTICIPANT-SUBJECT RESEARCH. Activities that meet the criteria for “human subject research” described [in the HHS and FDA regulations above](#) may nevertheless be exempted from compliance with federal human [participant-subject](#) regulations, if the only involvement of human [participants-subjects](#) will be in one or more prescribed categories. [For a list of “exempt” research categories see, \[45 CFR 46.101\(b\)\].](#) The IRB, or designee of the IRB, shall make the determination as to whether a particular research activity involving human [participants-subjects](#) is exempt. Even when research is determined by the IRB to be exempt, the ethical principles of *The Belmont Report* shall be applied by the investigator to the research activities. [\[ed. 1-18\]](#)

C. SCOPE OF AUTHORITY AND RESPONSIBILITY.

C-1. INSTITUTIONAL REVIEW BOARD (IRB) [\(see FSH 1640.54\), \[ed. 1-18\]](#)

a. The IRB is the principle mechanism by which the University ensures that all human [participant-subject](#) research activity is planned and conducted in a manner consistent with

UI FACULTY-STAFF HANDBOOK
 Chapter 5: RESEARCH POLICIES
 Section 5200: Human Participant Research

applicable law and policy and that the rights and welfare of human research ~~participants~~ ~~subjects~~ are adequately protected. [\[ed. 1-18\]](#)

b. The responsibilities of the IRB include but are not limited to:

(1) reviewing, approving, requesting modifications, as well as disapproving human subject/participant research, ~~{45 CFR 46.109(a)}~~; [\[ed. 1-18\]](#)

(i) research that has been approved by the IRB may be subject to further review and approval or disapproval by University officials. University officials may not approve research that has not been approved by the IRB ~~(45 CFR 112)~~; [\[ed. 1-18\]](#)

(2) conducting continuing review of research approved by the IRB, [according to federal regulations and at intervals appropriate to the degree of risk](#) ~~not less than once per year~~, including as necessary observing, or having a third party observe, the consent process and research activity; or requesting and inspecting information related to human ~~participant-subject~~ research activity ~~{45 CFR 46.109(e)}~~; [\[rev. 1-18\]](#)

Commented [IC(7): Changed to recognize that the RCR permits review periods to be established based on the degree of risk presented by the research and no longer requires annual review for all protocols.

(3) investigating instances of non-compliance, whether discovered during monitoring by the IRB or reported to the IRB, including unanticipated problems involving risks to research ~~participants-subjects~~ or others and serious or continuing noncompliance with this policy or the requirements or determinations of the IRB; [\[ed. 1-18\]](#)

(4) suspending or terminating approval of research activity that is not being conducted in accordance with the requirements established by the IRB for a particular research activity or has been associated with serious harm to research ~~participants-subjects~~ or that is not otherwise in accordance with federal human subject research regulations or University policy ~~(45 CFR 46.113)~~; [\[ed. 1-18\]](#)

(5) reporting to appropriate University and, [for federally funded research](#), federal government officials; [\[rev. 1-18\]](#)

Commented [IC(8): Added to recognize the change in scope of the RCR and the reporting to appropriate federal agencies only for federally funded research

(i) unanticipated problems involving risks to research ~~participants-subjects~~ or others and serious or continuing noncompliance; and [\[ed. 1-18\]](#)

(ii) suspension or termination of IRB Approval ~~{45 CFR 46.103(b)(5)}~~; [\[ed. 1-18\]](#)

(6) developing and implementing administrative policies and procedures to implement this policy.

C-2. SIGNATORY OFFICIAL. The Signatory Official is the [Vice President](#) of Research and Economic Development or designee. ~~This individual cannot be a voting member of the IRB and shall have the legal authority to represent the University in providing assurance to the federal government that the University will comply with federal human subject research regulations and shall be responsible for ensuring that all regulatory and programmatic requirements for the conduct of human ~~participant-subject~~ research at the University are met. [\[ed. 1-18\]](#)~~ ~~{45 CFR 46.103(b)(2)(e)}~~.

UI FACULTY-STAFF HANDBOOK

Chapter 5: RESEARCH POLICIES

Section 5200: Human Participant Research

C-3. OFFICE OF RESEARCH ASSURANCES. -The Office of Research Assurances shall provide administrative support necessary for the IRB to fulfill its duties. ~~[45 CFR 46.103(b)(2)]~~. [\[ed. 1-18\]](#)

C-4. UNIVERSITY INVESTIGATORS (FACULTY, STUDENTS, AND STAFF). Any person who engages in human ~~participant-subject~~ research (See B. Covered Activities, above) under the auspices of the University (including faculty, students, and staff) shall comply with applicable federal, state, and local law, with University policy, and with the requirements of the IRB. [\[ed. 1-18\]](#)

D. ORGANIZATION AND MEMBERSHIP OF THE IRB. The IRB shall be organized and its membership determined in accordance with federal regulations and University policy (~~45 CFR 46.107, 21 CFR 56.107, and FSH 1640.54~~). [\[ed. 1-18\]](#)

E. REVIEW OF HUMAN ~~PARTICIPANT-SUBJECT~~ RESEARCH. [\[ed. 1-18\]](#)

E-1. The IRB shall conduct initial and continuing review of human ~~participant-subject~~ research activity, following established procedures appropriate to the degree of risk involved in the research. IRB review of research shall be prospective, and no human ~~participant-subject~~ research activity may be carried out by an investigator without prior approval from the IRB. The IRB shall not provide retrospective approval of human ~~participant-subject~~ research. [\[ed. 1-18\]](#)

E-2. The IRB, or its designee, shall review all research that meets the regulatory definition for human subject research but may be eligible for exemption from further review and oversight (see B. Covered Activities above). The IRB, [or its designee](#), shall make the final determination as to whether a particular research activity involving human ~~participants-subjects~~ is exempt. For activities determined to be exempt, the IRB shall provide the investigator with a certification of exemption from continuing IRB oversight. [\[ed. 1-18\]](#)

E-3. The IRB, or its designee, shall provide guidance to investigators as to what activities do not constitute human subject research and, therefore, do not require IRB oversight. The IRB shall provide, as necessary, certification to investigators that research activity is not human subject research.

F. UNIVERSITY OF IDAHO IRB STANDARD OPERATING PROCEDURES. The administrative policies, guidelines, and procedures developed to implement this policy shall be set forth in the University of Idaho IRB Standard Operating Procedures, which shall be maintained and made available to investigators by the Office of Research Assurances. The University of Idaho IRB Standard Operating Procedures shall be reviewed and approved by the Signatory Official or designee in consultation with the IRB.

G. CONTACT INFORMATION. For further information regarding implementation of this policy, you may [visit the IRB website or contact the Office of Research Assurances at 208-885-6340 or irb@uidaho.edu or visit the IRB website](#). [\[ed. 1-18\]](#)

University of Idaho

POLICY COVER SHEET

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

Faculty/Staff Handbook [FSH] Addition Revision* Deletion* Emergency
 Minor Amendment
Chapter & Title: _____

Administrative Procedures Manual [APM] Addition Revision* Deletion* Emergency
 Minor Amendment
Chapter & Title: APM 95.21 – University Closures

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

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

Originator(s): Matt Dorschel/Mary George 8/18/17
 (Please see FSH 1460 C) Name Date
Telephone & Email: mdorschel@uidaho.edu 5-7209
maryg@uidaho.edu 5-5222

Policy Sponsor: (If different than originator.) Dan Ewart 8/18/17
 Name Date
Telephone & Email: dewart@uidaho.edu 5-2271

Reviewed by General Counsel ___Yes ___X___No Name & Date: _____

- I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.**
Updated university closure policies and consolidated or removed extraneous informational items on the current policy.
- II. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?
No fiscal impact is anticipated.
- III. Related Policies/Procedures:** Describe other policies or procedures existing that are related or similar to this proposed change.
FSH 4610 D.; FSH 3470; APM 40.28 (Doesn't specifically address closures, but maybe should?)
- IV. Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.

