

**2018-19 MEETING #3 OF THE FACULTY OF THE UNIVERSITY OF IDAHO**

Wednesday, May 1st - 3:00-4:30 p.m. (PT), Bruce M. Pitman Center Vandal Ballroom  
Boise – 248A; Coeur d'Alene – HC 145C; Idaho Falls – TAB 350; Twin Falls – B-66  
President Chuck Staben Presiding

**Call to Order.**

**In Memoriam.**

**Minutes.** Meeting #2, December 5, 2018

**Announcements.**

**Special Orders.**

**Report of the Faculty Senate**

Below items are available:

[https://www.webpages.uidaho.edu/facultycouncil/General\\_Faculty\\_Meetings/univ\\_faculty\\_meetings.htm](https://www.webpages.uidaho.edu/facultycouncil/General_Faculty_Meetings/univ_faculty_meetings.htm)

**I. Proposed Changes/Additions to *Faculty-Staff Handbook & Administrative Procedure Manual***

***Faculty-Staff Handbook* (vote)**

**Secretary of the Faculty/Policy Coordinator:**

- FS-19-071: FSH 1570 – Secretary of the Faculty
- FS-19-072: FSH 1520 – Constitution of the University Faculty (requires quorum & 2/3<sup>rd</sup> affirmative vote)
- FS-19-073: FSH 1580 – Bylaws of Faculty Senate (requires quorum & majority vote)
- FS-19-075: FSH 1640.41 – Faculty/Staff Policy Group
- FS-19-076: FSH 1640.28 – Committee on Committees
- FS-19-077: FSH 1640.42 – Faculty Affairs
- FS-19-078: FSH 1460 – University-wide Policy Development Statement and Process

**Benefits:**

- FS-19-052: FSH 3730 – Retirement Privileges and Programs
- FS-19-064: FSH 3720 – Sabbatical Leave

**Performance & Accreditation Related:**

- FS-19-053: FSH 3340 – Performance Evaluation of Staff Employees (see APM 50.21 below)
- FS-19-063: FSH 3320 C – Administrator Evaluation
- FS-19-080: FSH 3420 – Faculty Salaries
- FS-19-087: FSH 4700 – General Responsibilities of Instructors

**Committee Changes:**

- FS-19-024: FSH 1640.46 – Arts Committee
- FS-19-058: FSH 1640.91 – UCC Structure Change add Law
- FS-19-062: FSH 1640.08 – Admissions Committee
- FS-19-082: FSH 1640.22 – Campus Planning
- FS-19-083: FSH 1640.40 – Instructional Space Committee
- FS-19-084: FSH 1640.90 – General Education Assessment Committee
- FS-19-088: FSH 1640.12 – Institutional Animal Care and Use Committee

**Miscellaneous** (informational – minor edits no substantive changes proposed):

- FS-19-067: FSH 1520 – Constitution of the University Faculty
- FS-19-068: FSH 1566 – Appointment to Faculty Status

**I. Proposed Changes/Additions to *Faculty-Staff Handbook & Administrative Procedure Manual* (cont.)**

***Administrative Procedures Manual* (FYI)**

- FS-19-029: APM 45.05 – Early Setup and Advance Funding of Sponsored Project Budgets
- FS-19-030: APM 45.06 – Allowable and Unallowable Sponsored Project Expenditures
- FS-19-031: APM 45.08 – Cost Sharing (Match) on Sponsored Projects
- FS-19-032: APM 45.09 – Effort Reporting and Personnel Activity Reports (PARs)
- FS-19-033: APM 45.10 – Facilities and Administrative (Indirect) Rate
- FS-19-034: APM 45.11 – Notice of Grant Awards Ending
- FS-19-035: APM 45.12 – Sponsored Project Closeout and Recordkeeping Responsibilities
- FS-19-036: APM 45.13 – Program Income on Sponsored Projects
- FS-19-037: APM 45.14 – Sponsored Projects Changes Requiring Prior Approval from Sponsor
- FS-19-038: APM 45.22 – Eligibility, Competency and Administrative Effort Requirements for Principal Investigators, Co-Principal Investigators, and/or Project Directors
- FS-19-054: APM 50.21 – Documenting & Addressing Unsatisfactory Performance of Classified Staff
- FS-19-085: APM 30.15 – Password Policy
- FS-19-086: APM 30.07 – User Provided Software
- FS-19-089: APM 45.01 – Animal Care and Use

-----

**II. Proposed Changes to the University of Idaho Catalog (vote)**

- FS-19-070: Plus/Minus Grading

**President's Remarks.**

**Adjournment.** Refreshments will be available.

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

NOTE: 107 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 – APPROVED on Sep. 18, 2019**  
**2018-19 Meeting #3, May 1, 2019**

**Call to Order:** President Staben, called the meeting to order at 3:02 pm PDT.

**In Memoria.** The President read the names of university faculty members who died since the last university faculty meeting:

Thomas Bitterwolf  
Professor in Chemistry  
February 2019

Jerome Dahmen  
Professor in Animal Science  
April 2019

Maxine Dakins  
Professor in Environmental Science  
March 2019

Anthony K. Dunnam  
Professor Emeritus of Computer Science  
December 2018

J.D. Makin  
Extension Professor Emeritus of Animal Science  
January 2019

Florence White  
Professor Emerita of Education  
October 2018

The President requested a moment of silence in honor of these former colleagues.

**Quorum Count:** A quorum was present. 107 voting members of the faculty were required, 113 members were present (Moscow - 89, Boise - 5, Idaho Falls - 10, Twin Falls - 4, CDA – 5).

**Minutes:** A motion (Lee-Painter/Wiencek) to approve the minutes of University Faculty Meeting #2 on December 5, 2018 was approved unanimously.

**Announcements:**

President Staben announced the successful VIP-Transform Projects:

1. Momentum Building Freshman Lab Experience in Cross-Disciplinary CUREs Kris Waynant, James Moberly, Mark Roll, and Paul Rowley
2. A Transformative Online Learning Approach to Enhance GenZ Learning in Engineering Courses. John Crepeau, Barry Willis, and Terence Soule

3. Blazing Trails Abroad. Kate Wray Chettri, Rachel Halverson, Bob Neuenschwander, and Laurie Barker
4. Vet2Vandal: A Bridge to College Success. Elizabeth Kochevar, Jason Nierman, Karla Eitel, and Lee Vierling
5. Multicultural Academic Success Program. Jesse Martinez, Sydel Samuels, Evelina Martinez, and Yolanda Bisbee
6. Alumni Mentor Network and Recent Alumni Mentoring Program. Robin Johnson, Kathy Barnard, Chris Cook, and Patricia Hart

The president also announced that an open forum on the university's finances will be held in the Administration Auditorium on the Moscow Campus on May 7, 2019 at 9:00-10:15 PDT/10:00-11:15 MDT. The forum will be available by Zoom.

### **Report of the Faculty Senate.**

Prof. Aaron Johnson, Chair of Faculty Senate, presented the report:

**FS-19-071: FSH 1570 – Secretary of the Faculty** passed unanimously.

**FS-19-072: FSH 1520 – Constitution of the University Faculty** (requires quorum & 2/3<sup>rd</sup> affirmative vote). A faculty member asked how the revisions would impact the functioning of the faculty senate. Faculty Secretary Liz Brandt responded. She pointed out that the current faculty secretary position would be divided into two positions a .5 policy coordinator and a .25 faculty secretary. The faculty secretary will no longer be responsible for supporting the drafting, development and communication of university policy. This should enable the secretary to focus on faculty governance and on support of faculty senate. The proposal passed unanimously.

**FS-19-073: FSH 1580 – Bylaws of Faculty Senate** (requires quorum & majority vote). The proposal passed unanimously.

**FS-19-075: FSH 1640.41 – Faculty/Staff Policy Group.** The proposal passed unanimously.

**FS-19-076: FSH 1640.28 – Committee on Committees.** The proposal passed unanimously.

**FS-19-077: FSH 1640.42 – Faculty Affairs.** The proposal passed unanimously.

**FS-19-078: FSH 1460 – University-wide Policy Development Statement and Process.** The proposal passed unanimously.

**FS-19-052: FSH 3730 – Retirement Privileges and Programs.** The proposal passed unanimously.

**FS-19-064: FSH 3720 – Sabbatical Leave.** A faculty member asked why the form was eliminated from the policy. Secretary Brandt responded that she has advised eliminating forms from policy so that the forms may be more easily kept up-to-date and may be digitized where appropriate. When the form is part of policy, the policy must be revised to change the form. The proposal passed unanimously.

**FS-19-053: FSH 3340 – Performance Evaluation of Staff Employees** (see APM 50.21 below). The proposal passed unanimously.

**FS-19-063: FSH 3320 C – Administrator Evaluation.** The proposal passed unanimously.

**FS-19-080: FSH 3420 – Faculty Salaries.** The proposal passed unanimously.

**FS-19-087: FSH 4700 – General Responsibilities of Instructors.** The proposal passed unanimously.

**FS-19-024: FSH 1640.46 – Arts Committee.** The proposal passed unanimously.

**FS-19-058: FSH 1640.91 – UCC Structure Change add Law.** The proposal passed unanimously.

**FS-19-062: FSH 1640.08 – Admissions Committee.** The proposal passed unanimously.

**FS-19-082: FSH 1640.22 – Campus Planning.** The proposal passed unanimously.

**FS-19-083: FSH 1640.40 – Instructional Space Committee.** The proposal passed unanimously.

**FS-19-084: FSH 1640.90 – General Education Assessment Committee.** The proposal passed unanimously.

**FS-19-088: FSH 1640.12 – Institutional Animal Care and Use Committee.** The proposal passed unanimously.

**FS-19-067: FSH 1520 – Constitution of the University Faculty.** This change to the constitution was not substantive, but instead was a minor edit that added a historical footnote that originally resided in FSH 1566. The proposal passed unanimously.

**FS-19-068: FSH 1566 – Appointment to Faculty Status.** The proposal passed unanimously.

After reviewing the above changes to the *Faculty-Staff Handbook*, the chair called attention to revisions in the *Administrative Procedure Manual*. He reminded the assembly that these items come through Senate and the University Faculty as informational items to more broadly communicate these changes and invited questions. A faculty asked for an explanation of the changes in APM 30.15 regarding passwords. Mitch Parks, Director of Security for IT, explained that because the university has instituted dual authentication, it is in a position to relax its password policy. These changes reflect the relaxed policy.

Finally, Chair Johnson proceeded to the changes to the university catalog.

**FS-19-070 (UCC-19-051): Plus/Minus Grading.** A faculty member commented that the last time a proposal to change the grading system was before the faculty on 5/4/2015 he spoke in favor of it. He believes that the change was a good idea then and is a better idea now. He stated that President White vetoed the proposal. The faculty member commented that he was sorry it has taken so long to get through the committee and back to the faculty. He commended the Teaching and Advising Committee (TeAC) for proposing the policy. He also commented that postponing implementation of the change for four years in order to ensure that the change is only implemented for prospective students was a good idea.

A faculty member asked what students think of the proposal. Senate Vice Chair Grieb responded that several polls have been conducted. The results varied strongly across different groups. However, he stated that it appears that in general, students do not support the policy. The student votes on TeAC were mixed. The Graduate and Professional Students Association (GPSA) voted in favor of the proposal. Grieb believes that many students feel the proposal adds stress to the grading process because it will increase close

grading decisions at the end of the semester. In addition, not all students are convinced that faculty will implement the proposal fairly. In this regard, student comments echo some of the faculty input on the proposal such as making too many distinctions that will not be grounded in clear objectives. Further, students believe the plus/minus system will negatively impact top students' grades. This view seems to be especially strong among students in STEM fields and other majors that are perceived as difficult. Finally, many students perceive that the decision to postpone implementation until 2023 is an "end run" around students.

The former chair of TeAC, Prof. Stephan Flores, spoke in favor of the policy. He stated that the one student member who voted in support of the plus/minus system was the ASUI vice president who had been very engaged in the research regarding the use of plus/minus grading. This research indicated that plus/minus grading is often more nuanced and allows for greater transparency. He also stated that students with 4.0 grade point averages (GPAs) constitute less than 3% of the students. The impact of plus/minus grading will even out – helping some students and not others across that spectrum of student performance. He agreed that plus/minus grading may be a source of stress for some students, but also stated that the system offers the opportunity for more nuanced faculty judgment. Where plus/minus grading has been adopted it has led to only a small change in overall GPAs. In the survey conducted by TeAC, 269 faculty participated and 78% supported plus/minus grading and believe they can make the required decisions to appropriately assess student work. Finally, he pointed out that the change would bring UI's grading system in line with the other Idaho institutions.

A faculty member expressed appreciation for the information provided and expressed concern that a plus/minus grading system would lead to grade inflation. He also asked to hear more of the pros and cons of the proposed system.

Chair Johnson responded that one of the pros of the new system is that it will be harder for students to "coast" on earlier grades. Students may have more incentive to keep their level of effort high because they may be able to have more influence on their grade. He also pointed out that, with regard to grade inflation, the new system does not include a grade higher than 4.0.

Flores responded that at other schools that have shifted to a plus/minus system the argument was that the system provides a greater hedge against grade inflation. Once the system has been implemented, other schools have not experienced a statistically significant shift in cumulative GPAs. In one study there was a small shift down. The plus/minus system provides a finer-grained view of student's academic performance and can provide a better understanding of a student's academic journey toward a degree.

A faculty member stated that he believes the plus/minus system will provide students more motivation to keep their level of performance up throughout the semester.

The proposal passed with 77 votes in favor.

**President's Remarks.** President Staben began by thanking faculty for the great professional honor of serving as president of the University of Idaho. He is thankful for the hard work and accomplishments of the past five years. He encouraged faculty to continue to strive for excellence, and he underscored his belief in the power of land grant universities and their mission to teach, discover and serve. He underscored the continuing relevance of the land grant mission to the UI.

During the past five years he has worked to enhance access to higher education through direct admissions and scholarship funding. Student retention and graduation rates have increased. UI researchers have

conducted research and scholarship with substantial impact. This research has been in both traditional and emerging fields. Staben pointed to UI's crop research and industry partnerships such as the Center for Agriculture, Food & the Environment, the Sandpoint Organic Agriculture Center and the new potato germplasm laboratory. Staben complemented the Natural Resources Fire Science and Species Restoration at the Rinker Rock Creek Ranch facility. He highlighted the Center for Secure and Dependable Systems which is competing successfully in the Cyber Grand Challenge sponsored by the Defense Advanced Research Projects Agency.

President Staben also commented on the enhanced integration of research into the undergraduate experience. The recent undergraduate research symposium had 183 participants. He noted that one student who had several posters at the symposium was currently in Washington DC presenting a different poster. These opportunities are facilitated by the undergraduate research office.

President Staben also discussed various partnerships to promote health, leadership and economic prosperity. The Caminos al Futuros program continues to thrive through the Juntos program being promoted by 4H. The WWAMI program has added programs focused on opioids and behavioral health. The program is expanding into its new facility on Sweet Avenue. The Law program has successfully expanded in Boise.

Staben thanked all those who participated in the programs he mentioned and concluded by acknowledging that they are only a partial list of the successful work at the university.

President Staben thanked faculty for their belief in the UI and for their commitment to keeping UI strong. He urged faculty to continue to work toward excellence as they meet the challenges ahead and to work together to respond to challenges. He expressed his optimism that incoming president Scott Green is bright, capable and will work closely with faculty to continue to build on the progress UI has already made.