If not a minor amendment forward to: _____

Policy Coordinator
 Appr. & Date:

 [Office Use Only]

APM

F&A Appr.: _____
 [Office Use Only]

FSH

Appr. _____
 FC _____
 GFM _____
 Pres./Prov. _____
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95.21 -- University Closures

Rewrote in October 2017

General. In the event of a reported emergency or a weather-related emergency, or if an emergency situation appears imminent, the Executive Director of Public Safety & Security, or designee, may make a recommendation to the President, or designated senior officer, for taking the appropriate action. The action could include the cancellation of classes and/or the closure of a university facility. This policy covers all facilities, sites, and campuses located around the State occupied, or used by, University of Idaho (UI) employees.

A. Definitions

A-1. Essential Personnel. Essential personnel is defined as UI employees *designated* by unit administrators to be critical to the continuation of key operations and services in the event of a suspension of operations.

A-2 Consideration of Conditions:

A decision to close a university facility may be based on any, or all, of the following conditions:

- a. Weather information gathered from official weather reports and forecasts. In most cases, university facilities will not close for winter conditions unless there is a severe weather event or hazardous conditions.
- b. Decisions from city, county, regional, and state agencies.
- c. Local police and county sheriff's departments surrounding the affected campuses and facilities.
- d. Consultation with UI Public Safety and Security (PSS) and Facilities Services.

B. Policy. When conditions necessitate, a university facility may be closed or its opening delayed. The decision to close or delay opening a university facility is at the discretion of the President, or designee. In the event of a university closure, only designated essential personnel will be allowed to remain on campus, or occupy a closed university facility.

B-1. Supervisor Jurisdiction. Individual units do not have independent authority to make decisions concerning university facility closures, postponements, and/or cancellations; however, supervisors do have the authority to approve requests from employees who wish early release from work due to severe weather conditions. (See [FSH 3470](#))

B-2. Administrative Leave with Pay. When the President, or designee, makes a decision to close, cancel classes, or postpone opening any university facility, administrative leave for the affected employees will be determined pursuant to [FSH 3470](#) and [3710](#) as applicable.

B-3. Locations other than Moscow. The location executive officer, or designee, will make a recommendation, to the President, or designee, to close the facility(s). After approval, the executive officer, or designee, will contact PSS and provide information on the nature of the event, affected locations, recommended actions (closure, delayed opening), duration of action, and any other relevant details.

Exceptions:

- a. **Coeur d'Alene (CDA) Campus.** University of Idaho CDA facilities may be closed due to a North Idaho College (NIC) closure. In the event of a NIC closure, the CDA executive officer, or designee, will notify the President, or designee, and PSS.
- b. **Idaho Falls (IF) Campus.** University of IF facilities may be closed due to an ISU-Idaho Falls (ISU) closure. In the event of an ISU closure, the Idaho Falls executive officer, or designee, will notify the President, or designee, and PSS.
Co-located UI Offices. University of Idaho offices co-located with federal, state, or county offices may be closed due to a building closure. In the event of a closure, the UI executive officer at the co-located facility, or designee, will notify the President, or designee, and PSS.

B-4. Alerts and Notifications: In the event of a decision to close any university facility, faculty, staff, and students will be notified of the closure by the university's emergency alert system. Additional information related to the emergency and facility closure updates, and contact information, will be posted on the university's home page.

(<http://www.uidaho.edu>).

95.21 -- University Closures

~~Rewrote in August 2017~~~~March 14, 2016~~

~~**General.** In the event of a reported emergency or a weather-related emergency, or if an emergency situation appears imminent, the Executive Director of Public Safety & Security, or designee (~~Safety~~), may make a recommendation to the President, or designated senior officer, for taking the appropriate action (~~President~~). The action could include the cancellation of classes and/or the closure of a ~~University-university~~ facility. This policy covers all facilities, sites, ~~and~~ campuses located around the State that are occupied, or used by, University of Idaho (UI) employees; ~~However, see below BC-12 (d) 1. for exceptions of specific shared facilities. [rev. 10-13, 3-16]~~~~

A. Definitions

~~**A-1. Essential Personnel.** Essential pPersonnel is defined as ~~U~~UI employees designated by department ~~unit administrators~~ heads to be critical to the continuation of key operations and services in the event of a suspension of operations.~~

A-2 Consideration of Conditions:

~~A decision to close a ~~U~~university facility may be based on any, or all, of the following consideration of conditions:~~

- ~~a. Weather information gathered from official weather reports and forecasts. In most cases, university facilities will not close for winter conditions unless there is a severe weather event or hazardous conditions. [ed. 3-16]~~
- ~~b. Decisions from city, county, regional, and state agencies.~~
- ~~c. Local police and county sheriff's departments surrounding the affected campuses and facilities.~~
- ~~d. Consultation with UI Public Safety and Security (PSS) and Facilities Services.~~

~~**B. Definitions.** NOAA's National Weather Service urges individuals to keep abreast of local forecasts and warnings and familiarize themselves with key weather terminology. [B-add. 10-13]~~

~~**B-1. Blizzard Warning:** Issued for sustained or gusty winds of 35 mph or more, and falling or blowing snow creating visibilities at or below ¼ mile; these conditions should persist for at least three hours.~~

~~**B-2. Blowing Snow:** Wind driven snow that reduces visibility and causes significant drifting. Blowing snow may be snow that is falling and/or loose snow on the ground picked up by the wind.~~

~~**B-3. Dense Fog Advisory:** Issued when fog will reduce visibility to ¼ mile or less over a widespread area.~~

~~**B-4. Freezing Rain:** Rain that falls onto a surface with a temperature below freezing. This causes it to freeze to surfaces, such as trees, cars, and roads, forming a coating or glaze of ice. Even small accumulations of ice can cause a significant hazard.~~

~~**B-5. Sleet:** Rain drops that freeze into ice pellets before reaching the ground. Sleet usually bounces when hitting a surface and does not stick to objects. However, it can accumulate like snow and cause a hazard to motorists.~~

~~**B-6. Snow Flurries:** Light snow falling for short durations. No accumulation or light dusting is all that is expected.~~

~~**B-7. Snow Showers:** Snow falling at varying intensities for brief periods of time. Some accumulation is possible.~~

~~**B-8. Snow Squalls:** Brief, intense snow showers accompanied by strong, gusty winds. Accumulation may be significant.~~

~~**B-9. University Facility:** Includes all facilities, sites, or campuses located around the State that are occupied or used by University of Idaho employees. [add. 3-16]~~

~~**B-10. Wind Chill Advisory:** Issued when wind chill temperatures are expected to be a significant inconvenience to life with prolonged exposure, and, if caution is not exercised, could lead to hazardous exposure. [ren. 3-16]~~

~~**B-11. Wind Chill Warning:** Issued when wind chill temperatures are expected to be hazardous to life within several minutes of exposure. [ren. 3-16]~~

~~**B-12. Winter Storm Outlook:** Issued prior to a Winter Storm Watch. The Outlook is given when forecasters believe winter storm conditions are possible and are usually issued 3 to 5 days in advance of a winter storm. [ren. 3-16]~~

~~**B-13. Winter Storm Warning:** Issued when hazardous winter weather in the form of heavy snow, heavy freezing rain, or heavy sleet is imminent or occurring. Winter Storm Warnings are usually issued 12 to 24 hours before the event is expected to begin. [ren. 3-16]~~

~~**B-14. Winter Storm Watch:** Alerts the public to the possibility of a blizzard, heavy snow, heavy freezing rain, or heavy sleet. Winter Storm Watches are usually issued 12 to 48 hours before the beginning of a Winter Storm. [ren. 3-16]~~

~~**B-15. Winter Weather Advisories:** Issued for accumulations of snow, freezing rain, freezing drizzle, and sleet which will cause significant inconveniences and, if caution is not exercised, could lead to life-threatening situations. [ren. 3-16]~~