On a personal level, President Staben urged faculty to think about meaning and importance of their work. UI is bigger than any of us. He encouraged faculty to use their window of time at the institution wisely and intentionally. The UI's special mission has motivated him and he is sure it has motivated faculty.

A faculty member thanked President Staben for his service and asked what advice Staben would give to incoming President Green to build a positive and productive relationship with the faculty and what advice he would give faculty to support Green's presidency. President Staben responded that he believes it is of critical importance that President Green take action early to build a strong relationship with faculty. Doing so will involve talking with faculty in various venues and ways. Staben stressed, however, that there is no "magic" advice he could give regarding faculty/president interactions. The president's goals are more focused on institutional concerns than are the goals of individual faculty members. Faculty should consider how they are contributing to the university's mission. President Green will want to rely on faculty for that support so that he can get the resources and authority necessary to advance the UI mission to donors and other supporters. Faculty play a large roll in building a president's credibility.

Chair Grieb thanked President Staben and read the following resolution adopted by the Faculty Senate into the record:

In Recognition of his Service and Leadership, the Faculty, Staff and Students that Comprise the Faculty Senate at the University of Idaho Adopt this Resolution in Honor of Dr. Chuck Staben

WHEREAS Dr. Staben has served since 2014 as the 18th president of the University of Idaho; and

WHEREAS Dr. Staben has worked continuously to improve the access of all Idahoans to high-quality higher education; and

WHEREAS Dr. Staben promoted the development of a state-wide direct admissions program, free admissions processing for all Idaho residents and a durable admissions program allowing admitted students to defer attendance for up to four years; and

WHEREAS Dr. Staben has championed the funding and development of the University's new ICCU Arena; and

WHEREAS Dr. Staben has fostered and supported the growth in the University's research programs including revising the university's approach to intellectual property and fostering the development of the Center for Agriculture, Food and the Environment; and

WHEREAS Dr. Staben has embraced and promoted the highest ideals of the land-grant mission for Idahoans and the United States;

NOW THEREFORE, BE IT RESOLVED that the Faculty Senate expresses its gratitude for the contributions made by Dr. Chuck Staben during his service at the University of Idaho and in support of higher-education in Idaho; and extends its best wishes as he returns to full time faculty responsibilities.

**Adjournment:** A motion (Wiencek/Cannon) to adjourn passed unanimously. The meeting adjourned at 4:55 PDT.

Respectfully Submitted

Liz Brandt  
Faculty Secretary

**University of Idaho**  
**University Faculty Meeting Minutes**  
**2018-19 Meeting #2, December 5, 2018**

**Call to Order:** President Staben, called the meeting to order at 3:04 pm.

**In Memoriam.** The president read the names of university faculty members who died since the last university faculty meeting:

**Robert McDole**

Extension Professor Emeritus of Soils  
September 2018

**Delbert Fitzsimmons**

Professor Emeritus of Agricultural Engineering and Department Chair Emeritus  
November 2018

**Max Fletcher**

Professor Emeritus of Economics and Department Head Emeritus  
July 2018

**Richard Naskali**

Arboretum Director and Professor Emeritus of Science  
September 2018

**Ronald Richards**

Instructor in Animal and Veterinary Sciences  
October 2018

**Jack Vincent**

Borah Professor Emeritus of International Relations  
September 2018

The President requested a moment of silence in honor of these former colleagues.

**Quorum Count:** A quorum was not present. 107 voting members of the faculty were required, 44 members were present (Moscow - 34, Boise - 2, Idaho Falls - 3, Twin Falls - 5, CDA – 0).

**Minutes:** In the absence of a quorum, the minutes of the University Faculty Meeting on September 5, 2018 stand as formally approved in the absence of a quorum pursuant to *Faculty-Staff Handbook* 1520.Section 3.A.

The faculty senate report was given by Chair Aaron Johnson. He first informed the body that, in the absence of a quorum, all the policy items presented on the agenda would be deemed approved pursuant to *Faculty-Staff Handbook* 1520. Section 3.A. He reviewed the policy changes and informational items on the agenda, and invited questions and comments.

Regarding FSH 4620 – Academic Calendars, a faculty member encouraged senate leaders to work with the registrar to avoid scheduling the start of classes too early in August. He urged senate leadership to work to push the start of classes in 2019 and 2026 back one week later in the year and that whenever possible the university avoid beginning classes before August 20<sup>th</sup>. He noted that many classrooms are not air conditioned. President Staben agreed that the early start is a problem and that, with

climate change and the increase in western forest fires, the problems will only become worse. He explained that UI's autonomy is somewhat limited because the university works to synchronize its academic calendar with Washington State University because of the number of joint programs and conflicts over event facilities and infrastructure.

President Staben addressed the faculty from the UI's Boise Center. The president first celebrated recent successes at UI. He noted that the university's research continues to expand. Once the numbers are finalized, it is likely that UI will move past \$111 million in extramural research for FY18. UI's research is diverse from the clean water research of Professor Greg Moller and Research Scientist Martin Baker, to the fire science research by Professor Leda Kobziar's team showing that smoke transports living microbes. Vice Provost for Research and Economic Development Janet Nelson was recently named as a fellow of the American Association for the Advancement of Science.

In the area of student access/enrollment, UI continues to enhance students' ability to access higher education. The university recently launched a new "durable admissions" policy pursuant to which UI's offer of admissions remains open for four years. This policy will accommodate students who take a gap between high school and college for personal reasons. UI recently signed a memorandum of understanding with the Warm Springs Tribe in Oregon. The tribe will be the 11<sup>th</sup> to participate in UI's program which has expanded from nine tribes when Staben joined the university. The president thanked Vice President for Diversity and Inclusion Yolanda Bisbee for her efforts in this area. The president noted that more than 500 students will graduate from UI this Saturday. He thanked faculty for serving as mentors and advisors. Staben stressed that UI must continue to implement best practices for student success such as VandalStar and improved advising processes. We have recently increased our retention rate of first to second year students from approximately 75% to over 80%. Yet our graduation rate for those students who advance is still below 80%. Staben believes UI must push to increase our graduation rate to above 80%.

Staben hopes to inspire UI to even greater efforts. He reminded faculty and staff of the UI's mission, vision and values and asked faculty to reflect on the statements and consider how the concrete goals of the university's strategic plan align with the mission, vision and values of the institution. He regretted that in his urgency to accomplish our mission, his thoughts have sometimes been perceived as criticism and his tone strident. He asked faculty to remember that what we do is important to students, and to the state, country, and world.

President Staben reflected that serving as president is one of the greatest privileges of his career. During the remainder of his time in office he hopes to work on several concrete ideas for moving UI forward. He first mentioned the Arena project. UI has raised \$40 million of the \$48 million goal. The university will ask the Idaho State Board of Education (SBOE) in February for permission to move forward with the project and plans to break ground in spring. He is proud that the university's plan to replace our aging gymnasium has grown to include diverse groups such as the Idaho Forest Products industry and students at the College of Art and Architecture.

Staben's greatest disappointment has been that UI has not been able to increase our enrollment despite the efforts of faculty and staff. After reviewing UI's efforts to change Idaho's "go-on" rate, he has concluded that the biggest impediment for prospective students is affordability. Students in the state of Idaho do not realize that the costs of obtaining a higher education are outweighed by the benefits. The gap in affordability is approximately \$5,000. He believes that it would take a \$10 million investment in financial funding to change Idaho's go-on rate by 10%. He believes the state of Idaho can afford this amount and that UI and the other institutions can participate in meeting this goal. Staben hopes to set the stage for this initiative in the coming months.

The most apparent facilities need that Staben sees is for a tribal and diversity center. Currently, UI's support programs and staff in these areas are scattered across campus in cramped and sometimes substandard spaces. Diverse populations in Idaho are key to the university's service mission and to its growth. Staben pointed out that the higher education attainment rate for Latinos in Idaho is the lowest in the nation. He believes a tribal and diversity center would be an important contribution to support these on-campus organizations and to enable the university to more effectively reach out to the state's underserved communities.

President Staben next addressed athletics funding which has been a challenge over the last several years. UI is spending a higher percentage of general education funds on athletics than is permitted by the SBOE. The funding situation has been created by changes in our athletics programs. To some extent the SBOE spending cap is unrealistic in light of these changes. UI continues to work with the board to responsibly budget for athletics and to seek changes in the SBOE's policy.

The president will also focus on moving the Center for Agriculture Food and Environment (CAFÉ) forward. This project addresses UI's obligation to support the animal based agriculture economy of the state.

He concluded noting that the founders of the UI charged the president and the faculty with the responsibility to govern the university for the benefit of the students and the people of Idaho. He called on faculty to work to keep our covenant with the state of Idaho.

A faculty member thanked the president for his encouragement, enthusiasm and occasional impatience. He asked what the university's legislative priorities for 2019 will be? The president responded that the outcomes-based funding initiative is the priority initiative for all of higher education. The SBOE is seeking an appropriation of \$15 million for the 4-year universities, community colleges and technical education. Approximately \$11 million will be allocated to the 4-year universities. This funding will be distributed according to the outcomes-based funding formula adopted by the board. In general, the formula recognizes degrees awarded. It also gives weight to some degrees in STEM fields and to degrees awarded to students in need. Based on preliminary calculations, UI will qualify for roughly one-fourth of those funds.

There being no further questions the meeting adjourned at 3:47 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](http://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](mailto:apm@uidaho.edu) or [fsh@uidaho.edu](mailto:fsh@uidaho.edu) respectively.

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

**Originator(s):** Senate Leadership, Chair Johnson & Liz Brandt, Faculty Secretary  
 (Please see FSH 1460 C) Name \_\_\_\_\_ Date \_\_\_\_\_  
**Telephone & Email:** aaronj@uidaho.edu & ebrandt@uidaho.edu

**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.

This policy is being revised to reflect restructuring of the faculty secretary position. Policy responsibilities will be covered by a new policy Coordinator in the future and not by the faculty secretary.

**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 1520, 1580, 1460, 1640.28, 1640.41, 1640.42, 1640.91

**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**

July 2018

1570

**SECRETARY OF THE UNIVERSITY 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. In 2018 section B was updated to reflect current roles and responsibilities of the Faculty Secretary, including oversight of policy. In July 2019 the Policy Coordinator position was removed from the Faculty Secretary as a responsibility. 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, 7-18]*

**CONTENTS:**

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

**A. APPOINTMENT.**

**A-1.** The Secretary of the University Faculty (~~a.k.a. 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 t~~The ~~faculty~~ secretary position will be the equivalent of at least one ~~half quarter~~ 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 vice provost for faculty and 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.** Serve as a ~~significant source of information for UI administrators, faculty, staff 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; and work with the administration and Faculty Senate in achieving positive outcomes to ensure faculty participation in the development of university policies and procedures through the faculty governance system; and serve as a liaison with the President's Office to facilitate maintenance and publication of the policy and procedures handbooks (see~~

~~FSH 1460~~. [ren. & rev. 7-18]

~~B-2. Serve as an resource for faculty regarding university policy and procedures and as a channel of communication to the administration regarding faculty interests and concerns.~~

Commented [BE(1): Added by Liz on 3/20 to address senate concerns about the need for advocacy.

~~B-2, B-2. Serve as Policy Coordinator (FSH 1460 B-5) with oversight of the Faculty Staff Handbook (FSH) and Administrative Procedures Manual (APM) to facilitate the timely and orderly adoption of policies and procedures including, but not limited to by: 1) consulting and collaborating with the administration to identify and address policy issues; 2) 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; 5) monitoring that institutional processes for the timely development of policies and procedures; and 6) keeping the university community informed of additions and changes to 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. [ren. and rev. 7-02, 7-18, ed. 7-09]~~

Commented [BE(2): I assume this means the faculty secretary will be collaborating with the policy coordinator.

Commented [BE(3): Again – through the policy coordinator see changes in 1460.

~~B-3. Propose the agenda and supporting documents for each meeting of the university faculty for approval by the president; ensure that the minutes of the meeting are recorded and published the minutes of meetings; ensure that reports of actions of the university faculty are forwarded to the president, and the Department of Special Collections and Archives in the University Library. [rev. 7-02, 7-11, rev. & ren. 7-18]~~

~~B-4. Ensure the accurate and timely preparation and distribution of General Policy Reports for publication and for review and approval of university faculty. [add 7-02, 7-11, rev. & ren. 7-18]~~

Commented [BE(4): The GPR policy must be revised. FSH 1540 C-2. And C-5.

~~B-543. Serve as an ex-officio nonvoting member of the Faculty Senate and as the secretary, ensure that the agenda and supporting documents, minutes for each of the meeting are distributed recorded and published. Ensure that the inutes fo reach meeting are recorded and published. - Work closely with and advise the chair and vice chair of Faculty Senate on policy matters and on the conduct of senate business, provide services related to shared governance on request from the Faculty Senate, other faculty bodies, faculty, staff, students, and administration. [ren. 7-02, ed. 7-09, ren. & rev. 7-18]~~

Commented [BE(5): This change was added by Liz on 3/20/19 to address the minutes issue

~~B-654. Serve as an ex-officio nonvoting member of a resource for the Committee on Committees. Oversee the process for solicitation of faculty members to serve on university-wide standing committees and maintain enance of the publication of committee function statements and membership lists. [ren. and rev. 7-02, 7-18]~~

Commented [AT6]: Additional edits needed – policy coordinator will be responsible for publishing any changes to committee function statements. Fac. Sec. will be maintaining (overseeing committee changes to FSH 1640 through ConC as well as the Committee appointments and membership list posted online.)

~~B-75. Serve as an ex-officio nonvoting member of the University Curriculum Committee, and work closely with UI officials to facilitate the accuracy of all published academic information. [ren. and rev. 7-02, 7-18]~~

~~B-6. Serve as an ex officio nonvoting member of the Faculty Affairs Committee. Provide consultation and advice regarding faculty governance and personnel issues affecting faculty.~~

~~B-87. Serve as chair of the University Multi-campus Communications Committee, 1640.94. [add. 1-10, ren. 7-18]~~

~~B-98. Oversee and ensure the accuracy of the Faculty Senate, and 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, ren. 7-18]~~

**B-9.** 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, 7-18*]

### C. NOMINATION PROCESS FOR SECRETARY OF THE FACULTY.

**C-1.** The chair of the Faculty Senate appoints a ~~five~~<sup>three</sup>-member nominating committee, with the approval of the Faculty Senate. The committee is composed of the vice provost ~~for faculty affairs~~ and ~~four~~<sup>two</sup> 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*]

**Commented [AT7]:** Liz B.: Five member committee seems cumbersome.

**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 and to shared governance thereof. In particular, the committee should seek nominations from, but are not limited to, faculty senate and from university-level committee members. [*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*]~~

**Commented [BE(8)]:** This seems gratuitous – This is a hiring process like any other at UI – our general rules would apply.

**C-43.** The committee recommends a list of candidates for ratification by the Faculty Senate. The senate ~~shall~~<sup>may</sup> 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-54.** 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-43. [*ren. 7-02, ed. 7-09*]

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

July 2015

1520

**CONSTITUTION OF THE UNIVERSITY FACULTY**

**NOTE:** *When the university was young, the faculty's business could be transacted quite satisfactorily in general meetings and through presidential committees. After the mid-20<sup>th</sup> century, however, the need for a representative form of government became obvious. Shortly after assuming the presidency in 1965, Ernest W. Hartung expressed great confidence in the faculty and urged it to assume the responsibilities entrusted to it by the territorial legislature and the state constitution [see 1120 A-3]. Accordingly, the Interim Committee of the Faculty, a body that performed limited academic functions for a time, recommended the establishment of a council having responsibilities and authority essentially as set forth in this constitution. The university faculty adopted the Interim Committee's recommendation on October 20, 1966, the regents approved it on November 18, 1966, and elections were held in the several colleges. The first Faculty Council assembled on February 23, 1967, with Professor Thomas R. Walenta (law) as chair; during the ensuing year, the council developed a proposed constitution of the university faculty. The document was amended and approved by the university faculty on March 20, 1968, and, with President Hartung's support, was ratified with minor amendments by the regents on September 5, 1968. The last major revision took place in 1986. In 2009 the Faculty Council changed its name to Faculty Senate a more common name used in academia, off campus faculty will have voting members on Senate at Coeur d'Alene, Boise, and Idaho Falls, and off-campus faculty will now be counted in the quorum at university faculty meetings with vote through designated sites and delegates given available technology (see 1640.94 and 1540 A). In 2011 Clinical faculty rank was added and language with respect to associated faculty voting was clarified. In 2012 Faculty Senate Center Senator's role/responsibility was clarified, staff membership increased to two and the required annual venue determination removed. In July 2013 the Faculty Senate's membership was increased again by one member to represent the Student Bar Association. In 2015 Faculty Senate members were allowed to serve an additional term and language was added to Article I. Section 4 that affirms academic freedom in faculty governance and university programs and policies. The text printed here includes all amendments to date (see also 1420 A-1-c). Unless otherwise noted, the text is of 1996. For more information, contact the Office of the Faculty Secretary (208-885-6151). [ed. 7-00, rev. 7-09, 7-11, 7-12, 7-13, 7-15]*

**CONTENTS:**

Preamble

Article I. General Provisions

Article II. Faculty Classifications

Article III. Faculty Meetings

Article IV. Responsibilities of the University Faculty

Article V. Faculty Senate

Article VI. Rules of Order

Article VII. Amendments

**PREAMBLE.** The faculty of the University of Idaho, designated "university faculty," as defined in article II, section 1, in acknowledgement of the responsibilities entrusted to it for the immediate government of the university by article IX, section 10, of the constitution of the state of Idaho, has adopted and declared this constitution to be the basic document under which to discharge its responsibilities.

**ARTICLE I--GENERAL PROVISIONS.**

**Section 1. Regents.** The regents are vested by article IX, section 10, of the constitution of the state of Idaho with all powers necessary or convenient to govern the university in all its aspects. The regents are the authority for actions of the university faculty, and policy actions taken by the university faculty are subject to review and approval by the president and by the

regents. [See 1120 A-2 and 1220 A-1.]

**Section 2. President.** The president of the university is both a member of and the president of the university faculty and is also the president of the other faculties referred to in section 4, below, and in article II. The president is the representative of the regents, the institution's chief executive officer, and the official leader and voice of the university. [See also 1420 A.] [ed. 7-00]

**Section 3. Faculty Senate.** This senate is empowered to act for the university faculty in all matters pertaining to the immediate government of the university. The senate is responsible to and reports to the university faculty and, through the president, to the regents. The university faculty, president, and regents retain the authority to review policy actions taken by the senate. [See III-3, V, and 1420 A-1-c.] [ed. 7-00, 7-09]

**Section 4. Constituent Faculties.** The university faculty is composed of various constituent faculties, including the faculties of the several colleges and other units of the university. Faculty are entitled to speak or write freely on matters pertaining to university governance, programs and policies (see Article IV below and FSH 3160). [rev. 7-15]

**Clause A. College Faculties.** The constituent faculty of each college or similar unit, meeting regularly and in accordance with bylaws adopted by a majority vote of the members of such faculty, is authorized to establish and to effect its own educational objectives, including matters of student admission and curriculum, and to participate in the selection of its own dean, other executive officers, and faculty members, subject only to the general rules and regulations of the university faculty and the authority of the president and the regents.

**Clause B. Faculties of Subdivisions.** If there are schools, intracollege divisions, departments, or separate disciplines within a college or similar unit, the constituent faculty of each such subdivision participates in decisions concerning its educational objectives, including matters of student admission and curriculum, the selection of its executive officers, and its faculty appointments, subject only to the general rules and regulations of the college faculty and the university faculty and the authority of the president and the regents.

**Clause C. Interim Government.** The Faculty Senate will provide for the establishment of bylaws for any college or similar unit that has not adopted its own bylaws. [ed. 7-09]

**Clause D. Matters of Mutual Concern.** The Faculty Senate has the responsibility for resolving academic matters that concern more than one college or similar unit. [ed. 7-09]

## ARTICLE II--FACULTY CLASSIFICATIONS.

**Section 1. University Faculty.** The university faculty is comprised of the president, provost, vice presidents, deans, professors, associate professors, assistant professors, senior instructors, instructors (including those professors, associate professors, assistant professors, senior instructors, and instructors whose titles have distinguished, research, extension, clinical or visiting designations, e.g., "assistant research professor", "assistant clinical professor" and "visiting associate professor"), and lecturers who have served at least four semesters on more than half-time appointment [see 1565 G-1]. Those who qualify under this section have the privilege of participation with vote in meetings of the university faculty and the appropriate constituent faculties. [ed. 7-99, 7-09, rev. 7-01, 7-11]

**Section 2. Emeriti.** Faculty members emeriti have the privilege of participation without vote in meetings of the university faculty and the appropriate constituent and associated faculties. Also, they may be appointed to serve with vote on UI committees. [See also 1565 E.] [ed. 7-00, 7-09]

### Section 3. Associated Faculties.

**Clause A.** The adjunct faculty [see 1565 F-1] and the affiliate faculty [see 1565 F-2] are associated faculties. Other associated faculties may be established as needed with the approval of the university faculty, president, and regents. [ed. 7-00, 7-09]

**Clause B.** Members of the adjunct faculty have the privilege of participation without vote in meetings of the university faculty. Members of the affiliate faculty may participate with vote in meetings of the university faculty if they have status as university faculty in their home unit. Both adjunct and affiliate faculty members have the privilege of participating in meetings of their respective constituencies of the university faculty, and may participate with vote if the bylaws of their constituent faculty so provide; however, if authorized to vote, they are not counted among the full-time-equivalent faculty members when determining the basis for the constituent faculty's representation on the Faculty Senate. *[ed. 7-09, rev. 7-11]*

**Section 4. General Faculty.** "General faculty" is a collective description for the combined faculties referred to in sections 1, 2, and 3, above.

### ARTICLE III--FACULTY MEETINGS.

**Section 1. Meetings.** The university faculty meets at least once each semester. Meetings of the university faculty may be called at any time, with due notice, by the president. Meetings of the university faculty must be called with due notice by the president on the request of the Faculty Senate or on the written petition of 25 members of the university faculty. The president, or a member of the university faculty designated by the president, presides at meetings of the university faculty. *[ed. 7-09]*

**Clause A. Venue.** University faculty may participate and vote in faculty meetings by being physically present at the designated venue on the Moscow campus, or by being physically present at another designated venue (see FSH 1540 A-1) in the state that is connected via electronic video and audio link as outlined in Clause B. *[add. 7-09, rev. 7-12]*

**Clause B. Participation.** To be eligible for meeting participation, venues remote from the Moscow campus must be linked to the Moscow venue via compressed video link or other electronic means that conveys audio and visual signals in both directions between Moscow and the remote venue. In addition, an authorized delegate of the Secretary of the Faculty must be present at each site to facilitate meeting participation and counting and reporting of votes (see Section 3, Clause C, Secretary's delegates at remote sites). *[add. 7-09, ed. 7-12]*

**Section 2. Secretary.** The president appoints the secretary of the faculty from among the tenured members of the university faculty [see 1570]. The secretary is responsible for recording and distributing the minutes, tallying and recording of votes, and performs such other duties as may be assigned by the president or the university faculty. *[rev. 7-09]*

#### Section 3.

**Clause A. Quorum, Recognition of Speakers, Recording of Votes and Delegates.** A quorum consists of one-eighth of the membership of the university faculty, as defined in article II, section 1. If there is not a quorum at a faculty meeting, Faculty Senate actions reported in the agenda for that meeting have faculty approval and are forwarded to the president and regents. *[rev. 7-97, 7-09]*

**Clause B. Recognition of Speakers.** Participants wishing to speak at the Moscow site or at remote sites will be recognized by the presiding officer in Moscow and may obtain the floor with his/her approval. *[add. 7-09]*

**Clause C. Recording of Votes.** In determining the outcome of motions, the secretary will determine the number of votes for or against. The Secretary's delegate at each electronically linked site will convey votes for and against to the Secretary (see FSH 1540 A). *[add. 7-09, ed. 7-12]*

**Clause D. Secretary's Delegates.** Delegates at remote sites shall be members of the University Multi-Campus Communications Committee appointed by the Committee on Committees as outlined in 1640.94. *[add. 7-09]*

**Section 4. Agenda.** An agenda listing all subjects to be voted on, other than routine matters, must be issued to all members of the university faculty at least one week in advance of each meeting of the university faculty, except as provided in clause E. Faculty Senate actions that

require approval by the university faculty must be published in full in the agenda. [See also 1420 A-1-c.] [ed. 7-00, 7-09]

**Clause A. Responsibility.** The president is responsible for the agenda and it is issued under the president's direction.

**Clause B. Agenda Items from Individual Members.** Individual members who wish to suggest items for the agenda are to submit them to the president. No items may be considered under this clause that are presented to the president less than 12 calendar days before the meeting.

**Clause C. Resolutions Requiring Action.** Ten or more members of the university faculty desiring to submit a resolution that requires action at the next meeting are to submit the signed resolution to the president at least twelve calendar days before the meeting. Such resolutions must be published in full with, and included in, the agenda. [But see 1540 B.] [ed. 7-00]

**Clause D. Proposed Changes of Written Policies or Regulations.** Any proposed change in a written policy or regulation of the university to be voted on by the university faculty must be published in full in the agenda, or final action on the proposal must be delayed until the next meeting. This provision can be waived only by unanimous consent.

**Clause E. Agenda for Emergency Meetings.** If circumstances require an emergency meeting of the university faculty, the president declares the emergency and calls the meeting. In such circumstances the agenda may be limited to items approved by the president and must be published not less than three calendar days before the meeting. Policy actions taken at emergency meetings require an approving vote of two-thirds of the members of the university faculty in attendance at the meeting, a quorum being present. This constitution cannot be amended at an emergency meeting.

**ARTICLE IV--RESPONSIBILITIES OF THE UNIVERSITY FACULTY.** Subject to the authority of the president and the general supervision and ultimate authority of the regents, the university faculty accepts its responsibilities for the immediate government of the university, including, but not restricted to:

**Section 1. Standards for Admission.** The university faculty establishes minimum standards for admission to the university. Supplementary standards for admission to individual colleges or other units of the university that are recommended by the appropriate constituent faculties are subject to approval by the university faculty.

**Section 2. Academic Standards.** The university faculty establishes minimum academic standards to be maintained by all students in the university. Supplementary academic standards to be maintained by students in individual colleges or other units of the university that are recommended by the appropriate constituent faculties are subject to approval by the university faculty. [See I-4-D.]

**Section 3. Courses, Curricula, Graduation Requirements, and Degrees.** Courses of instruction, curricula, and degrees to be offered in, and the requirements for graduation from, the individual colleges or other units of the university, as recommended by the appropriate constituent faculties, are subject to approval by the university faculty. [See I-4-D.]

**Section 4. Scholarships, Honors, Awards, and Financial Aid.** The university faculty recommends general principles in accordance with which privileges such as scholarships, honors, awards, and financial aid are accepted and allocated. The university faculty may review the standards recommended by the individual constituent faculties for the acceptance and allocation of such privileges at the college or departmental levels.

**Section 5. Conduct of Students.** The faculty's responsibility for approving student disciplinary regulations and the rights guaranteed to students during disciplinary hearings and proceedings are as provided in the "Statement of Student Rights," the "Student Code of Conduct," and the "University Disciplinary Process for Alleged Violations of Student Code of Conduct." [See 2200, 2300, and 2400.] [ed. 7-14]

**Section 6. Student Participation.** The university faculty provides an opportunity for students

of the university to be heard in all matters pertaining to their welfare as students. To this end, the students are entrusted with their own student government organization and are represented on the Faculty Senate. If students so desire, they are represented on faculty committees that deal with matters affecting them. [ed. 7-09]

**Section 7. Selection of Officers.** The university faculty assists the regents in the selection of the president and assists the president in the selection of the provost, vice presidents and other administrative officers of the university.

**Section 8. Governance of Colleges and Subdivisions.** The university faculty promulgates general standards to guarantee the right of faculty members to participate in the meetings of the appropriate constituent faculties and in the governance of their colleges, schools, intracollege divisions, departments, and other units of the university. [See 1540 A.] [ed. 7-06, 7-09]

**Section 9. Faculty Welfare.** The university faculty recommends general policies and procedures concerning the welfare of faculty members, including, but not limited to, appointment, reappointment, nonreappointment, academic freedom, tenure, working conditions, promotions, salaries, leaves, fringe benefits, periodic evaluations, performance reviews, reassignment, layoff, and dismissal or termination.

**Section 10. The Budget.** Members of the university faculty participate in budgetary deliberations, and it is expected that the president will seek faculty advice and counsel on budgetary priorities that could significantly affect existing units of the university. [See 1640.20, University Budget and Finance Committee.] [ed. 7-05]

**Section 11. Committee Structure.** The university faculty, through the medium of its Faculty Senate, establishes and maintains all university-wide and interdivisional standing and special committees, subcommittees, councils, boards, and similar bodies necessary to the immediate government of the university and provides for the appointment or election of members of such bodies. This section does not apply to *ad hoc* advisory committees appointed by the president or committees made up primarily of administrators. [See 1620 and 1640] [ed. 7-97, 7-09]

**Section 12. Organization of the University.** The university faculty advises and assists the president and the regents in establishing, reorganizing, or discontinuing major academic and administrative units of the university, such as colleges, schools, intracollege divisions, departments, and similar functional organizations.