~~BC. Policy Procedures. [ren. 10-13]~~

~~B-1. Consideration of Conditions: [add. 10-13]~~

~~A decision to close a University Facility may be based on any or all of the following:
weather information gathered from the NWS Weekly Briefings, including official weather reports and forecasts
decisions from city, county, regional, and state agencies
local Police and County Sheriff's Departments surrounding the affected campuses and facilities
consultation with the Office of Public Safety and Security (OPSS) and Facilities Services.~~

~~In most cases, university facilities will not close for winter conditions unless there is a Level 1 emergency. [ed. 3-16]~~

~~(b) Below are the winter weather conditions classified by Safety based on NOAA's National Weather Service: [ed. 3-16]~~

~~(i) **Level 3 – Winter Storm Watch.** Alerts the public to the possibility of a blizzard, heavy snow, heavy freezing rain, or heavy sleet. Winter Storm Watches are usually issued 12 to 48 hours before the beginning of a Winter Storm.~~

~~(ii) **Level 2 – Winter Storm Warning.** Issued when hazardous winter weather in the form of heavy snow, heavy freezing rain, or heavy sleet is imminent or occurring. Winter Storm Warnings are usually issued 12 to 24 hours before the event is expected to begin.~~

~~(iii) **Level 1 – Winter Storm Advisory.** Issued for accumulations of snow, freezing rain, freezing drizzle, and sleet which will cause significant inconveniences and, if caution is not exercised, could lead to life-threatening situations.~~

~~(c) If a level 1 emergency is not declared, additional factors that will enter into the decision to close a University Facility are: hazardous road conditions; the presence of ice, snow, or both; amount of wind; presence of daylight; the weather forecast; severe cold; and, consultation with Facilities Services and OPSS. [ed. 3-16]~~

~~BC-21. Cancellations and Closures:~~

~~(a) **Authority.** When conditions necessitate, a University Facility may be ~~ordered~~ closed or ~~its~~ opening may be delayed for a period of time. The decision to close or delay opening a University Facility is at the discretion of the President, or designee. In the event of a~~

University closure, only designated essential personnel will be allowed to remain on campus, or occupy a closed university facility. see exceptions below in (ed). [rev. 3-16]

~~(i) In the event the President is not available to make a decision regarding closure, the authority lies with the Vice President for Infrastructure. [ed. 12-10, 3-16]~~

~~(ii) In the event neither the President nor the Vice President for Infrastructure is available to make a decision regarding closure, the authority lies with the Provost & Executive Vice President. [ed. 12-10, rev. 3-16]~~

B-1. (b) Supervisor Jurisdiction. Individual units do not have independent authority to make decisions concerning University Facility closures, postponements, and/or cancellations; however, supervisors do have the authority to approve requests from employees who wish early release from work due to severe weather conditions. (See FSH 3470) ~~[ed. 10-13, ren. & ed. 3-16]~~

B-2. (c) Administrative Leave with Pay. When the President, or designee, makes a decision to close, cancel classes, or postpone opening any University Facility, administrative leave for the affected employees may be authorized to use Administrative Leave with pay (see FSH 3710) will be determined pursuant to FSH 3470 and 3710 as applicable. [ren. & ed. 3-16]

B-3. (d) Locations other than Moscow. The location executive officer, ~~director, or manager,~~ or designee, will make a recommendation, to the President, or designee, to close the facility(s) ~~they oversee to the President.~~ After approval, the executive officer, ~~director, manager,~~ or designee, will contact OPSS Safety and provides the following information on the nature of the event, affected locations, recommended actions (closure, delayed opening), duration of action, and any other relevant details. : [ren. & rev. 3-16]

- Nature of the event
- Affected locations
- Actions recommended (closed, delayed)
- Length of action (when the University is expected to return to normal operations)
- Other relevant details

1. Exceptions:

~~a. i) Coeur d'Alene (CDA) Campus. Due to shared facilities,~~ University of Idaho CDA ~~facilities/classrooms~~ may be closed due to a North Idaho College (NIC) closure. In the event of a NIC closure, the CDA ~~eExecutive oOfficer,~~ or designee, will notify the President, or designee, and OPSS Safety.

~~a. ii) Idaho Falls (IF) Campus. University of Idaho Falls facilities~~ Executive Officer (or Associate Registrar in the absence of the Executive Officer may be closed due to an ISU-Idaho Falls (ISU) closure.) will consult with the Vice Provost for ISU-Idaho Falls. In the event of an ISU-Idaho Falls closure, the Idaho Falls ~~eExecutive officer,~~ or designee, will notify the President, or designee, and OPSS Safety.

~~b-c. Co-Located UI Offices. University of Idaho offices co-located with federal, state, or county offices may be closed due to a building closure. In the event of a closure, the UI executive officer at the co-located facility,~~ or designee, will notify the President, or designee, and PSS.

C-2. Consideration of Conditions: [add. 10-13]

~~(a) The Director, Emergency Management & Security Systems, or designee (Emergency Management), participates in the National Weather Service (NWS) Spokane Weekly Weather Briefing. If significant weather is forecast, then additional briefings may be scheduled by the NWS. The NWS office in Spokane serves Latah County and seven others in North Idaho. Emergency Management works closely with Latah County Disaster Services, the Idaho State Bureau of Homeland Security Field~~

~~Representative for Latah County, Whitman County, Washington and Washington State University. [rev. 3-16]~~

- ~~(b) A decision to close a University Facility may be based on weather information gathered from the NWS Weekly Briefings including official weather reports and forecasts and decisions from county, regional, and state agencies, the North Latah County Highway District, Moscow Police and Latah County Sheriff's Departments surrounding the main campus, the City of Moscow, and consultation with Safety, and Facilities Services. In most cases, the University Facility will not close for winter conditions unless there is a Level 1 emergency. [ed. 3-16]~~
- ~~(c) Below are the winter weather conditions classified by Safety based on NOAA's National Weather Service: [ed. 3-16]~~
 - ~~(i) **Level 3 – Winter Storm Watch.** Alerts the public to the possibility of a blizzard, heavy snow, heavy freezing rain, or heavy sleet. Winter Storm Watches are usually issued 12 to 48 hours before the beginning of a Winter Storm.~~
 - ~~(ii) **Level 2 – Winter Storm Warning.** Issued when hazardous winter weather in the form of heavy snow, heavy freezing rain, or heavy sleet is imminent or occurring. Winter Storm Warnings are usually issued 12 to 24 hours before the event is expected to begin.~~
 - ~~(iii) **Level 1 – Winter Storm Advisory.** Issued for accumulations of snow, freezing rain, freezing drizzle, and sleet which will cause significant inconveniences and, if caution is not exercised, could lead to life-threatening situations.~~
- ~~(d) If a level 1 emergency is not declared, additional factors that will enter into the decision to close a University Facility are: hazardous road conditions; the presence of ice, snow, or both; amount of wind; presence of daylight; the weather forecast; severe cold; and, consultation with Facilities Services and Safety. [ed. 3-16]~~

BC-34. Alerts and Notifications: ~~[add. 10-13]~~

- ~~(a) In the event of severe weather, the President's decision to close any University Facility, faculty, staff, and students will be notified of the closure by email, phone, and/or text message sent to subscribers of the University's Vandal Alert (emergency alert system); and Additional information related to the emergency and facility closure updates and contact information will be posted on the University's University home page. (<http://www.uidaho.edu/>), website. <http://www.uidaho.edu/>. The status will also be included on the University Emergency Updates line 208-885-1010. [ed. 3-16]~~
- ~~(b) Safety will notify University Communications & Marketing (Communications) no later than 5:30 a.m. MST. This triggers Communications protocols to notify media outlets, send email, and post web announcements and text messages by 6:30 a.m. on the day of closing. In the event of an evening closure, Communications will attempt to notify the campus and the media by 4:00 p.m. [rev. 3-16]~~
- ~~(bc) All university community members are encouraged to call the University Emergency Updates line 208-885-1010 to confirm whether the University Facility is closed or open. Employees and students should verify media announcements by consulting multiple official sources. [ed. 3-16]~~
- ~~(cd) If the University Facility is open but an individual faculty member cancels class, the faculty member will make a reasonable effort to notify students enrolled in the class. All departments are encouraged to create and follow their own telephone contact trees in the event of a cancellation or closure. [ed. 3-16]~~