**Section 13. Bylaws of the Faculty Senate.** The bylaws under which the Faculty Senate discharges its responsibilities as the representative body of the university faculty are subject to review and approval by the university faculty. [See 1580.] [ed. 7-09]

## ARTICLE V--FACULTY SENATE.

**Section 1. Function.** The Faculty Senate functions as provided in this constitution and in accordance with its bylaws as approved by the university faculty. [See I-3 and 1580.] [ed. 7-09]

**Section 2. Structure.** The senate is constituted as follows: [ed. 7-09]

### Clause A. Elected Members. [ed. 7-00]

**(1) College Faculties.** The faculty of each college, except the College of Graduate Studies, elects one senator for each 50, or major fraction thereof, full-time-equivalent faculty members in the college, provided, however, that each college faculty elects at least one senator. If, because of a reduction in the membership of a college faculty, there is to be a corresponding reduction in the college's representation in the senate, the reduction does not take place until the expiration of the term of office of an elected senator from the college. [ed. 7-09]

**(2) University Centers.** The resident faculty of the university centers in Boise, Coeur d'Alene and Idaho Falls each elects one senator from among its number. Those senators shall have the right to participate and vote in faculty senate meetings by means of available two-way video-audio technology located at the centers. If the available technology fails, telephone conferencing will be used. Senators elected to represent a center have a unique role on senate, which is to provide a voice and vote from the perspective of their centers. That perspective is not intended to be college and/or discipline specific. [*add. 7-09, rev. 7-12*]

**(3) Faculty-at-Large.** Members of the university faculty who are not affiliated with a college faculty constitute the faculty-at-large, and this constituent faculty, in accordance with procedures adopted by the faculty-at-large, elects senators to serve with vote in the senate on the same basis as provided above for college faculties. [See 1566.] [*ed. & ren. 7-09*]

**(4) Dean.** The academic deans elect one of their number to serve with vote in the senate. [*ed. & ren. 7-09*]

**(5) Staff.** The representative body (Staff Council) of the university staff elects two employees who do not have faculty status to serve with vote in the senate. [*ed. & ren. 7-09, rev. 7-12*]

**(6) Students.** Two undergraduate students, one graduate student, and one law student serve as voting members of the senate, and the senate provides regulations governing the qualifications, terms of office, and election of student members, and procedures for filling vacancies in the student membership. [See 1580 VI.] [*ed. & ren. 7-09, rev. 7-13*]

**Clause B. Members *Ex Officiis*.** The president or the president's designated representative and the secretary of the faculty are members *ex officio*s of the senate, with voice but without vote. [*ed. 7-09*]

**Section 3. Officers.** Each year the senate elects a chair and a vice chair from among the elected faculty members of the senate. ~~Also, each year a secretary is appointed by the chair, subject to confirmation by the senate, from among the members of the senate or from the membership of the university faculty. The appointment of a person who is not a member of the senate to serve as secretary does not carry with it membership on the senate.~~ [*ed. 7-09*]

**Commented [BE(1):** I suggest deleting this information from the constitution. The Secretary of the Faculty is not a senator and 1570 defines the responsibility of the faculty secretary to support the officers of senate and to take minutes.

**Section 4. Terms of Office.** Elected faculty members of the senate serve for three years. The academic dean shall serve one year, the staff representatives shall serve for staggered two year terms. The terms of office for student members are as established by the senate. [See 1580 VI.] Newly elected members take office each year on September 1 or on the official opening date of the academic year, whichever is earlier. To carry out the requirement that approximately one-third of the elected faculty members are to take office each year, the senate may shorten the initial term of office of faculty senators elected to fill new positions in the senate to conform to a balanced rotation plan. When members are elected to fill a vacancy, they take office at the first meeting after the election and serve for the unexpired term of the vacancy. A faculty member elected to the senate may serve two consecutive terms. After serving two consecutive terms the faculty senate member must wait one full year before they are again eligible for election [see also FSH 1580 III-3]. [*ed. 7-09, rev. 7-12, 7-15*]

**Section 5. Eligibility.** Every member of the university faculty is eligible to vote for members of the senate representing his or her college or other unit. Every member of the university faculty is eligible to serve as an elected member of the Faculty Senate and to hold an elective or appointive office in the senate. [*ed. 7-09*]

**Section 6. Elections.** Regular elections for senators in the senate are held before April 15 of each year in which an election is to be held. All elections for members of the senate are by secret ballot. Appropriate procedures for nominations and elections are developed and approved by a majority vote of the faculty of the college or other unit. [*ed. 7-09*]

### **Section 7. Vacancies.**

**Clause A.** If it is necessary for a member of the senate to be absent temporarily (more

than a month, but less than four months), the candidate who received the next highest number of votes in the most recent election in the college or unit acts as his or her alternate in the senate with full vote. If it is necessary for a member to be absent for more than four months, but less than one year, a special election is held to fill the temporary vacancy. When the senate member returns, he or she resumes the position in the senate. If it is necessary for a member to be absent for more than one year, or if the member is unable to complete the term of office for any reason, a special election is held to fill the unexpired term. [See 1580 VI for procedures covering student vacancies.] [ed. 7-09]

**Clause B.** The chair of the Faculty Senate must declare a position vacant if a member is absent from three consecutive meetings unless the member has informed the chair of the senate in writing that he or she intends to participate fully in the activities of the senate in the future. When a position is declared vacant, the chair must notify the constituency concerned. [ed. 7-09]

**Section 8. Recall.** The recall of a member of the senate may be initiated by a petition bearing the signatures of at least 10 percent, or five members, whichever is greater, of the membership of the particular constituency represented. The petition must be delivered to the chair of the senate. On the receipt of a valid petition, the chair calls a meeting of the faculty of the college or other unit and appoints a chair. Charges against the member are presented in writing and the member is given adequate opportunity for his or her defense. A two-thirds majority vote by secret ballot of the members of the college or other unit present at the meeting is necessary for recall, providing the members present constitute a quorum as defined in the bylaws of the college or other unit. In the event that the vote is to recall the senator, the member may appeal the case to the senate within 10 days. If the case is appealed and the senate affirms the recall, or if the recall stands for 10 days without appeal, the members of the college or other unit elect another senator. Regular procedures are followed in replacing the recalled person, except that the chair of the senate appoints the chair of the election committee of the college or other unit. During the interval between recall and the election of a replacement, the candidate who received the next highest number of votes in the most recent election acts as the alternate in the senate with full vote. [ed. 7-09]

**ARTICLE VI--RULES OF ORDER.** The rules contained in *Robert's Rules of Order Newly Revised* govern all meetings of the university faculty, other faculties, the Faculty Senate, and faculty committees in all cases to which they are applicable and in which they are not in conflict with this constitution, regents' policies, or any bylaws or rules adopted by any of those bodies for the conduct of their respective meetings. An action taken by the university faculty, a constituent or associated faculty, the Faculty Senate, or a faculty committee that conflicts with a previous action by that body takes precedence and, in effect, amends, in part or in full, the previous action. [ed. 7-09]

**ARTICLE VII--AMENDMENTS.** This constitution may be amended by a two-thirds affirmative vote of the members of the university faculty, as defined in article II, section 1, in attendance at a regular meeting, a quorum being present. Proposed amendments must have been published in full in the agenda at least one week before the meeting or presented in writing at a meeting previous to the one at which the vote is to be taken. Amendments to this constitution are subject to review and approval by the president and by the regents.

**UI FACULTY-STAFF HANDBOOK**

## CHAPTER ONE:

## HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

July 2015

1580

## BYLAWS OF FACULTY SENATE

*PREAMBLE: This section contains the bylaws of Faculty Senate which serve to expand on Article V of the Faculty Constitution (1520). This section first appeared in the 1979 edition of the Handbook and has remained substantially the same, minor title changes aside, ever since. In January 2010 the Faculty Council changed its name to Faculty Senate. In 2011 the requirements for publishing senate meeting minutes were revised to reflect changes in publishing processes across the university. In July 2012 the election process for the graduate student representative on Senate was clarified. In July 2013 the Faculty Senate's membership was increased again by one member to represent the Student Bar Association. In July 2015 Faculty Senate member's term was expanded allowing an additional term. For further information, contact the Office of the Faculty Secretary (208-885-6151). [ed. 7-00, rev. 7-10, 7-11, 7-12, 7-13, 7-15]*

## CONTENTS:

- Article I. Function and Membership
- Article II. Duties of Officers
- Article III. Terms of Office
- Article IV. Election of Officers
- Article V. Meetings
- Article VI. Student Members
- Article VII. Executive Committee
- Article VIII. Other Committees

**ARTICLE I--FUNCTION AND MEMBERSHIP.** The function and membership of the Faculty Senate are as provided in the constitution of the university faculty. [See 1520 I-3 and V.] [ed. 7-10]

**ARTICLE II--DUTIES OF OFFICERS.**

**Section 1. Chair.** The chair shall: preside at meetings of the senate; appoint the secretary, subject to confirmation by the senate; appoint special or *ad hoc* committees in consultation with the senate; maintain lines of communication between the senate and the president, between the senate and the university faculty, and between the senate and the Staff Affairs Committee; serve as a member ex officio without vote of all committees and similar bodies under the jurisdiction of the university faculty; and perform all other duties pertaining to the office of chair. Given the nature of leadership responsibilities and time requirements of this position, it is UI administrative policy that the chair is given the opportunity for release time of up to one course per semester, or equivalent. [ed. 7-10]

**Section 2. Vice Chair.** The vice chair shall: assume the duties and responsibilities of the chair in the temporary absence or disability of the chair; serve as chair of the Committee on Committees; and perform such other duties as may be assigned by the chair or by the senate. [ed. 7-10]

**Section 3. Secretary.** The faculty secretary shall be the secretary to the faculty senate and shall maintain minutes and assume other responsibilities set forth in FSH 1570. ~~maintain an accurate record of all meetings of the senate; publish the minutes or a summary thereof on the Faculty Senate website as soon as possible after they are approved; file official copies of the minutes, together with appropriate exhibits, and in the Department of Special Collections and Archives in the University Library for safekeeping; prepare reports of policy actions taken by the senate for review by the university faculty, president, and regents; maintain a file of the minutes of university level standing committees; maintain a file of the current bylaws of the~~

~~senate and of its standing committees; and perform such other duties as may be assigned by the chair or by the senate. [ed. 7-97, 7-10, rev. 7-11]~~

### ARTICLE III--TERMS OF OFFICE.

**Section 1. Members.** The terms of office for members of the senate are as provided in the constitution of the university faculty [1520 V-4] and in accordance with these bylaws. [ed. 7-10]

**Section 2. Officers.** The term of office for officers of the senate is one year, beginning on September 1 or on the official opening date of the academic year, whichever is earlier. No member may serve as chair more than two consecutive one-year terms. [ed. 7-10]

**Section 3. Members Completing Unexpired Terms.** A member who has been elected or appointed to complete the unexpired term of another member and has served more than half of that term will be considered to have served one full term.[see FSH 1520 V-4 – Terms of Office. [ed. 7-10, rev. 7-15]

### ARTICLE IV--ELECTION OF OFFICERS.

**Section 1. Nomination.** Each spring, as soon as practicable following the appointment and election of new members of the senate, the president of the university or the president's designated representative calls and presides at a meeting of those who will be members during the ensuing year for the purpose of nominating candidates for the offices of chair and vice chair. Nominations are by secret ballot, and no other official business is transacted at this meeting. [ed. 7-10]

**Section 2. Election.** Not less than three days following the nominating meeting referred to in section 1, above, the president or the president's designated representative calls and presides at a second meeting of the same group for the purpose of electing the chair and the vice chair for the ensuing term. No other official business is transacted at this meeting. The requirement that there be no less than three days between the two meetings may be suspended only by the unanimous consent of the members in attendance. The procedures for the election are as follows:

**Clause A. Additional Nominations.** Before balloting begins for each office, additional nominations may be made for that office.

**Clause B. Procedure for Balloting.** Elections for officers of the senate are by secret ballot, and a majority of all votes cast is necessary for election, a quorum being present [see V-3]. In the event that more than two candidates are nominated for either office and none receives a majority of the votes cast on the first ballot, balloting continues with the name of the candidate receiving the fewest votes being dropped from the ballot after each vote. In the event that there is no candidate with the fewest votes, balloting continues with all names included until such time as a candidate receives a majority of votes (in which case he or she is declared elected) or until a candidate receives the fewest votes (in which case his or her name is dropped from the ballot and the balloting continues). [ed. 7-97, 7-10]

### ARTICLE V--MEETINGS.

**Section 1. Regular Meetings.** The senate determines the time and place for its regular meetings. [ed. 7-10]

**Section 2. Special Meetings.** Special meetings of the senate may be called at any time by the chair. Such meetings must be called upon the request of the president of the university or the president's designated representative. Meetings may be convened by 35 percent of the voting membership with a three-day written notice to all members. [ed. 7-10]

**Section 3. Quorum.** A quorum is half of the voting members of the senate, including half of the elected membership. [ed. 7-10]

**Section 4. Agenda.** The chair is responsible for the agenda and causes it to be issued at least one day before each regular meeting. Notice of special meetings may be given orally, provided each member so notified is informed of the purpose of the special meeting.

**Section 5. Order of Business.** The usual order of business for regular meetings is: (a) approval of the minutes of the previous meeting; (b) communications; (c) committee reports; (d) special orders; (e) unfinished business and general orders; and (f) new business.

**Section 6. Communications.** Communications that require action by the senate should be furnished in sufficient quantity to provide one copy for each member of the senate and five copies for the secretary. *[ed. 7-10]*

**Section 7. Alternates.** Alternates participate in meetings of the senate only as permitted by the constitution of the university faculty [see 1520 V-7]. This rule does not preclude a member from having another person attend the meeting in his or her stead as an auditor. *[ed. 7-10]*

**Section 8. Policy Actions.** Before each regular meeting of the senate, the agenda for that meeting is to be published on the Faculty Senate website. The website shall include the number, if any, and the title of each agenda item involving the formulation or substantive change of policy and also a link to the proposed redline document. Final action may not be taken on any such item unless it has been included in an agenda previously published on the website and distributed electronically to all senators (preferably the Friday before the meeting, but no later than 24 hours prior to the meeting, see Section 4 above); this requirement for prior notice may be suspended only in emergencies and with approval by a two-thirds vote of the senate members in attendance at a meeting, a quorum being present. *[ed. 7-97, 7-10, rev. 7-11]*

**Section 9. Motions.** Motions involving the formulation or change of policy should be in writing and handed to the secretary. The minutes are to show the names of the person making a motion and of the seconder.

**Section 10. Record of Attendance.** The minutes are to show the names of members attending and of those absent from meetings.

**Section 11. Voting.** Voting on motions is by raising a hand. Proxy votes are not allowed. (According to a standing rule of the senate, the chair does not ask how many members abstained from voting on a particular motion, and abstentions are not recorded in the minutes unless a member requests that his or her abstention be recorded.) *[ed. 7-10]*

**Section 12. Open Meetings.** The university faculty's general regulations governing committee meetings, including meetings of the Faculty Senate, are contained in FSH 1620. *[ed. 7-10]*

**Section 13. Publication of Minutes.** The complete text or a summary of the approved minutes of meetings of the senate is published on the Faculty Senate website and sent electronically to senate members at least one day before the meeting at which they will be ratified. *[ed. 7-97, 7-10, rev. 7-11]*

## ARTICLE VI--STUDENT MEMBERS.

**Section 1. Qualifications.** The two undergraduate-student representatives must have completed at least 26 credits at UI before taking office and must be full-time students as defined in the catalog (regulation O-1). The graduate-student representative must be regularly enrolled in a program leading to an advanced degree.

**Section 2. Terms of Office.** Student members are elected for one-year terms and are eligible for reelection for a second term.

**Section 3. Election.** The election of the two undergraduate-student representatives to serve on the senate is entrusted to the ASUI Senate. The election of one graduate-student representative is entrusted to the Graduate and Professional Student Association. The election of one law-student representative is entrusted to the Student Bar Association. *[ed. 7-10, rev. 7-12, 7-13]*

**Section 4. Vacancies.** Vacancies occurring in student positions are filled by the ASUI and GPSA as appropriate. *[rev. 7-12]*

## ARTICLE VII--EXECUTIVE COMMITTEE.

**Section 1. Function.** The function of the Executive Committee is to act for the senate on emergency matters when the senate will not be in regular session for a period of more than two weeks and a quorum cannot easily be convened. The Executive Committee reports to and is subject to the orders of the senate, and the senate retains the authority to review actions of the Executive Committee. *[ed. 7-10]*

**Section 2. Structure and Quorum.** The Executive Committee is made up of such members of the senate as are present at a meeting called upon 36 hours' written or oral notice. Seven voting members of the senate constitute a quorum for meetings of the Executive Committee. *[ed. 7-10]*

**Section 3. Officers.** The officers of the senate also serve as the officers of the Executive Committee. In the absence or incapacity of both the chair and the vice chair, the members of the Executive Committee attending the meeting designate a chair *pro tempore*. *[ed. 7-10]*

**Section 4. Call of Meetings.** Meetings of the Executive Committee may be called on 36 hours' notice by the chair or vice chair or by the president of the university or the president's designee.

#### **ARTICLE VIII--OTHER COMMITTEES.**

**Section 1. Authority of the Faculty Senate.** Under the authority of the constitution of the university faculty, the senate has the responsibility to establish and maintain all university-wide and interdivisional standing and special committees, except those specifically reserved to the president. [See 1420 A-1-c and 1520 IV-11.] *[ed. 7-00, 7-10]*

**Section 2. General Regulations.** The general regulations governing committees, as adopted by the senate and the university faculty, are contained in 1620. *[ed. 7-10]*

#### **ARTICLE IX--RULES OF ORDER.** [See 1520 VI.]

**ARTICLE X--AMENDMENTS.** These bylaws may be amended by a majority vote of the university faculty, as defined in the constitution of the university faculty [see 1520 II-1], in attendance at a regular meeting, a quorum being present. Amendments that conflict with any provision of the constitution of the university faculty or with regents' policies are without effect. Proposed amendments must have been published in full in the agenda at least one week before the meeting of the university faculty or presented in writing at a meeting previous to the one at which the vote is to be taken.

**FSH 1640.41**  
**FACULTY AND STAFF POLICY GROUP (FSPG)**

*[created July 2017]*

**A. FUNCTION.**

**A-1.** To review non-academic policies and procedures (other than minor amendments, see FSH 1460 B-2) that affect both faculty and staff and that reside in the *Faculty-Staff Handbook* and/or *Administrative Procedures Manual*.

**A-2.** To ensure that both Faculty Affairs and Staff Council are informed, the chair of FSPG will communicate regularly with the chairs of Faculty Affairs and Staff Leadership.

**A-3.** To address and possibly resolve any perceived problems before forwarding proposed policies and procedures to Faculty Senate, the committee is encouraged to seek assistance from, or request meetings with the policy sponsor (see FSH 1460 B-6), general counsel, or others as necessary.

**B. STRUCTURE.** Three faculty, three staff, ~~and the~~ and the following as ex officio: Faculty Secretary, and the /official responsible for coordinating policy, Policy Coordinator, or his/her designee. A broad representation of faculty and staff across the university is expected and who are seen as leaders among their peers. A current member of Faculty Affairs and Staff Council is desirable, if possible. The chair of this committee will be elected by the committee. An ex officio member may be elected as chair of the committee~~the Faculty Secretary/Policy Coordinator (w/o vote).~~ *[rev. 1-18]*

1640.28  
COMMITTEE ON COMMITTEES

A. FUNCTION.

A-1. To appoint members to and fill vacancies on all university-level faculty standing committees, subject to confirmation by the Faculty Senate. To ensure full membership when committees begin meeting each fall, authority is given to the Faculty Secretary, Faculty Senate Chair and Vice Chair (aka Committee on Committees Chair) to fill vacancies as they arise over the summer and early fall semester, subject to confirmation by the Committee on Committees and Faculty Senate. [ed. 7-09, rev. 1-15]

A-2. To conduct a continuing study of UI's committee structure and of the function and structure of individual standing committees, and to make recommendations to the Faculty Senate. [ed. 7-09]

A-3. The Faculty Secretary is a resource for this committee and oversees the process for solicitation of faculty members to serve on university-wide standing committees and maintains committee membership lists.

B. STRUCTURE. Six faculty members, vice chair of the Faculty Senate (chair), Faculty Secretary (w/o vote), ~~and the following or their designees: provost and executive vice president and a representative of staff council and~~ ASUI president, or designee. [rev. 7-05, ed. 7-06, 7-09]

## UI FACULTY-STAFF HANDBOOK

### CHAPTER ONE:

#### HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

---

July 2018

### 1640.42

#### FACULTY AFFAIRS COMMITTEE (FAC)

##### A. FUNCTION.

**A-1.** To conduct a continuing study of salaries, professional problems, welfare, retirement options and benefits (including 403b plans), and working conditions of faculty members.

**A-2.** To call the attention of the Faculty Senate or the president, as appropriate, to matters concerning faculty affairs in any college or other unit that the committee believes should be of concern. *[ed. 7-09]*

**A-3.** To serve as a point of first contact involving questions of interpretation and application of policies affecting the welfare of faculty members such as promotion and tenure. *[rev. 7-17]*

**B. STRUCTURE.** Nine faculty members, not more than two of whom are departmental administrators (administrators above the departmental level are not eligible for membership on this committee). The Vice Provost for Faculty and the Faculty Secretary serves as ~~an~~-ex officio members ~~of the committee~~-without vote. *[rev. 7-08, 1-19, 7-19]*

**UI FACULTY-STAFF HANDBOOK**

## CHAPTER ONE:

## HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

July 2011

1460

## UNIVERSITY-WIDE POLICY DEVELOPMENT STATEMENT AND PROCESS

*PREAMBLE: To promote consistency in the development, modification, and presentation of university-wide policies, this section was adopted in the fall of 2005. This section establishes a process for the creation and change of all university-wide policies; ~~there is a policy coordinator in the person of the faculty secretary~~, a web-based tracking system for new and changing policies, and a web-based tool for offering comments on policies as they are developed at <http://www.webs.uidaho.edu/uipolicy/>. In July 2011 text from the removal of APM 35.31 was included in A; in addition, several processes were clarified and updated throughout the policy. [rev. 7-11]*

**A. General:** The combined participation of students, faculty, and staff is essential in the formulation of policies for the University of Idaho to properly discharge its responsibilities to society; and only through deliberation in the democratic tradition can the best policy decisions be made. The constitution of the university faculty (FSH 1520) provides for a democratic form of governance, including essential means of communication among students, faculty, and staff for making policy changes. This section contains the process applicable to the adoption of new or amended university-wide policies and procedures. The university anticipates that the development and amendment of unit level policies will follow similar review processes for notice and coordination, as appropriate in each case. *[rev. 7-11]*

**A-1. Adopting Policies:** All university-wide policies are adopted in a common format and in the manner described below, in order to promote consistency amongst university-wide policies. This process also ensures that there is general knowledge within the campus community of how to adopt a concept into policy and how to access the policy-making and policy-amending process. *[ed. 7-11]*

**A-2. Context of University Policies:** All university policies fall within a hierarchy of laws, statutes and regulations. University policies are subject to compliance with laws and regulations instituted by higher governing authorities in the following order of hierarchy: *[ed. 7-11]*

1. Federal laws and regulations
2. State laws and regulations
3. Board of Regents/State Board of Education policies and procedures
4. University-wide policies and procedures
5. College policies and procedures (including centers/institutes) *[ed. 7-11]*
6. Unit policies and procedures *[ed. 7-11]*

**B. Definitions:**

**B-1. Draft policy format:** the form in which all proposed new and amended university policies shall be submitted for review and approval. The draft format is set out at the end of this chapter.

**B-2. Minor amendment:** any change to an existing policy that is limited to making the policy or policies consistent with controlling legal authority, including Board policy, or that is a clerical or grammatical change or correction that does not change the intent, scope, application or meaning of the policy.

**B-3. Originator:** a person(s) or group of person(s) with a proposed new or amended policy. *[add. 7-07]*

**B-4. Policy:** a governing principle that embraces general goals and mandates or constrains actions. All proposed policies should include any general procedures necessary for implementation. *[ren. 7-07]*

**B-5. Policy Coordinator:** the individual designated by the administration with responsibility Faculty Secretary; he or she is responsible for coordinating, assisting with, and tracking all university-wide policies. The policy coordinator shall faculty secretary may work closely with -delegate policy coordinator duties as necessary within the office of faculty secretary. *[ren. 7-07]*

**B-6. Policy Sponsor:** the responsible unit administrator having responsibility with the subject area of a proposed new or amended policy. *[add. 7-07]*

**B-7. Procedure:** a statement(s) that prescribes specific actions to be taken to implement established policies. *[ren. 7-07]*

**B-8. Responsible unit:** an office within the university with primary responsibility for a specific area of focus. An example of a responsible unit is the office of Human Resources, which has primary responsibility for employment, benefits, and training and development issues, except in relation to faculty promotion and tenure processes which resides in the provost office. *[ren. 7-07]*

**B. 9. Reviewing Body:** typically a university standing committee or ad hoc task force created to review a proposed new or amended policy. *[add. 7-07]*

**B-10. University-wide Policy:** a policy that has application across the institution. *[ren. 7-07]*

## C. Creation or Amendment of University-wide Policy

### C-1. Initial Policy Development or Amendment

- i) A person(s) or group of persons (originator) with a new policy or policy amendment concept or proposal develops the concept into a draft policy format and discusses the policy with the responsible unit administrator, as applicable, having responsibility within the subject area of the proposed policy. This unit administrator becomes the policy sponsor with responsibility to work with the originator(s) to evaluate the concept or proposal, and to facilitate appropriate and timely action. *[ed. 7-07]*
- ii) The policy originator in coordination with the sponsor is responsible for drafting the proposed policy. The ~~Faculty Secretary~~Policy Coordinator and General Counsel's offices are available at any time for advice in the initial drafting of a new policy and/or if the amendments are extensive or substantive. Upon its completion in approved format, the policy sponsor coordinates with the policy coordinator. *[rev. 7-11]*

### C-2. Policy Review, Comment, and Approval

- i) Policy Coordinator: Upon receipt of a proposed new or amended policy, the policy coordinator reviews the policy and decides whether (1) the necessary broad review has been completed, (2) the policy is in the proper format and, (3) if an amendment, the amendment is a minor amendment. As needed, the policy coordinator will confer with the faculty secretary, senate staff council leadership, general counsel, and/or the provost to decide on appropriate review steps. *[rev. 7-11]*
- a) All proposed new policies and amendments, other than minor amendments, are referred to the appropriate reviewing bodies as identified by the policy sponsor, ~~and the~~ policy coordinator and faculty secretary. In particular, the policy coordinator shall ensure that senate and staff council leadership are consulted regarding pPolicies relating within matters of ~~to shared~~faculty governance ~~are referred to the Faculty Senate.~~ Once near final form and/or submitted to the Faculty Senate, a university policy number will be assigned by the ~~Office of the Faculty Secretary~~Policy Coordinator and the proposed policy posted to the university policy website. The review status of all proposed new

policies and amendments is also posted and kept current on the policy web site. *[ed. 7-09, rev. 7-11]*

- b) All minor amendments are approved by the policy coordinator once in final form and posted on the policy web site. *[ed. 7-11]*
- ii) At a minimum, the review process includes general notice of the policy, and an opportunity for those interested in the policy to comment on the policy. The policy sponsor seeks to inform and solicit comments from the appropriate individuals or groups/committees of the university community, including the groups and individuals most affected by the proposed policy within the faculty, staff, students and administration. A list of all changes is prepared, as needed (a minimum of once a ~~semester~~year), published on the policy website, announced in the ~~UI-Daily~~ Register and sent out by mass email as requested by the Policy Coordinator through Today@Idaho. *[rev. 7-11]*
- iii) The policy sponsor and any designated review committee, reviews the comments, makes recommendations on the policy based on the review and the comments received, and incorporates any revisions into the draft policy *[ed. 7-11]*.
- iv) The final revised policy is made generally available and, if within the purview of faculty governance, submitted to the Faculty Senate for review and recommendation through the faculty to the president. All other policies shall be submitted by the policy sponsor to the president for approval and signature. The President's Office forwards policies to the State Board of Education/Regents of the University of Idaho for notification and approval, as necessary. *[ed. 7-09, 7-11]*
- v) Once the president takes final action on a university-wide policy or the policy coordinator takes final action on a minor amendment other than a permissible clerical or grammatical change, the results of the final action are published on the policy web site tracking sheet and in the Senate Annual Report presented each fall to incoming Senate of policy actions taken in the previous year. (See FSH 1420 for time periods for presidential action on Faculty Senate items). *[ed. 7-09, rev. 7-11]*

### C-3. Temporary Emergency Policy

- i) Notwithstanding subsections C-1 and C-2, the president may adopt, amend or suspend a policy without prior notice and comment, or upon any abbreviated notice and comment that is practicable, if it is established that a failure to act promptly will result in serious prejudice to the interests of the university or of the parties concerned.
- ii) A policy adopted, amended or suspended under this subsection is temporary and may be effective for a period of not longer than 180 days. Action under this subsection does not preclude the subsequent adoption, amendment or suspension of an identical policy under subsections C-1 and C-2. *[ed. 7-06]*

- D. **Policy Implementation:** All new and amended policies go into effect on July 1, or January 1, whichever arrives first after final approval, unless otherwise specified in the policy. The policy coordinator tracks all new and amended policies approved by the president and makes the new policy available on the web by the effective date.



## POLICY COVER SHEET

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

**Faculty/Staff Handbook [FSH]**  Addition  XX Revision\*  Deletion\*  Emergency  
 Minor Amendment   
**Chapter & Title:** FSH3730 Retirement Privileges and Programs

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

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

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

**Originator(s):** Brandi Terwilliger December 7, 2018  
 (Please see FSH 1460 C) Name Date  
**Telephone & Email:** 885-3008 brandit@uidaho.edu

**Policy Sponsor:** (If different than originator.) Brian Foisy December 7, 2018-Reviewed and Approved  
 Name Date  
**Telephone & Email:** 885-7590 brianfoisy@uidaho.edu

**Reviewed by General Counsel**  Yes  No **Name & Date:** Kent Nelson, Reviewed/App. 12/7/18

- 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.  
 Updated this policy to reflect accurate information and make appropriate changes to comply with Retiree settlement
- 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.  
 NA
- 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. As soon as possible

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 THREE:****EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF**

July 2015

3730

**RETIREMENT PRIVILEGES AND PROGRAMS**

*PREAMBLE. This section was an original part of the 1979 Handbook, was changed in July of 1994 to add the optional retirement plan, and most recently changes were made in 2007 to the eligibility criteria and benefits available through the University of Idaho. This January 2008 version updates and supersedes all prior versions.*

*The benefits and programs described in this section are governed by applicable laws and plan documents and are subject to change at any time. In the event of a conflict between this policy and the applicable law or plan document, the law or plan document will control. Employees contemplating retirement should make an appointment with a Benefit Services Specialist to verify eligibility and discuss benefits and options for retirement.*

*Further information regarding retirement is available from Human Resources, Benefit Services [www.uidaho.edu/benefits](http://www.uidaho.edu/benefits) (208-885-3697). [ed. 7-97, 7-02, 9-06, 12-06, 7-15rev. 7-07]*

**CONTENTS:**

- A. Introduction**
- B. State and Federal Retirement Plans**
- C. University of Idaho Privileges and Programs**
- D. Disability Retirement**
- E. Surviving Spouse and Children**

**A. INTRODUCTION.** This policy describes the retirement privileges and programs available to eligible University of Idaho employees upon retirement. The University of Idaho through its Board of Regents reserves the right to change, amend or discontinue any part of the programs described within or any one or all of these programs in part or entirely at any time, to the extent allowed by law. This policy should not in any way be construed as a guarantee of continued employment.