~~C. Essential Personnel. Essential Personnel is defined as UI employees designated by department heads to be critical to the continuation of key operations and services in the event of a suspension of operations. In the event of a University closure, only designated essential personnel will be allowed to remain on campus or occupy a university facility. Essential personnel will be identified by their department or college and a list of names and positions will be submitted to Human Resources. All University departments/units will maintain an updated list of designated essential personnel.~~

~~D. Contact Information:
The Office of Public Safety and Security
875 Perimeter Drive, MS 2285
Moscow, ID 83844-2285
208-885-2254
Fax: 208-885-7001~~



POLICY COVER SHEET

(See *Faculty Staff Handbook 1460* for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

Administrative Procedures Manual [APM] Addition Revision* Deletion*

Emergency

Minor Amendment

Chapter & Title: APM 35.91 Bomb Threat Procedures

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

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

Originator(s):

Matt Dorschel, Mary George

8/30/17

(Please see FSH 1460 C)

Name

Date

Telephone & Email:

5-7209 mdorschel@uidaho.edu

5-5222 maryg@uidaho.edu

Policy Sponsor: (If different than originator.)

Dan Ewart

8/30/17

Name

Date

Telephone & Email:

5-2271 dewart@uidaho.edu

Reviewed by General Counsel ___Yes ___X___No Name & Date:

(Mary spoke briefly about this deletion w/ Kent Nelson on 8/23/17, who indicated that he agreed with us that bomb-threat procedures should not be in the APM, but Kent has not reviewed this specific policy section or vetted this request for this APM section deletion.)

This request has been vetted by Matt Dorschel, Executive Director Public Safety and Security and Dan Ewart, Vice President for Infrastructure.

At the January 30th Faculty Senate meeting, it was requested that APM 35.91 not be removed from the APM entirely, but to link to the appropriate website where Bomb Threat information is located.

I. Policy/Procedure Statement: Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.

APM 35.91 describes bomb threat procedures in the case of an incident. There is no "policy" language in this section. The procedures are covered on Public Safety's website, which come up when the term "bomb threat" is entered into the university's search engine. We believe these should not be in the APM.

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

There is no fiscal impact apparent with this change.

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

We could find no other policies related to this one. When the term "bomb threat" is entered into the university's search engine, the following web site comes up. "In Case of Emergency" <https://www.uidaho.edu/infrastructure/pss/emergency-management/in-case-of-emergency> . We feel this is a more appropriate place to keep emergency procedure information.

35.91 -- Bomb Threat Procedures

Last updated August 18, 2005

For the recommended response in the event of a bomb threat see: Public Safety and Security

~~A. **General.** Bomb threats usually occur by telephone. Be Office (208) 285-1171. Obtain and review the Bomb Threat Checklist. Keep this checklist near or under the phone, where it can be quickly located. Copies of this~~

~~B. **Process.** An employee receiving a bomb threat informs the police. The police inform university personnel who determine the appropriate response. Representatives from Facilities Management, Administrative Affairs and Environmental Health and Safety, and the administrator of the department occupying the threatened area participate in development of the response.~~

~~C. **Procedure.** If you receive a bomb threat, remain calm and do the following.~~

~~C-1. **Check the exact time.**~~

~~C-2. **Listen carefully to the caller's voice.**~~

~~C-3. **Write down the caller's exact words.**~~

~~C-4. **Use the Bomb Threat Checklist.**~~

~~C-5. **Ask questions, particularly about:**~~

- ~~i) location of device,~~
- ~~ii) time of detonation, and~~
- ~~iii) type of device.~~

~~C-6. **Listen for background noises.**~~

~~C-7. **Note the time the caller hangs up.**~~

~~C-8. **Hang up the phone.** Immediately, before the next call comes in:~~

- ~~i) Pick up the phone and dial *57.~~
- ~~ii) Listen and write down what the recorded message says.~~
- ~~iii) Hang up and pick up the phone and dial *69.~~
- ~~iv) Listen and write down what the recorded message says.~~

~~C-9. **Call the Police Department (9-911) and report:**~~

- ~~i) Your name.~~
- ~~ii) Location and telephone number you are calling from.~~
- ~~iii) The situation (the fact that you have received a bomb threat).~~
- ~~iv) Location of the device, if known.~~
- ~~v) Time it is set to detonate, if known.~~

~~vi) Type of device, if known.~~

~~vii) Exact time you received the call.~~

~~viii) The information received after you dialed *57 and *69.~~

~~ix) Any other information on the Bomb Threat Checklist.~~

~~C-10. Contact the Administrative Affairs Office at (208) 885-7177 or the Environmental Health and Safety Office at (208) 885-6524. C-11. Inform your supervisor. C-12. Take further action as instructed.~~

~~D. Information. For further information, please contact the Administrative Affairs Office at (208) 885-7177, admaff@uidaho.edu.~~



POLICY COVER SHEET

(See *Faculty Staff Handbook 1460* for instructions at UI policy website:

www.webs.uidaho.edu/uipolicy)

[3/09]

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

Chapter & Title: APM 45.01 – Animal Care and Use

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

*Note: If revision/deletion request original document from apm@uidaho.edu or fsh@uidaho.edu, all changes must be made using “track changes.”

Originator(s): Audrey Harris 01/02/2018

(Please see FSH 1460 C)

Telephone & Email:

Name Audrey Harris Date 01/02/2018
208-885-4054
ajharris@uidaho.edu

Policy Sponsor: (If different than originator.)

Telephone & Email:

janetenelson@uidaho.edu

Name Janet E. Nelson Date 01/03/2018
208-885-6689

Reviewed by General Counsel X Yes No Name & Date: Casey Inge 01/02/2018

- I. **Policy/Procedure Statement:** Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.
 Revisions have been made to clarify how the University defines “personnel”, as well as changes to the occupational health program; additionally, removal of the Caine Center exemption, and inclusion of an exemption for general veterinary care and treatment. These changes have been made to be in accordance with the *Public Health Service Policy on the Humane Care and Use of Laboratory Animals*, which the University maintains an Assurance with. By following this policy, we are able to attain grant funding from DHHS, NIH, and NSF to work with animals.
- II. **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?
 The revision allows us to maintain our DHHS, NIH, and NSF grant funding for working with animals. The surveillance cost is ~\$35/person, and currently there are under 50 people that need surveillance (~\$1750). The cost associated with surveillance is born at the departmental level.
- III. **Related Policies/Procedures:** Describe other policies or procedures existing that are related or similar to this proposed change. N/A
- IV. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.
We need this policy to be effective no later than 1/31/18, as our PHS Assurance Conditional Approval ends on 1/31/18 and the University needs to address these issues to maintain the Assurance.

FS-18-037**Chapter 45.01 -- Animal Care and Use**~~January 7~~ ~~January XX, 2018~~

***Preamble:** This policy sets forth the policy and procedures for the University of Idaho to ensure compliance with federal and state laws, statutes and regulations regarding the care and use of animals in research, teaching, demonstrations, and testing.*

Contents:

- A. Definitions
- B. Authority
- C. Components
- D. Animal Procurement and Care
- E. Occupational Health
- F. Exceptions
- G. Contact Information

A. Definitions.

A-1. Animal. An animal is any vertebrate creature.

A-2. Animal Activity. Animal activity means teaching, research, demonstration or testing procedures using live or dead animals that are performed on University owned property or engaged in by University personnel. University Owned Property excludes land and facilities leased to third parties for commercial enterprise purposes.

A-3. Personnel. Personnel includes all University employees, students, and volunteers working on University sanctioned activities [\(see E-2 and E-3\)](#). [\[ed. 1-18\]](#)

B. Authority.

B-1. The University maintains policies and procedures to ensure compliance with the Animal Welfare Act (Title 7 CFR, Chapter 54), the Health Research Extension Act of 1985 (Public Law 99-158), the U.S. Government Principles for the Utilization and Care of Vertebrate Animals in Testing, Research and Training, [the Public Health Service Policy on Humane Care and Use of Laboratory Animals](#), and Title 25 (Animals) of the Idaho Statutes. [\[ed. 1-18\]](#)

B-2. All personnel engaged in animal activities must comply with this policy.