**A-1. State and Federal Retirement Plans.** These include state and federal retirement plans such as the Public Employees Retirement System of Idaho (PERSI), the Idaho Optional Retirement Plan (IORP), the Civil Service Retirement System and the Federal Employees Retirement System. Eligibility criteria and benefits are determined under each plan and can be found in the respective plan documents, which are subject to change. In the event of a conflict between this policy and the plan documents, the plan documents control in all respects.

**A-2. University of Idaho Retirement Privileges and Programs.** These include faculty emeritus and honored staff retiree privileges, eligibility to participate in retiree health programs of the University of Idaho (Retiree Health Program).

**A-2-a. Emeritus Faculty and Honored Staff Retiree Privileges.** This policy sets forth the eligibility criteria for, and benefits of, honored staff retiree privileges. For faculty emeritus privileges, see FSH 1565 H. Emeritus or honored staff retiree status does not automatically confer eligibility for the Retiree Health Program. [ed. -09]

**A-2-b. Retiree Health Program.** This policy sets forth eligibility criteria for the Retiree Health Program. Information regarding specific benefits is contained in the applicable plan documents and may change. In the event of a conflict between the information in the Plan documents and those presented in this policy, the plan documents will control.

**B. STATE AND FEDERAL RETIREMENT PLANS.** University of Idaho employees participate in the following plans, depending on eligibility. Employee contributions are made to PERSI, IORP, the Civil Service Retirement System and the Federal Employees

Retirement System through payroll deduction. The University of Idaho contributes a portion of salary and the employee contributes a portion of salary. These amounts vary from year to year. Current contribution rates are available at [www.uidaho.edu/benefits](http://www.uidaho.edu/benefits) under the "Retirement" menu option. Contributions are suspended while an employee is on leave without pay, except that IORP contributions may be continued by the plan during a qualified disability if a waiver is requested and approved. [ed. 7-15]

**B-1. Public Employees Retirement System of Idaho (PERSI).** PERSI is a defined benefit retirement plan. Eligibility requirements and benefits are governed by the PERSI plan document, which is available at [www.persi.idaho.gov](http://www.persi.idaho.gov). Employees also may contact the plan administrator listed below. The contact information can be found on the benefits website. [ed. 7-15]

**PERSI**

Public Employee Retirement System of Idaho

**B-2. Idaho Optional Retirement Plan (IORP).** IORP is a defined contribution retirement plan. There are currently two plan administrator choices for employees: ~~Teachers' Insurance Annuity Association/Consolidated Retirement Equities Fund (TIAA/CREF), and Variable Annuity Life Insurance Corporation (VALIC), each of which offers many different investment options~~ The contracts for plan administrators are managed through the Board of Regents. For information on the plan offerings visit the [benefit webpage](#). Eligible employees must enroll and select a Plan administrator and self-directed investments when they become eligible. In the event that a Plan administrator and/or investment options are not elected by the employee before contributions begin, default elections and/or investments will be selected. Employee and employer contributions will be directed to the default Plan administrator and deposited within default investment choices, unless or until these have been changed by the employee. Eligibility requirements and benefits are governed by the IORP plan document. For more information, contact the plan administrator ~~listed below~~. The contact information for each can be found on the benefits website. [ed. 7-15]

~~TIAA-CREF  
VALIC~~

Commented [TB(1)]: Contracts for plan administrators are maintained through the Board of Regents.

**B-3. Federal Retirement Plans.** ~~The Civil Service Retirement System and the Federal Employees Retirement System are defined benefit plans available to e~~ Certain grandfathered University of Idaho employees ~~working within the Cooperative Extension System are.~~ Eligibility requirements and ~~eligible for~~ -benefits are governed by ~~the Federal Employees Retirement System, the federal government plan document and applicable federal regulations.~~ For complete information, go to [www.opm.gov/retire](http://www.opm.gov/retire). ~~If you need~~ For assistance, contact Benefit Services at the University of Idaho.

## C. UNIVERSITY OF IDAHO RETIREMENT PRIVILEGES AND PROGRAMS.

### C-1. Definitions.

**C-1-a. Retirement.** An employee may bring about the termination of his or her employment by resigning [see [3930 A](#) and [3940](#)]. Resignation is considered to be "retirement" if the employee has qualified for certain benefits based on age and length of qualified service (defined below). The effective date of retirement shall coincide with the last work day in a calendar month or last work day of a fiscal year. The last day of employment is generally the last day worked [see FSH 3710 B-9]. [ed. 7-15] A discussion with benefit services regarding the anticipated specific date of retirement will help facilitate the transition of appropriate benefits and privileges in a seamless manner.

Commented [TB(2)]: Moved from section below.

**C-1-b. Retiree.** A retiree is a former employee who has terminated his or her employment through retirement.

**C-1-c. Qualified Service.** For purposes of determining retiree health program eligibility, qualified service includes service while employed at the University of Idaho in a position eligible for University of Idaho health benefits excluding those who are only eligible under the Patient Protection and Affordable Care Act (PPACA). This PPACA group is not eligible under the University's criteria for University subsidized health benefits. Service to the University of Idaho will be counted if the employee has been on paid status at half time or greater. Employees on regular academic year appointments receive credit for twelve (12) months of service, provided all other requirements of qualified service are met. Service while employed on a temporary hourly (TH) basis will not be recognized as qualified service. Qualified service performed prior to a break in service is permanently forfeited, except as provided in C-1-e. *[rev. 7-15]*

**C-1-d. Active Health Plan Enrollment.** For purposes of determining eligibility for the Retiree Health Program, years of active health Plan enrollment will be counted for each fiscal Plan year in which the employee has been enrolled as the primary subscriber for dental, life and disability benefits or each year of employment in a position eligible for University of Idaho health benefits excluding those who are only eligible under the Patient Protection and Affordable Care Act (PPACA). This PPACA group is not eligible under the University's criteria for University subsidized health benefits. *[rev. 7-15]*

**C-1-e. Break in Service.** A break in service occurs when there is a separation from qualified service for one day or more. For purposes of this policy, after a break in service an employee forfeits all prior qualified service, unless the employee had at least five (5) years of continuous qualified service prior to the break in service. A break in service does not include the following: (1) periods of any category of approved paid or unpaid leave of absence; or (2) periods during which the employee is eligible for and has opted to remain on the lay-off roster. [Information on the lay-off process is found on the HR webpage.](#)

**C-1-f. Part-time Employees.** Qualified part-time employees who are employed in a health benefits eligible position are eligible for the Retiree Health Program upon retirement excluding those who are only eligible under the Patient Protection and Affordable Care Act (PPACA). This PPACA group is not eligible under the University's criteria for University subsidized health benefits. Service credit for part-time employees will be earned based on a prorated percentage of their full-time status. An employee who temporarily reduces his or her hours of work and remains employed in a health benefits eligible position may earn up to two (2) years of full-time service credit if hours have been temporarily reduced to accommodate transitioning into retirement or to accommodate a family or personal matter. In either case, the employee must obtain written approval in advance from his or her supervisor and Benefit Services. *[rev. 7-15]*

~~**C-1-g. Effective Date of Retirement.** The effective date of retirement shall coincide with the last work day in a calendar month or last work day of a fiscal year. The last day of employment is generally the last day worked [see FSH 3710 B-9]. *[ed. 7-15]*~~

**Commented [TB(3):** Moved to c.1.a. per recommendation of OGC Office.

## C-2. Honored Staff Retiree Privileges

**C-2-a. Eligibility Requirements.** Upon retirement, each member of the classified or exempt staff whose service to the University of Idaho meets one of the following

criteria, and whose employment was not terminated for cause, is designated an honored staff retiree:

- i. Completion of 30 years of qualified service; **or**
- ii. Completion of 15 years of qualified service and attainment of age 64; **or**
- iii. Attainment of age 55 and completion of a number of years of qualified service, such that the sum of the years of age and the years of service is 80.

**C-2-b. Privileges.** Each member of the classified or exempt staff meeting the above eligibility requirements is awarded a presidential commendation for long and faithful service, and his or her name is entered on the list of honored staff retirees especially worthy of continued recognition as members of the University of Idaho community. Privileges available to honored staff retirees are as follows:

- i. Membership in the University of Idaho Retirees Association (UIRA);
- ii. Education privileges [see FSH ~~3740~~3760];
- iii. One, free non-transferable gold parking permit each year;
- iv. Listing in the campus directory;
- v. Honored staff retirees who elect to maintain an active computing account will retain access to services provided by Information Technology Services (ITS) including electronic communications (e.g. – email, instant messaging, etc.), technical support, and [offered software](#); [rev. 7-15]
- vi. Eligibility to receive mailings (upon request), such as the University of Idaho *Register* and similar publications; **and**
- vii. Inclusion in appropriate university, college, and departmental functions.

**Commented [TB(4):** FSH 3740 does not reference Honored Staff or Emeriti

**C-3. Privileges for Emeritus Faculty Retirees.** Privileges for emeritus faculty retirees are enumerated in FSH 1565 E-4. [ed. 9-07, 6-09, ed. 7-15]

**C-4. Retiree Health Program Eligibility.** The Retiree Health Program is divided into four tiers of eligibility requirements and includes varying levels of benefits. Benefits offered in each tier are subject to change. [Enrollment in the UI medical plan is required at the time of retirement to transition to the retiree medical plan. As part of open enrollment Benefit Services shall inform employees they must be enrolled in a UI health plan at the time of retirement in order to be eligible for the retiree health plan.](#)

**C-4-a. Tier I -- Eligibility Criteria.** To qualify for Tier I, an employee must be retired and covered under the Retiree Health Program pursuant to a prior version of this policy, or meet the following criteria on or before September 30, 2007, but may retire later:

- i. Hired on or before January 1, 2002; **and**
- ii. Has been enrolled, or eligible to enroll, as the primary subscriber in the active health plan for at least (5) five years prior to retirement; **and** [rev. 7-15]
- iii. Meets one of the following three criteria:
  1. Has completed at least 30 years of qualified service, regardless of age; **or**
  2. The sum of the number of years of age and qualified service is equal to or greater than 80, to include a minimum age of 55 years; **or**
  3. Has completed at least 15 years of qualified service and attained a minimum age of at least 64 years.

**C-4-b. Tier II -- Eligibility Criteria.** To qualify for Tier II, an employee must meet the following criteria on or before June 30, 2011, but may retire later:

- i. Hired on or before January 1, 2002; **and**
- ii. Has been enrolled, or eligible to enroll, as the primary subscriber in the active health plan for at least (15) fifteen years prior to retirement; **and** [rev. 7-15]

- iii. Meets one of the following criteria:
  1. Has completed at least 30 years of qualified service, regardless of age; **or**;
  2. The sum of the number of years of age, subject to a minimum age of 55 years; plus qualified service, subject to a minimum of 15 years, is equal to or greater than 80.

**C-4-c. Tier III -- Eligibility Criteria.** To qualify for Tier III, an employee must meet the following criteria on or after July 1, 2011, but may retire later:

- i. Hired on or before January 1, 2002; **and**
- ii. Has been enrolled, or eligible to enroll, as the primary subscriber in the active health plan for at least (20) twenty years prior to retirement; **and** [rev. 7-15]
- iii. Meets one of the following criteria:
  1. Has completed at least 30 years of qualified service, regardless of age; **or**
  2. Has completed at least 20 years of qualified service, and the sum of the number of years of age, subject to a minimum age of 55 years, plus years of qualified service is equal to or greater than 90.

**C-4-d. Tier IV -- Eligibility Criteria.** To qualify for Tier IV, an employee must meet the following criteria:

- i. Has been enrolled, or eligible to enroll, as the primary subscriber in the active health plan for at least (10) ten years prior to retirement; **and** [rev. 7-15]
- ii. Has completed at least 10 years of qualified service; **and**
- iii. Is at least 55 years of age. [rev. 7-15]

**C-5. Continued Eligibility for the Retiree Health Program.** Once a Retiree has qualified for the University of Idaho Retiree Health Program, the following conditions must be met for continued eligibility.

**C-5-a.** Retirees and their dependents must enroll in the Retiree Health Program when first eligible or they will lose eligibility. Upon eligibility for the Program, retirees will be required to make a one-time, irrevocable election of available plan options. Current retirees made this election no later than July 1, 2007. Retirees, who are enrolled in the Program; but fail to make an election will be automatically and irrevocably enrolled in the selected default Plan. Plan options and default plans may vary from year to year. Information regarding plan options and which plans will be used for default is available from Benefit Services. [ed. 7-15]

**C-5-b.** For eligible, rRetirees coverage is are first eligibleeffective on the first of the month following -on the date following the effective date of retirement. In order to avoid a gap in coverage between the last day of work and the first day of coverage under the Retiree Health Program, coverage for eligible retirees under the active health benefit program will continue until coverage under Retiree Health Program begins.

**C-5-c.** Covered dependents are first eligible on the same date the retiree becomes eligible or on the date they later become a dependent.

**C-5-d.** All participants, including covered dependents, in any tier of the Retiree Health Program must elect Medicare Parts A and B as their primary payer of benefits when they first become eligible, except to the extent that federal law requires the Retiree Health Program to be primary. All participants must comply with rules set

**Commented [TB(5):** This clarifies there will not be a break in between the last day worked and the first day of coverage under the retiree plan.

forth in the Plan document for each Plan and/or tier of eligibility with respect to Medicare Prescription Drug Coverage (Part D).

**C-5-e.** All participants, including covered dependents, in any tier are subject to coordination of benefits rules as set forth in the applicable plan documents.

**C-5-f.** If coverage under the Retiree Health Program is ended for any reason, there is no opportunity to rejoin the Program at a later date. The only exception is for a Retiree who returns to a benefit eligible position at the University of Idaho following his or her participation in the Retiree Health Program. In this instance, Retiree Health Program coverage will be temporarily suspended. After active employment ends, the Retiree will have the right of reinstatement in the same tier and Plan election(s) that applied on the original date of retirement.

**C-6. Benefits.** Programs offered vary from tier to tier and benefits vary within the Plans available within each tier, as set forth in the applicable plan document(s). These are subject to change without notice. ~~Such benefits include medical coverage, and may include, but are not limited to, vision or hearing benefits, mental health coverage, access to the University of Idaho wellness or disease management programs, dental benefits, life insurance, and/or prescription drug coverage. See benefits webpage for governing plan documents.~~

**C-7. Contributions.** Effective July 1, 2007, all retirees will share in the cost of coverage through a monthly contribution, unless a Plan option which requires no monthly contribution is elected (if applicable).

The University will offer at least one medical Plan option to Tier I retirees which does not require retiree cost sharing through monthly contributions. It is the intention of the University to offer at least one medical Plan option that is less costly, or that for tiers two and three may have no retiree cost sharing. The Plan with no cost or less retiree monthly cost sharing will have less generous benefits such as higher deductibles and higher out of pocket expenses.