C. Components.

C-1. Institutional Official.

a. The Institutional Official is appointed in writing by the President. The Institutional Official is authorized on behalf of the President to ensure that all programmatic and regulatory requirements of animal activities are met.

C-2. Institutional Animal Care and Use Committee (see FSH 1640.12).

- a. The University's institutional Animal Care and Use Committee (IACUC) is granted all rights and responsibilities as defined under federal, state and local law by the President.
- b. The IACUC's responsibilities include, but are not limited to:
- (1) Reviewing, at least once every six months, the University's program for the humane care and use of animals and the status of the institution's animal facilities, including satellite facilities, laboratories and areas where survival surgery is conducted.
 - (2) Reviewing and approving, requiring modifications to secure approval, or withholding approval of animal activities.
 - (3) Development of procedures and guidelines based on Federal, State, and University policies.
 - (4) Investigating reported concerns regarding the care and use of animals within the University.
 - (5) Advising the Institutional Official regarding all aspects of the University of Idaho animal care and use program.
- c. Only procedures reviewed and approved by the IACUC may be conducted. IACUC approved activities may be subject to further review and approval by university officials; however, those officials may not approve any animal activity if it has not been approved by the IACUC.

C-3. Attending Veterinarian

- a. The Attending Veterinarian (AV) has direct or delegated authority for animal activities in the University. The AV is responsible for oversight of animal disease control and prevention, euthanasia, the appropriate use of pain relieving drugs, and other aspects of veterinary care.
- b. The AV is an ex officio member of the IACUC.
- c. The AV has appropriate authority to ensure the provision of adequate veterinary care and oversee the adequacy of other aspects of animal care and use.

D. Animal Procurement, Care and Disposition.

D-1. Procurement

- a. Animals may not be procured for, or transferred to, personnel who do not have IACUC approval.
- b. Animal procurement and disposition must be in accordance with Purchasing Services (APM 60.44) and IACUC policies and procedures.

D-2. Housing, Care and Disposition.

- a. The housing and care of animals must be in accordance with IACUC policies and procedures.
- b. Animals must be disposed in accordance with federal, state and IACUC policies and procedures.

E. Occupational Health

E-1. The University Animal Care and Use Occupational Health Program ~~An occupational health and safety program~~ is provided through the Safety Office, in coordination with the Office of Research Assurances. The program consists of three elements: 1) submission of a completed consent form 2) submission of a completed medical history screening form and satisfaction of any other requirements of a University approved medical professional, and 3) completion of training deemed appropriate for the risks to which individuals may be exposed as part of their animal work, which will include, at a minimum provision of information about zoonotic diseases, physical hazards, and other hazards associated with an individual's animal care responsibilities. [rev. 1-18]

E-2. ~~Paid personnel participating in animal activities may not be denied participation in the occupational health and safety program.~~ For purposes of compliance with applicable federal law and University's Public Health Service-approved assurance, the University considers the following to be personnel who must participate in all three of the above-described elements of the University Animal Care and Use Occupational Health Program: [rev. 1-18]

a. All University employees or individuals (including faculty, staff, and students) who are listed as internal personnel on active IACUC protocols and who come into contact with live or dead animals, animal tissues, or animal excrement as a result of their normal duties.

b. Animal facility staff who come into contact with live or dead animals, animal tissues, or animal excrement as a result of their normal duties, even if not listed on an active IACUC protocol.

E-3. The University considers the following categories to be individuals who must participate in the training element of the

University Animal Care and Use Occupational Health Program, but may choose to voluntarily participate in the other elements of the program: [rev. 1-18]

- a. Students enrolled in courses with animal exposure, volunteers, and other individuals not described in section E-2 who have significant animal contact for their University related duties (e.g. facilities personnel working in animal facilities and contractors with long term projects remodeling animal facilities). As necessary, these individuals are provided appropriate personal protective equipment, such as equipment provided to those individuals described in E-3 to mitigate risks associated with their animal work.
- b. Individuals listed on active University IACUC protocols, who are neither University employees nor individuals listed as internal personnel on a University IACUC protocol. Such individuals may provide documentation, or allow the IACUC office to request documentation of, participation in their home institution's occupational health program and its provision of appropriate training, in satisfaction of the requirements under this section. If no such program exists, or no documentation is available, such individuals are treated as described in E-3.a.

F. Exceptions

F-1. ~~Veterinary Care Teaching Curriculum:~~

- a. Standard veterinary care performed by the campus veterinarian or another veterinarian listed on an approved IACUC protocol does not constitute teaching, research, demonstration or testing procedures. These activities are part of the veterinary care program, and as such not regulated by this policy. [rev. 1-18]
~~Veterinary medical care provided by veterinarians and veterinary staff and students under veterinary supervision at the Caine Veterinary Teaching Center to client-owned animals is not regulated by this policy.~~

F-2. Authority to Grant Exceptions.

- a. Exceptions to this policy may only be granted by the Institutional Official for Animal Care and Use.

G. Contact Information. For further information regarding implementation of this policy see the Institutional Animal Care and Use Committee website or contact the committee (IACUC@uidaho.edu or +208-885-8958/258). [ed. 1-18]

University of Idaho

POLICY COVER SHEET

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

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

Chapter & Title: _____

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

Chapter & Title: APM 50.16 Criminal Background Checks

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

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

Originator(s): _____
(Please see FSH 1460 C) Brandi Terwilliger June 28, 2017
Name Date
Telephone & Email: 885-3008 brandit@uidaho.edu

Policy Sponsor: (If different than originator.) _____
Name Date Brian Foisy March 6, 2018 *Brian Foisy* 3-7-18
Telephone & Email: 885-6174 brianfoisy@uidaho.edu

Reviewed by General Counsel Yes No Name & Date: Debra Ellers/General Counsel 6/26/17 and Kim Ryter February 2018 and March 6, 2018.

- I. **Policy/Procedure Statement:** Briefly explain the purpose/reason of proposed addition, revision, and/or deletion to the Faculty/Staff Handbook or the Administrative Procedures Manual.
Requesting a CBC be completed for all employees that have contact with minors. Currently some of the larger units on campus already complete a CBC for all employees hired regardless of employment type. Further recommending changes to allow for a break in service of one year that would not require a CBC be re-completed as long as a CBC is on-file with appropriate results for the position the employee is considered for. This is anticipated to reduce the number of background checks currently requested under the 13 month rule. Further clarification regarding disqualifications based on convictions has been made to meet concerns of general counsel. Highlighted summary of changes is attached, although this is a substantial rewrite that is not redlined, the intent of the changes are in the summary.
- II. **Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?
We anticipate a fairly stable number of background checks to be completed in comparison with the current numbers even in light of the proposed changes. It is possible that the removal of the 13 month requirement will actually reduce/ the amount of background checks necessary even with the language inclusion for every employee who has contact with minors. This is due to the current department requirements and recommendations that CBCs be completed for those employees.
- III. **Related Policies/Procedures:** Describe other policies or procedures existing that are related or similar to this proposed change.
- IV. **Effective Date:** This policy shall be effective on July 1, or January 1, whichever arrives first after final approval (see FSH 1460 D) unless otherwise specified in the policy.
ASAP

If not a minor amendment forward to: _____

Policy Coordinator Appr. & Date: _____ [Office Use Only]
APM F&A Appr.: _____ [Office Use Only]

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

Track # _____ Date Rec.: _____ Posted: t-sheet _____ h/c _____ web _____ Register: _____ (Office Use Only)
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Summary of Changes for Criminal Background Check Procedures – APM 50.16 – March 6, 2018

The policy has been substantially re-written and does not show a redlined version. Below is a summary of changes we are trying to accomplish, although the proposed policy has been reorganized and rewritten to be easier to understand.

A. General:

- Requesting a criminal background check (CBC) be completed for all employees including temporary help; student employees (ST, SF) and volunteers if their work involves contact with minors or safety-sensitive functions. Questions regarding specific positions could be asked of HR to remove the need to specifically list every position in the APM. Requiring a CBC for all employees is the “norm” amongst Idaho Universities and recommended throughout HR profession. Recommending student and volunteer positions get a CBC if contact with minors or safety sensitive functions. The term “significant” is very confusing to departments and HR has been asked to provide clear guidance on what it means to have significant contact. Removing that terminology.
 - Note: Some departments currently require background checks for all employees. Those departments currently include: Facilities, Auxiliary Services, College of Natural Resources, University Research. Due to the security safety sensitive nature of the ITS positions, the large majority of the ITS positions also receive a CBC.
- Adjusted language to remove need for an employee who is changing positions due to a transfer, promotion, etc. (exception of general faculty) if the employee has previously had one completed with the UI.

B-2. Required Authorization for Criminal Background Check:

- Updated language that referenced specific vendor names. Keeping the information less specific will reduce the need for future updates due to change in vendors.

B.4. Prior Criminal Background Check Qualifies

- Requesting to update the requirements for ongoing employees who may have a break in service that would be no longer than one semester time period. This would generally apply to the temporary faculty that are appointed for specific terms and reappointed each year, which currently triggers a CBC based on the 13 month rule resulting in a large number of CBC requests. The change in the language would still require a CBC if there is a qualified break in service, but would eliminate the need for unnecessary CBC requests and meet the requests of the departments on this particular item.

B.7. J-1 Scholars and Exceptions

- This section was added to document the current process in regard to J-1 Scholars. Due to the background check process with Department of Homeland Security, a UI background check policy is waived. This may also be true of other international employees.

D. Results of Criminal Background Checks:

- Updated language to reflect the process and potential participants in the review if results of a CBC require further discussion and input prior to a final decision.

D-1. Disqualifying Employment Convictions:

- Language changed as a result of concerns from General Counsel surrounding automatic exclusions. The proposed language more accurately reflects the review and assessment process in connection with the conviction, time period and job applied for.

50.16 - Criminal Background Check Procedures

Updated: February 20, 2018

A. General. Criminal background checks confirm an individual's fitness relative to the requirements of their employment or volunteer service at the University of Idaho (UI).

UI requires criminal background checks for all non-student positions, graduate student appointees, postdoctoral scholars, and temporary help positions (T1, T4, etc.). UI also requires criminal background checks for student positions (ST/SF/SI), interns, and volunteers if the work will involve contact with minors or the hiring authority determines the work to be security-sensitive. This list is not intended to be exhaustive. Questions on background check requirements should be directed to Human Resources (HR). *[rev. 3-18]*

The requirements of this procedure also apply to existing employees being considered for changes in position, transfers, and promotions. However, if an existing employee has a previous background check on file with UI, and that background check is applicable to the change in position, transfer, or promotion, a new background check will not be required. A background check is not required for general faculty promotions in rank pursuant to FSH 3560 where the faculty promotion does not involve an internal or external search. *[rev. 11-12, 12-14, 3-18]*

Non-compliance with this procedure will be communicated to the Office of General Counsel and the appropriate vice president.

B. Procedures for Criminal Background Checks. The UI will conduct criminal background checks on the recommended candidate(s) for all positions listed in Section A. Hiring authorities must request criminal background checks for student positions (ST/SF/SI), interns, and volunteers if the work will involve contact with minors or the hiring authority determines the work to be security-sensitive. Security-sensitive work may involve access to restricted facilities, resources, finances, data, confidential information, or research (as determined by the hiring authority). *[rev. 3-18]*

B-1. Required Notification of Criminal Background Checks. All advertisements, notices, and postings for

positions listed in Section A must state: "This position is subject to the successful completion of a criminal background check." No candidate for a position listed in Section A shall commence employment until a satisfactory criminal background check has been received by HR. Any offers associated with these positions must be made contingent on a satisfactory criminal background check. *[rev. 3-18]*

For student (ST/SF/SI), intern, and volunteer positions for which a search was not necessary or was waived, the hiring authority will provide the candidate/volunteer with written notice of the criminal background check requirement prior to offering the position. The candidate/volunteer can only be offered the position contingent on a satisfactory criminal background check. The candidate/volunteer must not begin work or begin the new responsibilities until a satisfactory criminal background check has been received by HR. *[add. 10-07, ed. 11-12, rev. 3-18]*

B-2. Required Authorization for Criminal Background Check. If a search runs through the UI online recruitment system, the criminal background check is initiated during the hiring proposal process. For hires outside the online recruitment system, the hiring unit must submit a Department Request for Criminal Background Check via the on-line request for background check. The request shall include the following information: candidate name and email address, position title/action number, budget number, and unit. The candidate will receive an email to initiate the background check. The candidate must submit the required personal information at a secure website and electronically sign the Disclosure and Authorization forms. The candidate will then receive a summary of rights under the Fair Credit Reporting Act (FCRA), and the background check will begin. The third party consumer reporting agency will provide the background check results to HR. HR will review the background check' results to determine whether the candidate meets the criteria for the position. HR will notify the hiring authority of the results of the background check. Costs associated with criminal background checks will be charged to the hiring unit. *[rev. 11-12, 12-14, 3-18]*

B-3. Contingent Offer of Employment. If

circumstances require that a job offer be made prior to the completion of the background check, the hiring unit must use the approved contingent offer letter template found on the HR website, which includes the following language: "This offer is contingent upon the completion of a satisfactory criminal background investigation and other pre-employment requirements." Although a contingent offer may be made, the employee may not begin work in any capacity, including attending orientations for the unit or University, without a completed satisfactory background investigation and other pre-employment paperwork. *[rev. 3-18]*

B-4. Prior Criminal Background Check Qualifies. If

a candidate is being rehired or reappointed into the same position, has previously met the background check requirement for that position, and the break in service is less than one year, the background check requirement may be waived at the discretion of the senior HR executive, or designee. *[rev. 10-07, 11-12, 3-18]*

B-5. Day Care Centers Must Comply with I.C. § 39-

1105. This procedure does not apply to employees or volunteers at day care centers who have direct contact with children. These individuals are subject to the criminal history check procedures set forth in I.C. § 39-1105, which are conducted by the day care centers in conjunction with the appropriate state agencies. *[ed. 3-18]*

B-6. UI College of Agricultural and Life Sciences

Unique Requirements. The University's College of Agricultural and Life Sciences (CALs) has implemented additional criminal background check procedures for volunteers who have significant contact with minors. Students and volunteers of CALs may be subject to additional screening requirements pursuant to those procedures. *[rev. 10-07, 3-18 ed. 11-12]*

B-7. J-1 Scholars and Exceptions. J-1 scholars are visiting temporary workers here by invitation to perform specialized work. The Department of Homeland Security performs background checks on all J-1 scholars. Therefore, these temporary workers are exempt from

the requirements of this procedure. Senior HR executive, or designee, may provide exemptions for other employees in similar situations. *[add. 3-18]*

C. Procedures for Criminal Background Checks for Security Purposes. If senior HR executive, or designee has reasonable grounds to believe that an employee or volunteer represents an immediate threat to the safety and security of the UI community, HR may conduct a criminal background check through the Idaho State Police or other appropriate agency. The written authorization of the employee to conduct this check will be obtained in most cases. However, in certain circumstances, it may not be possible or feasible to obtain written authorization. In those cases, a limited background check may be performed through the Idaho State Police or other appropriate agency. Any information obtained through this process will be used solely for the purpose of maintaining the safety and security of the UI community, and will be shared strictly on a "need to know" basis. *[ed. 11-12, rev. 3-18]*

D. Results of Criminal Background Checks.

Applicants New to UI: If the criminal background check identifies convictions, with the exception of D-1 below, determinations of fitness for employment will be made by Human Resources in consultation with appropriate hiring authority when applicable based on the nature and details of the conviction, date of the conviction, how the crime relates to the job in question, evidence of rehabilitation, and other relevant factors. *[rev. 3-18]*