**C-7-a. Retirees:** Effective July 1, 2007, retiree cost sharing will begin for retirees in Tier I at a rate of \$30.00 per month for non-Medicare eligible retirees and \$20.00 per month for Medicare eligible retirees; or with no required retiree contribution if the Plan option with less generous benefits (i.e.; higher deductibles and other out of pocket expenses) is elected.

Rates are subject to increase annually. Limits on the amount of increase apply only to Tier I retirees and shall not ~~exceed~~ increase in any one year over the previous year by more than 10%.

~~(1) the percentage increase of the total cost of the Retiree Health and Life Insurance Programs; or (2) ten percent (10%) of the previous year's premium paid by that retiree, whichever is less.~~

All future retirees will make contributions based on the rate in effect for their respective tier and Plan election at the time of retirement.

**C-7-b. Tier IV Retirees:** Except for retirees who qualify as a retiree with a disability and are not yet eligible for Medicare, Tier IV retirees will be responsible for 100 percent of the cost of retiree coverage. ~~Retirees with a disability in Tier IV pay a subsidized rate until Medicare eligibility.~~

**Commented [TB(6):** Language changed to match the retiree settlement agreement.

**Commented [TB(7):** Life insurance will become impossibly expensive due to the closed nature of the eligible group and the University is changing to a self-funded death benefit model which renders this test inapplicable.

**Commented [TB(8):** No longer applicable under current insurance laws and policy

**C-7-c. Sick Leave Conversion:** One half of the unused sick leave hours available at the time of retirement accrued since July 1, 1976, not to exceed a benefit of 600 hours, may be used to pay for the cost of Tier IV retiree health coverage, ~~or to pay for the retiree with a disability share of cost in Tiers I, II, and III.~~

**Commented [TB(9):** No longer applicable under current insurance laws and policy

**EXAMPLE #1:** At the time of retirement, Retiree has accrued 1000 hours of sick leave. Retiree may convert 500 hours to pay for retiree medical coverage.

**EXAMPLE #2:** At the time of retirement, Retiree has accrued 1400 hours of sick leave. Retiree may convert 600 hours to pay for retiree health coverage.

Only Retirees in Tier IV ~~and retirees with a disability in any tier of coverage who separated from employment due to disability and~~ who had a sick leave balance eligible for sick leave conversion as described above are eligible for sick leave conversion. Sick leave conversion ~~is limited to use for the cost of UI retiree medical coverage for the retiree only.~~ ~~may not be used to pay for ported life insurance, voluntary dental, Medicare or any other voluntary benefit, or to cover the cost of coverage for dependents.~~

**Commented [TB(10):** No longer applicable under current insurance laws and policy

**Commented [TB(11):** Changed to reflect only what sick leave conversion can be used for

**C-7-d. Dependents:** Retirees in all tiers will be responsible for payment of one hundred percent of the cost of coverage for all covered dependents.

**C-7-e. Payment:** The cost (if applicable) of retiree and/or dependent coverage must be paid in a timely manner. All plans of coverage ~~(medical, dental, etc., if applicable)~~ will be terminated if the required payment for all plans of coverage is not received within 30 days of the date it is due.

**~~D. DISABILITY RETIREMENT~~**

**Commented [TB(12):** Employees transition to disability as an active employee. There is not a disability process for retiree. Change in law and policies makes this no longer applicable.

~~**D-1. State and Federal Retirement Plans.** An employee who becomes permanently disabled may be able to receive income benefits from his or her retirement plan, or to receive continued contributions to his or her retirement plan at no cost. The respective plan documents govern in all respects. For information regarding disability retirement and plan benefits, contact the applicable plan administrator. Contact information can be found on the benefits website:~~

- ~~PERSI: \_\_\_\_\_~~
- ~~TIAA-CREF: \_\_\_\_\_~~
- ~~VALIC: \_\_\_\_\_~~
- ~~Federal Plans: \_\_\_\_\_ (contact Benefit Services for assistance) [ed. 7-15]~~

~~**D-2. University of Idaho Retiree Health Program for Employees with a Disability.**~~

~~**D-2-a. Eligibility.** An employee qualifies for participation in the Retiree Health Program as a retiree with a disability if he or she meets the following criteria:~~

- ~~i. Qualifies for disability retirement or retirement contribution replacement benefits during disability under the employee's state or federal retirement plan or under the disability insurance plan in effect at the time of the disability, regardless of age; **and**~~
- ~~ii. Is enrolled as the primary subscriber under the University of Idaho active employee medical plan at the time of disability and has been so enrolled for at least ten (10) years.~~

~~**D-2-b. Other Conditions.**~~

- ~~i. A retiree with a disability must apply for Medicare disability benefits upon entry into the Retiree Health Program.~~
- ~~ii. The retiree with a disability and all covered dependents must elect Medicare Parts A and B as their primary payer of benefits when they first become eligible, except to the extent that federal law requires the Retiree Health Program to be primary.~~
- ~~iii. If a retiree with a disability qualifies for any tier of coverage under the Retiree Health Program that provides a more generous or less costly benefit, enrollment in that tier will take precedence.~~
- ~~iv. Retirees with a disability and covered dependents are subject to coordination of benefits rules as set forth in the applicable plan documents.~~

## **E. Surviving Spouse and Children.**

**E-1. Faculty Emeritus or Honored Staff Retiree Privileges.** There is no transfer of Emeritus or Honored Staff privileges as described above or in FSH 1565 E-4. [ed. 6-09]

**E-2. Retiree Health Program.** A covered dependent spouse or child may continue under the Retiree Health Program under the following terms and conditions:

**E-2-a.** Following the death of the retiree, a covered dependent spouse or child may continue coverage under the Retiree Health Program, provided all other Program and plan eligibility requirements are met.

**E-2-b.** Effective July 1, 2007, a covered dependent spouse of a deceased retiree may remain enrolled in the Retiree Health Program even if he or she later remarries, provided all other Program and plan requirements are met.

**E-2-c.** A new spouse of a former covered dependent spouse, or any other newly acquired dependent, may not be added to the Retiree Health Program. However, a dependent child of the retiree who is born after the death of the retiree may be added within 30 days of birth.

**E-2-d.** The covered dependent spouse or eldest covered dependent child will become the new "primary subscriber" in the same Plan election and tier of coverage that applied prior to the retiree's death, provided all other Program and plan eligibility requirements continue to be met. However, regardless of which tier applies, the new primary subscriber will be responsible for the entire cost of coverage based on the full subscriber rate for himself or herself and for all covered dependents, based on the subscriber and dependent rates in effect at that time.

**E-2-e.** If the covered dependent spouse or eldest child does not have the same Medicare eligibility as the retiree had at the time of death, the surviving covered dependent(s) will be transferred to the retiree plan that is consistent with the new primary subscriber's own Medicare eligibility.

**E-2-f.** If a covered dependent spouse or child becomes eligible for coverage under another employer's health plan as either the primary subscriber or as a dependent, eligibility for coverage under the Retiree Health Program will end. Waiving coverage under another employer's plan also will result in a loss of eligibility for the Retiree Health Program.



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

Emergency

Minor Amendment

**Chapter & Title:** 3720 Sabbatical Leave

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

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

**Originator(s):**

(Please see FSH 1460 C)

**Telephone & Email:**

Tara MacDonald 2/5/19 (and SLEC)

Name

Date

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

**Telephone & Email:**

Same

Name

Date

**Reviewed by General Counsel**  Yes  No Name & Date: Kim Rytter 2/8/19

**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.

- 1) minor edits to the policy to clarify language (specifically about timelines and eligibility)
- 2) taking the evaluation form out of the policy itself, so that we can make changes as a committee as needed
- 3) edit to the cover page to clarify that we need letters from both the dean and chair, but that they no longer need to sign the cover sheet.
- 4) title change plus add a sentence to clarify the effect a sabbatical has on disability benefits.

**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. July 1

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 THREE:

## EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

January 2018

3720

SABBATICAL ~~LEAVE~~STATUS

*PREAMBLE: This section describes the terms of eligibility for sabbatical ~~leave~~ for UI faculty. The policy is derived from, and incorporates all of, the State Board of Education, Governing Policies and Procedures, II-G. 3 b. This section was an original part of the 1979 Handbook and has been changed in only editorial ways since. In 2016 changes were made to clarify process and to ensure that any ~~SLECS~~ member, who submits a sabbatical application while serving on the committee, recuse themselves from all evaluations during said period. In 2018 this policy was revised and reorganized to better reflect process and to remove the recusal language added in 2016 which was found to cause more problems than it solved. Except where explicitly noted, the text is as of July 1996. Further information is available from the current chair of the Sabbatical ~~Leave~~ Evaluation Committee. [ed. 6-09, rev. 7-16, 1-18]*

## CONTENTS:

- A. General Policy
- B. Purpose
- C. Period of ~~Leave~~Sabbatical and Restrictions on Service and Salary
- D. Application for Sabbatical ~~Leave~~Status
- E. Criteria and Rating System Used in Evaluating Applications
- F. Schedule for Applying
- G. Position Description and Annual Performance Evaluation
- H. Changes in or Cancellation of Sabbatical ~~Leave~~
- I. Return

**A. GENERAL POLICY.** Members of the UI faculty [see 1520 II-1] having completed six years of ~~employment~~full-time employment at the University of Idaho ~~in a tenure track appointment at who are~~is tenured by the time the ~~leaves~~sabbatical is to be effective may be granted sabbatical ~~leave~~status. A faculty member who is untenured, but expects a tenure decision by the time the sabbatical ~~leave~~is to be taken, may submit an application. Tenured faculty may apply for additional sabbaticals provided that six full academic years have elapsed since the end of the most recent sabbatical and the beginning of the requested sabbatical~~leave~~.

**A-1. Sabbatical Status.** Employees in sabbatical status (longer than six months) retain all regular employment benefits except short term and long term disability. Faculty are advised to contact Benefit Services in HR to discuss how a sabbatical ~~leave~~ may impact their benefits.

**A-2. Fiscal Year Cross-over.** In addition, in the event a sabbatical ~~leave~~ will cross over to a new fiscal year, the faculty member is strongly advised to discuss whether, and what impact, the ~~leaves~~sabbatical may have on salary.

**A-3. Cooperative Extension System.** Sabbatical ~~leave~~ applications by faculty members in the Cooperative Extension System (CES) are processed separately by a committee of the CES. [ed. 7-01, 7-02, 6-09, rev. 1-18]

**B. PURPOSE.** Sabbaticals ~~leaves~~ are designed to encourage scientific inquiry, research, artistic creation, clinical/technical expertise, ~~and~~innovation in teaching or to acquire professional skills or training. [rev. 1-18]

**C. PERIOD OF ~~LEAVE-SABBATICAL~~ AND RESTRICTIONS ON SERVICE AND SALARY.** A sabbatical ~~leave~~ is for one-half academic or fiscal year at full pay or one full academic or fiscal year at half pay, depending on the type of appointment held by the faculty

member. Faculty on sabbatical continue to be full time employees of the University. Outside employment while on sabbatical must be disclosed per FSH 3260. *[ed. 1-11, rev. 1-18]*

**D. APPLICATION FOR SABBATICAL LEAVE.** Complete applications for ~~leaves~~sabbatical must be submitted to the provost or designee who will collect and forward them to the Sabbatical Leave Evaluation Committee (SLEEC). The application must contain: *[ren. & rev. 1-18]*

**D-1. Cover Page.** ~~The A-required cover page template for the cover page is included at the end of this policy and must be filled out completely is available on the Provost's Office website.~~ *[ren. & rev. 1-18]*

**D-2. Abstract.** Maximum length: 100 words. *[ren. 1-18]*

**D-3. Description of Proposed Plan for Sabbatical.** Major headings should include a detailed statement of what the applicant plans to do while on sabbatical, the objectives and significance of the proposed activities, the value of these activities to the applicant's UI obligations, the feasibility and methods of accomplishing the objectives, and the applicant's qualifications pertinent to the proposed activities. This section should consist of not more than four single-spaced typewritten pages. In the case of an application for a sabbatical crossing over the beginning of a new fiscal year, an explanation of the reasons for the timing of the sabbatical should be provided. *[rev. 7-97, ren. & rev. 1-18]*

**D-4. Curriculum Vitae (CV).** The applicant's CV must be on the standard University of Idaho form. *[ren. & rev. 1-18]*

**D-5. Letters of recommendation.** A letter of recommendation from both the applicant's college dean ~~and~~ unit administrator ~~(if applicable)~~. *[ren. & rev. 1-18]*

**D-6. Appendix.** Letters of invitation or acceptance from persons with whom the applicant plans to work, itinerary, and other supportive documentation should be appended to the application. *[ed. 7-98, 7-02, ed. 8-11, ren. & rev. 1-18]*

**E. CRITERIA AND RATING SYSTEM USED IN EVALUATING APPLICATIONS.** The SLEEC evaluates applications according to the criterion and rating system set forth in this policy below and makes recommendations to the provost who notifies applicants of the disposition of the application. *[ren. & rev. 1-18]*

**E-1. Criteria:**

**a. Preparation, Thought, and Documentation:** Organization of the application, originality of the idea, thoroughness, specificity, feasibility, preliminary work done on the project in addition to the planning, letters of appointment and acceptance, other documents supportive of the application, and the applicant's plans for travel, if that is an integral feature of the application. *[rev. and ren. 7-97, 1-18]*

**b. Benefit to UI and Applicant:** Contribution to applicant's knowledge and understanding, contribution to teaching or other assigned duties at UI, publications or other scholarly works resulting from the project, enhancement of professional status, recognition for UI, and contribution to special projects or to UI programs. *[rev. and ren. 7-97, ren. 1-18]*

**c. Applicant's Record of or Potential for Research, Teaching, Service and/or Other Pertinent Activity:** Publications, performances, grants, postdoctoral fellowships, ~~sabbaticals~~leaves, participation in relevant professional organizations, record of achievement on previous grants and leaves (FSH 3710), evaluation by unit administrator and dean, and evidence of excellence in teaching, service, or other evidence of contribution to the university. *[rev. and ren. 7-97; ed. 7-98, 8-11, ren. 1-18]*

**d. Decision:** The decision as to the acceptability of an application may not be based on whether additional remuneration may be received by the sabbatical applicant. *[ren. & rev. 1-18]*

**E-2. Rating System.** The application will be rated by the ~~SLECSEC~~ according to the following ~~100-point~~100-point rating system: *[ren. & rev. 1-18]*

a. Merit and feasibility of the proposed sabbatical plan, 60 ~~percent~~points. *[rev. 7-97, ren. & rev. 1-18]*

b. Applicant's record or potential for research, teaching, service and/or other pertinent activity, 25 ~~percent~~points. *[add. 7-97, ren. 1-18]*

c. Length of service to UI in a tenure-track position, up to 15 ~~percent~~points. Each year of service, counting from the faculty member's initial appointment in a tenure track position or from their most recent sabbatical ~~leave~~, whichever is ~~less~~, ~~later~~, ~~is assigned a weight of one point, limited to a maximum of 15.~~ *[ren. and rev. 7-97, 1-18]*

**F. SCHEDULE FOR APPLYING.** Each year there are two rounds of application consideration: *[ren. & rev. 1-18]*

**F-1. Round 1. Deadline March 31<sup>st</sup>.** This deadline applies to:

- a. Faculty with an academic year appointment planning to begin a full-year sabbatical at the start of the second fall semester after submitting the application;
- b. Faculty with an academic year appointment planning to begin a one-semester sabbatical at the start of the second fall semester or the second spring semester after submitting the application;
- c. Faculty with a fiscal year appointment planning to begin a full-year sabbatical at the start of the second fiscal year after submitting the application;
- d. Faculty with a fiscal year appointment planning to begin a half-year sabbatical during the second fiscal year after submitting the application.