Current Employees: When a current employee with convictions is considered for changes in position, transfers, or promotions, the senior HR executive, or designee, in consultation with the appropriate hiring authority, will determine whether to exclude the candidate. *[rev. 3-18]*

If, pursuant to this procedure, a criminal background check is conducted on a current employee and an event is uncovered that was not previously considered, UI may initiate personnel action against the employee. In these cases, the senior HR executive, or designee, in consultation with the Risk Management Officer and other applicable personnel, will determine what action, if any, should be taken. The senior HR

executive, or designee may ask the employee for a written explanation of the offense(s). *[rev. 11-12, 3-18]*

D-1. Disqualifying Employment Convictions. A record of any of the following convictions will generally result in automatic exclusion of the candidate or termination of a current employee: *[rev. 3-18]*

- i) Conviction of any crime against a child or vulnerable adult (including but not limited to child abuse, abandonment, neglect, and statutory rape);
- ii) Conviction of any crime of violence;
- iii) Conviction of any crime of a sexual nature, including but not limited to lewd conduct, sexual battery, sexual exploitation, rape, and statutory rape;
- iv) Conviction of any crime involving unlawful use or possession of a weapon or firearm. *[ed. 11-12]*

D-2. "Conviction" Defined. For purposes of this procedure, the term "conviction" will be interpreted broadly and will include pleas of no contest, deferred adjudications, and similar dispositions. If a criminal history report indicates pending criminal charges that, if a conviction resulted, would result in exclusion from employment, the candidate will be excluded from employment until final disposition of the charges. *[ed. 3-18]*

E. Communication of Results and Employee Rights

E-1. Consumer Reporting Agency. Procedures when the report has been provided by a consumer reporting agency (e.g., Verified Credentials). *[ed. 12-14, 3-18]*

- i) If a determination has been made that a candidate should be excluded, or that adverse action should be taken against a current employee, based on an unsatisfactory criminal background check, HR shall, prior to taking any adverse action against the individual, provide a Pre-Adverse Action Disclosure that (1) notifies the individual in writing of the unsatisfactory result,

- (2) provides the candidate or employee with a copy of the report, and (3) provides the candidate or employee with a written description of his or her rights under the Fair Credit Reporting Act.
- ii) After the adverse action has been taken, HR will provide the candidate with an Adverse Action Notice, which includes (1) the name, address, and phone number of the consumer reporting agency that supplied the report, (2) a statement that the consumer reporting agency that supplied the report did not make the decision regarding the adverse action and cannot provide the reasons for the adverse action, and (3) a notice of the individual's right to dispute the accuracy or completeness of any information the agency has furnished, and his or her right to an additional free consumer report from the agency upon request within 60 days.
- iii) A candidate or employee who has received an initial unsatisfactory result and who has sought correction of his or her report under the Fair Credit Reporting Act is not eligible for a listed position until the senior HR executive, or designee has confirmed the correction and determined that the result is satisfactory. The UI has no obligation to hold a position open to allow a candidate or employee to correct his or her report. *[ed. 11-12, 3-18]*

E-2. Government Reporting Agency. Procedures when the report has been provided by a governmental agency (e.g., Idaho State Police).

- i) If a decision has been made to exclude a candidate, or initiate action against a current employee, based on an unsatisfactory background check, HR shall (1) notify the individual in writing of the unsatisfactory result, and (2) provide the candidate or employee with a copy of the report.

F. Record Keeping. Criminal history information collected under this procedure shall be kept electronically with the third party vendor or in accordance with record retention requirements (see APM [Chapter 65](#)). The information will be used solely for the purpose of maintaining the safety and security of the UI community and will be disclosed only as permitted or required by law. *[rev. 10-07, 11-12, 3-18]*

50.16 - Criminal Background Check Procedures

~~December 2014~~

Updated: February 20, 2018

A. General. Criminal background checks confirm an individual's suitability/fitness relative to the requirements of their employment or volunteer service at the University of Idaho (UI).

~~The UI requires criminal background checks on the successful candidate(s) for each faculty (including temporary faculty) and staff position recruitment, internal or external. Criminal background checks are also required prior to hiring a all non-student positions, graduate student appointees assistant, teaching assistant or research assistant, postdoctoral scholars, and temporary help positions (T1, T4, etc.). UI also requires criminal background checks for non-student hourly employees (temporaries), student workers, positions (ST/SF/SI), interns, and volunteers if their/the work will involve significant contact with minors and also recommends checks for individuals considered for positions whereor the hiring authority determines the work to be security-sensitive. UI will conduct criminal This list is not intended to be exhaustive. Questions on background check requirements should be directed to Human Resources (HR). [rev. 3-18]~~

~~The requirements of this procedure also apply to existing employees being considered for changes in position, transfers, and promotions. However, if an existing employee has a previous background checks on current employees ascheck on file with UI, and that background check is applicable to the change in position, transfer, or promotion, a new background check will not be required. A background check is not required for reclassifications and promotions (this does not apply to general faculty promotions in rank pursuant to FSH 3560 where the faculty promotion does not involve an internal or external search. Non-compliance of this policy will be communicated to the Office of General Counsel and the related Vice-President. [rev. 11-12, 12-14, 3-18]~~

~~Non-compliance with this procedure will be communicated to the Office of General Counsel and the appropriate vice president.~~

B. Procedures for Criminal Background Checks. The UI University will conduct criminal background checks on the

recommended candidate(s) for all positions listed in Section A. Hiring authorities must request criminal background checks for student positions (ST/SF/SI), interns, and volunteers if the work will involve contact with minors or the hiring authority determines the work to be security-sensitive. Security-sensitive work may involve access to restricted facilities, resources, finances, data, confidential information, or research (as determined by the hiring authority). [rev. 3-18]

B-1. Required Notification of Criminal Background Checks. All advertisements, notices, and postings for positions listed ~~as requiring a background check within Section A~~ must state: "This position is subject to the successful completion of a criminal background check." ~~Successful candidates for these positions will be offered the position contingent on a satisfactory criminal background check.~~ No candidate for a position ~~requiring a background check~~ listed in Section A shall commence employment until a satisfactory criminal background check has been received ~~by HR. Any offers associated with these positions must be made contingent on a satisfactory criminal background check.~~ [rev. 3-18]

For student (ST/SF/SI), intern, and volunteer positions ~~and other positions~~ for which a search was not necessary or was waived, the hiring authority will ~~notify the individual in writing~~ provide the candidate/volunteer with written notice of the criminal ~~history~~ background check requirement prior to offering the position. The candidate/volunteer can only be offered the position contingent on a satisfactory criminal background check. The candidate/volunteer must not begin work or begin the new responsibilities until a satisfactory results are criminal background check has been received by ~~Human Resources.~~ HR. [add. 10-07, ed. 11-12, rev. 3-18]

B-2. Required Authorization for Criminal Background Check. If a search ~~is run~~ runs through ~~PeopleAdmin~~ the UI online recruitment system, the criminal background check is initiated during the hiring proposal process. For hires outside ~~of PeopleAdmin,~~ contact HR by email at crimcheck@uidaho.edu to the online recruitment system, the hiring unit must submit a Department Request for Criminal Background Check

via the on-line request ~~af~~or background check~~on~~. The request shall include the final~~following~~ information: candidate~~(s) and include:~~ candidate~~(s)~~ name, and email address, position title/~~position~~action number, budget number, and job vacancy announcement number. HireRight will contact the candidate(s) via~~unit~~. The candidate will receive an email to initiate the background check. The candidate ~~submits his or her~~must submit the required personal information at a secure website and electronically ~~sign~~sign the Disclosure ~~to Consent form, and Authorization forms.~~ The candidate will then receive a summary of rights under the Fair Credit Reporting Act (FCRA). ~~Once the candidate has submitted his or her personal information and electronically signs the Disclosure,~~ and Consent form, the background check will begin. The third party consumer reporting agency will provide the background check results to HR. ~~Upon receipt of the information pertaining to HR will review~~ the background check, ~~HR determines if the individual results to determine whether the candidate~~ meets the criteria for the position~~and~~. HR will notify the hiring authority ~~by email, of the results of the background check.~~ Costs associated with criminal background checks will be charged to the hiring unit. ~~_-~~[rev. 11-12, 12-14, 3-18]

B-3. Contingent Offer of Employment. If circumstances require that a job offer be made ~~quickly to a candidate,~~ prior to the completion of the background ~~investigation, the check, the hiring unit~~ must use the approved contingent offer ~~must be in writing and include~~ letter template found on the HR website, which includes the following statement~~language~~: "This offer is contingent upon the completion of a satisfactory criminal background investigation." and other pre-employment requirements." Although ~~the~~ contingent offer may be made, the employee may not begin work in any capacity, including attending New Employee Orientation, orientations for the unit or University, without a completed satisfactory background investigation: and other pre-employment paperwork. [rev. 3-18]

B-4. Prior Criminal Background Check Qualifies. If ~~the~~ candidate is being rehired or reappointed into the

~~same position, has had a criminal background investigation completed by the UI within the last 13 months previously met the background check requirement for that position, and the results are satisfactory for the position for which s/he break in service is applying, a subsequent investigation less than one year, the background check requirement may be waived at the discretion of the senior Executive Director for HR executive, or designee human Resources or designee.~~ *_-[rev. 10-07, 11-12, 3-18]*

B-5. Day Care Centers Must Comply with I.C. § 39-1105. This ~~policy procedure~~ does not apply to employees or volunteers at day care centers who have direct contact with children. These individuals are subject to the criminal history check procedures set forth in I.C. § 39-1105, which are conducted by the day care centers in conjunction with the appropriate state agencies. *_-[ed. 3-18]*

B-6. UI College of Agricultural and Life Sciences Unique Requirements. The University's College of Agricultural and Life Sciences (CALs) has implemented ~~its own~~ additional criminal background check procedures for volunteers who have significant contact with minors. Students and volunteers of CALs may be subject to additional screening requirements pursuant to those procedures. ~~that policy~~ *[rev. 10-07, 3-18 ed. 11-12]*

B-7. J-1 Scholars and Exceptions. J-1 scholars are visiting temporary workers here by invitation to perform specialized work. The Department of Homeland Security performs background checks on all J-1 scholars. Therefore, these temporary workers are exempt from the requirements of this procedure. Senior HR executive, or designee, may provide exemptions for other employees in similar situations. *[add. 3-18]*

C. Procedures for Criminal Background Checks for Security Purposes. If senior HR executive, or designee ~~the Executive Director for Human Resources~~ has reasonable grounds to believe that an employee or volunteer ~~may represent~~ represents an immediate threat to the safety and security of the UI University community ~~or to the public, s/he or designee, HR~~ may conduct a criminal background check through the Idaho State Police or other appropriate agency.

The written authorization of the employee to conduct this check will be obtained in most cases; ~~however,~~ However, in certain circumstances, it may ~~exist in which obtaining a written authorization is not~~ be possible or feasible, ~~in which ease to obtain written authorization.~~ In those cases, a limited background check may be performed through the Idaho State Police or other appropriate agency ~~may be done~~. Any information obtained through this process will be used solely for the purpose of maintaining the safety and security of the UI community, and will be shared strictly on a "need to know" basis. *[ed. 11-12, rev. 3-18]*

D. Results of Criminal Background Checks.

Applicants New to UI: If the criminal background check identifies convictions, with the exception of D-1 below, determinations of suitability/fitness for employment will be made by Human Resources in consultation with appropriate hiring authority when applicable based on ~~factors that include~~ the nature and details of the conviction, ~~the length of time that has passed since date of~~ the conviction, how the crime relates to the job in question, evidence of rehabilitation, and other relevant factors. *[rev. 3-18]*

Current Employees: When a current employees with convictions are considered for ~~new positions or potentially reclassified or promoted into a security sensitive changes in~~ position, transfers, or promotions, ~~the senior Executive Director for HR executive, uman Resources~~ or designee, in consultation with the appropriate hiring authority, will determine whether to exclude the candidate. *[rev. 3-18]*

If, pursuant to this procedure, a criminal background check is conducted on a current employee and an event is uncovered that was not previously considered, UI may initiate ~~potential~~ personnel action against the employee. In these cases, the ~~Executive Director for senior HR executive, uman Resources~~ or designee, in consultation with the Risk Management Officer and Unit Manager/other applicable personnel, will determine what ~~personnel~~ action, if any, should be taken. The ~~senior Executive Director for HR executive,~~ or designee ~~uman Resources~~ may ask the employee for a written explanation of the offense(s). ~~from the employee.~~ *[rev. 11-12, 3-18]*

D-1. Disqualifying Employment Convictions. ~~For positions involving significant contact with minors, a~~

record of any of the following convictions will generally result in automatic exclusion of the candidate or termination of a current employee: ~~-[rev. 3-18]~~

- i) Conviction of any crime against a child or vulnerable adult (including but not limited to child abuse, abandonment, neglect, and statutory rape);
- ii) Conviction of any crime of violence;
- iii) Conviction of any crime of a sexual nature, including but not limited to lewd conduct, sexual battery, sexual exploitation, rape, and statutory rape;
- iv) Conviction of any crime involving unlawful use or possession of a weapon or firearm. *[ed. 11-12]*

D-2. "Convictions" Defined. For purposes of this ~~policy~~procedure, the term "conviction" will be interpreted broadly and will include pleas of no contest, deferred adjudications, and similar dispositions. If a criminal history report indicates pending criminal charges that, if a conviction resulted, would result in exclusion from employment, the candidate will be excluded from employment until final disposition of the charges. ~~-[ed. 3-18]~~

E. Communication of Results and Employee Rights

E-1. Consumer Reporting Agency. Procedures when the report has been provided by a consumer reporting agency (e.g., Verified Credentials). ~~HireRight~~ ~~-[ed. 12-14, 3-18]~~

- i) If a determination has been made that a candidate should be excluded, or that adverse action should be taken against a current employee, based on an unsatisfactory criminal background check, HR shall, prior to taking any adverse action against the individual, provide a Pre-Adverse Action Disclosure that (1) notifies the individual in writing of the unsatisfactory result, (2) provides the candidate or employee with a copy of the report, and (3) provides the candidate or employee with a written description of his or her rights under the Fair Credit Reporting Act.
- ii) After the adverse action has been taken, HR will provide the candidate with an Adverse Action Notice, which includes (1) the name, address, and

phone number of the consumer reporting agency that supplied the report; (2) a statement that the consumer reporting agency that supplied the report did not make the decision regarding the adverse action and cannot provide the reasons for the adverse action; and (3) a notice of the individual's right to dispute the accuracy or completeness of any information the agency has furnished, and his or her right to an additional free consumer report from the agency upon request within 60 days.

iii) A candidate or employee who has received an initial unsatisfactory result and who has sought correction of his or her report under the Fair Credit Reporting Act is not eligible for a listed position until the ~~senior Executive Director for HR executive, uman Resources~~ or designee has confirmed the correction and determined that the result is satisfactory. The ~~U~~niversity has no obligation to hold a position open to allow a candidate or employee to correct his or her report. *[ed. 11-12, 3-18]*

E-2. Government Reporting Agency. Procedures when the report has been provided by a governmental agency (e.g., Idaho State Police) ~~are as follows:-).~~

i) If a decision has been made to exclude a candidate, or initiate action against a current employee, based on an unsatisfactory background check, HR shall (1) notify the individual in writing of the unsatisfactory result, and (2) provide the candidate or employee with a copy of the report.

F. Record Keeping. Criminal history information collected under this ~~policy procedure~~ shall be kept electronically with the third party vendor or in accordance with record retention requirements (see APM Chapter 65). The information will be used solely for the purpose of maintaining the safety and security of the ~~U~~niversity of Idaho community and will be disclosed only as permitted or required by law. *[rev. 10-07, 11-12, 3-18]*