**F-2. Round 2. Deadline October 31<sup>st</sup>.** This deadline applies to ~~faculty who missed the Round 1 deadline:~~

- a. Faculty with an academic year appointment planning to begin a full-year sabbatical at the start of the next fall semester;
- b. Faculty with an academic year appointment planning to begin a one-semester sabbatical at the start of the next fall semester or the second spring semester after submitting the application;
- c. Faculty with a fiscal year appointment planning to begin a full-year sabbatical at the start of the next fiscal year after submitting the application;
- d. Faculty with a fiscal year appointment planning to begin a half-year sabbatical during the next fiscal year after submitting the application.

**G. POSITION DESCRIPTION AND ANNUAL PERFORMANCE EVALUATION.** Faculty members on sabbatical remain full time employees of UI. Faculty members are expected to ~~include their sabbatical purpose and goals on their position description~~ submit a new position description prior to the start of their sabbatical that reflects the appropriate change in duties while on sabbatical. Their annual performance evaluation must reflect whether the purpose and goals of the sabbatical were achieved. *[ren. & rev. 1-18]*

**H. CHANGES IN ~~OR CANCELLATION OF SABBATICAL~~.** If a faculty member must change the purpose, place, or time of the sabbatical ~~leave~~, ~~or needs to cancel their leave~~, the faculty member must submit a revised cover sheet indicating the type of change along with an updated recommendation from the dean and unit administrator, to the ~~SLECSEC~~. The ~~SLECSEC~~

will review the change and make a recommendation to the provost for final approval. This request must state the rationale for the changes and update the sabbatical ~~leave~~ plan to reflect these changes. *[ed. 8-11, ren. & rev. 1-18]*

I. CANCELLATION OF SABBATICAL. If a sabbatical must be cancelled, the faculty member must submit written notification of cancellation to the Provost's Office along with confirmation from the dean and unit administrator (if applicable). Cancelled sabbaticals cannot be reinstated, but faculty may re-apply through the normal application process.

I.J. RETURN. Faculty members ~~are expected either to~~ must return to the active service of UI for at least one academic year after completion of the ~~leavesabbatical~~ or ~~to~~ repay the money received from UI while on ~~leavesabbatical~~, unless the president approves a waiver of this requirement. Results of the sabbatical should be ~~detailed~~ documented on the annual performance evaluation and will serve as the official record of return and accomplishment. *[rev. 7-97, 7-02, 7-13, 7-16, ed. 8-11, ren. & rev. 1-18]*

SABBATICAL LEAVE EVALUATION FORM *[rev. 7-97, 1-18]*

APPLICANT'S NAME \_\_\_\_\_

SEMESTER(S) APPLIED FOR \_\_\_\_\_

PURPOSE OF LEAVE \_\_\_\_\_

I. VALUE OF PLAN (Maximum 60 points)

A. Preparation, Thought, and Documentation (where appropriate) \_\_\_\_\_ (30 points)

(For preparation and thought, consider the following: organization of the application, originality of the idea, thoroughness, specificity, feasibility, and preliminary work begun on project beyond planning; for documentation consider the following: itinerary, letters of appointment, letters of acceptance, and other supportive documentation if applicable.)

Excellent 27-30; Good 22-26; Average 16-21; Poor 8-15; Unacceptable 0-7 \_\_\_\_\_ Points \_\_\_\_\_

B. Benefit to University and Individual \_\_\_\_\_ (30 points)

(Consider the following: contribution to applicant's knowledge and understanding, contribution to teaching or other assigned duties at university, publications or other scholarly works resulting from project, enhancement of professional status, recognition for university, contribution to special projects or programs within university.)

Excellent 27-30; Good 22-26; Average 16-21; Poor 8-15; Unacceptable 0-7 \_\_\_\_\_ Points \_\_\_\_\_

II. APPLICANT'S RECORD OR POTENTIAL FOR RESEARCH, TEACHING, SERVICE AND/OR OTHER PERTINENT ACTIVITY (Maximum 25 points) \_\_\_\_\_  
(25 points)

(Consider the following: publications, performances, grants, post-doctoral fellowships, leaves, participation in relevant organizations, record of achievement of previous grants and leaves, evaluation by unit administrator and dean, including their assessment of the proposed sabbatical plan and annual evaluation forms, evidence of excellence in teaching, service, or other evidence of contributions to the university, as required by the applicant's position description.) *[ed. 8-11]*

Excellent 23-25; Good 19-22; Average 13-18; Poor 8-12; Unacceptable 0-7 \_\_\_\_\_ Points \_\_\_\_\_

III. SERVICE (Maximum 15 points)

(One point awarded for each year of service to university since the last sabbatical leave to a maximum of 15 points.) \_\_\_\_\_

Points \_\_\_\_\_

EVALUATOR \_\_\_\_\_

DATE \_\_\_\_\_

Total Points \_\_\_\_\_



**APM 50.21, Documenting and Addressing Unsatisfactory Performance of Classified Staff** – Edits attached.

**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: Staff Council appr. 1/25/19\_\_

Policy Coordinator Appr. & Date: _____ <i>[Office Use Only]</i>
--------------------------------------------------------------------------

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

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

<i>APM</i>
F&A Appr.: _____
<i>[Office Use Only]</i>

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

---

June 2009

3340

**PERFORMANCE EVALUATION OF STAFF EMPLOYEES**

*PREAMBLE: This section contains those policies and their attendant procedures for those periodic performance reviews of classified personnel and exempt personnel. An original part of the 1979 Handbook, this section was revised in December of 1992, inter alia to reflect changes in step increases. Unless otherwise noted, the text is that of July 1996. For further information, contact Human Resource Development (208-885-9164). [ed. 7-97, 12-04, 6-09, rev. 7-98]*

**CONTENTS:**

- A. General Principles
- B. Instructions for Completing the Performance Evaluation Form

**A. GENERAL PRINCIPLES.**

**A-1.** Performance evaluation is a responsibility of every ~~manager-supervisor~~ and should be performed in a timely manner for every employee. The purposes of performance evaluation include but are not limited to: facilitating employee productivity and professional growth, encouraging communication between employees and supervisors, documenting performance strengths and weaknesses, supporting meritorious salary increases or identifying the basis for demotion, disciplinary action or dismissal and motivating improvement in performance. ~~To assist supervisors, Human Resource Development staff provide training in performance appraisal techniques through workshops as well as through individual assistance.~~[ed. 12-04]

**A-2.** A formal evaluation of performance ~~should~~ shall be performed at least once a year, generally during January. Classified employees who are new to a classification will be evaluated after three months of service in the probationary period and again at the end of the probationary period but no later than six (6) months in the new position. [rev. 7-02, rev. 12-04]

**a.** Performance evaluations may also be conducted at other times at the discretion of the supervisor or ~~department-unit~~ administrator to ~~further~~ assist employees in improving performance or to formally advise them of performance or disciplinary problems. [ed. 7-02]

**b.** Supervisors ~~and/or unit/department~~ administrators ~~(depending on procedures of the department)~~ are responsible for evaluating performance in a responsible and timely manner. [rev. 7-98, ed. 7-02]

**A-3.** The performance evaluation form is a guide for evaluating the performance of all exempt staff and classified staff. Forms for each employee may be downloaded from the Human Resources website ([www.uidaho.edu/humanresources.aspx](http://www.uidaho.edu/humanresources.aspx)). Human Resources notifies department administrators when annual or probationary evaluations are due. [rev. 7-02, ed. 12-04, 6-09]

**A-4.** The employee's job description provides an objective standard by which performance is evaluated. Job descriptions for classified positions and some exempt staff

positions are on file in Human Resources. Factors that also are considered include, but are not limited to, ability to work with other employees, record of attendance, and tardiness. [ed. 12-04, 6-09]

**A-5.** Evaluation of performance ~~should~~ shall be conducted by an employee's immediate supervisor or ~~department-unit~~ administrator (depending on the procedures of the department). The evaluation should include a discussion between the supervisor and the employee regarding: (a) what is expected of the employee, including a review of standards of performance in the job description as well as goals and objectives established at the prior evaluation; (b) the supervisor's evaluation of performance for the current period; and (c) developmental activities or performance goals included in the review which will improve performance during the upcoming period. The employee is expected to participate in the discussion. [ed. 7-02]

**A-6.** Following the supervisor's completion of the written evaluation ~~discussion of performance between the supervisor and the employee, the employees have~~ the opportunity to indicate in writing whether ~~they or she~~ concurs with the evaluation and to enter ~~his or their~~ written comments regarding the evaluation in the "Employee Comments" section of the performance evaluation form.

**Commented [MW(1):** Based on feedback from a Staff Council member

**A-7.** The written evaluation serves as the official record of performance; hence, it should be as complete as possible, signed and dated, and sent to Human Resources no later than the last working day in February. One copy of the evaluation is given to the employee, and one copy retained in the ~~department-unit~~ and should be referred to when subsequent evaluations are conducted. The official series of evaluations in HR becomes a record that supports decisions such as promotion or dismissal. [rev. 7-02, rev. 12-04]

**A-8.** A probationary classified employee who receives an overall unsatisfactory performance evaluation ~~shall not be ineligible to~~ be certified as having completed probationary status. In most instances, an unsatisfactory performance evaluation should be accompanied by a recommendation for demotion or termination of employment. In rare cases, the probationary period may be extended for up to an additional 90 days, with written performance reviews required at 30 and 60 days, and the final written evaluation completed no later than 90 days. (See APM 50.21) [rev. 7-02, ed. 12-04]

**A-9.** ~~An employee who had previously been certified as having satisfactorily completed entrance probation may also be placed in probationary status following an evaluation which indicates that overall performance is less than satisfactory. A previously certified employee who receives an overall rating of "needs improvement" or "unsatisfactory" must be placed on a performance development plan (PDP) to document the necessary improvement or the lack thereof. reevaluated, with written performance reviews required at 30 and 60 days, and the final written evaluation completed by 90 days with the employee's progress or lack of it recorded. If the necessary improvement is not achieved through use of the PDP. In the event that an overall rating of satisfactory is not achieved,~~ other steps must be taken; these may include, but are not limited to, ~~probation,~~ demotion, suspension, or termination of employment. (See APM 50.21) [ed. 12-04]

**A-10.** Performance levels ~~in each criterion evaluated~~ are described as follows:

**Commented [MW(2):** Based on feedback from a Staff Council member in light of the new narrative option which only has an overall rating instead of individual "criteria"

- a. **Outstanding** is extraordinary performance well beyond that required for the position. [rev. 7-02]

- b. **Exceeds Requirements** represents performance which is better than that expected of a fully competent employee. *[rev. 7-02]*
- c. **Meets Requirements** is the performance expected of a fully competent employee and is defined as falling within a broad band of accomplishments ranging between “needs improvement” and “highly competent.” *[rev. 7-02]*
- d. **Needs Improvement** denotes performance that is less than that expected of a fully competent employee. It means improvement is necessary. A rating of this type should be thoroughly discussed with the employee, ~~and the employee placed on 90 day probation.~~
- e. **Unsatisfactory** performance is inferior to the standards for the position. It should be used when an employee clearly fails to perform one or more duties critical to the job and the overall impact of the employee’s performance is such that termination of employment is considered and may be implemented. ~~At the minimum, the rating will be thoroughly discussed with the employee, and the employee placed on 90 day probation.~~

#### ~~B. INSTRUCTIONS FOR COMPLETING THE PERFORMANCE EVALUATION FORM.~~

~~**B-1.** Refer to the employee’s job description and agreed upon performance goals or Performance Development Plan (PDP) as the appropriate frame of reference for evaluation. Please attach a copy of the job description and goals (or PDP) to the completed evaluation form. *[rev. 7-02, ed. 12-04]*~~

~~**B-2.** Prepare a draft evaluation in preparation for discussion with the employee. The supervisor may wish to provide the employee with a blank evaluation form and ask him or her to prepare a self-assessment in preparation for the discussion that may be voluntarily given to the supervisor. *[ed. 7-02]*~~

~~**B-3.** Complete the evaluation form, providing examples and written comments as appropriate. The form is designed for multiple employment settings. If a particular evaluation criterion is not applicable, please check “NA,” provide a brief explanation, and continue to the next criterion.~~

~~**B-4.** Complete the rating for each of the relevant categories. Often an employee will have a range of ratings throughout the categories indicating individual strengths and weaknesses.~~

~~**B-5.** Schedule and conduct a performance review with the employee to discuss the evaluation. Encourage employee participation in this discussion. *[rev. 7-02]*~~

~~**B-6.** Offer the employee the opportunity to add written comments in the “Employee Comments” section.~~

~~**B-7.** The performance evaluation form is to be signed by the supervisor who completes it, and by the employee who receives it. If the employee refuses to sign the evaluation, the supervisor should note this fact on the evaluation; if so noted, refusal by the employee to sign the evaluation does not mean the evaluation is incomplete. In addition, each evaluation form is to be reviewed and signed by the department administrator with budget~~

**Commented [AT3]:** This process is covered in APM 50.08.

~~authority. Subsequent review by senior administrators is an option that may be exercised by those administrators. [ed. 7-02]~~

~~**B-8.** Please distribute final signed copies of the completed evaluation form as follows: original to the employee's file in Human Resources; a copy to the dean's or director's office, a copy to the evaluator's department file; and a copy to the employee. [rev. 7-02, ed. 12-04]~~

~~**B-9.** In the event the performance review leads to a recommendation of probation, demotion or termination of employment, see 3360 and 3930. The supervisor is expected to consult with the director of employment services in these cases. Should demotion, suspension or termination of employment be recommended, the evaluation must first be reviewed by a senior administrator at the level of dean or director, or above, as well as the director of employment services before the form is delivered to the employee. [ed. 7-02, 12-04]~~

(Staff Performance Evaluation Forms are on Human Resources website.)



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

Emergency

Minor Amendment

**Chapter & Title:** 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](mailto:apm@uidaho.edu) or [fsh@uidaho.edu](mailto:fsh@uidaho.edu) respectively.

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

**Originator(s):**

Marty Ytreberg Feb. 20, 2019

(Please see FSH 1460 C)

Name

Date

**Telephone & Email:**

208-885-6908 ytreberg@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.

FAC approved new version of Admin Eval. to substitute earlier version passed Fall 2018. This revision includes language with regard to a faculty initiated review, and on how confidential feedback will be collected.

**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.

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)
------------------------------------------------------------------------------------------------------------------------------

**FS-19-063 (FS-19-001-Substitute) - FSH 3320 C. – Administrator Evaluation**

**C. ANNUAL PERFORMANCE EVALUATION AND REVIEW OF ADMINISTRATORS HOLDING FACULTY APPOINTMENTS.** This policy applies to all administrators holding faculty appointments including, but not limited to, those reporting directly to the provost and deans.

**C-1. Annual Performance Evaluation of Administrators.** Each administrator holding an appointment as a faculty member shall complete a position description pursuant to FSH 3050, and shall complete the annual performance evaluation process described above. The performance evaluation shall be conducted by the person to whom the administrator directly reports. The evaluator shall seek input from the unit administrator of the unit in which the administrator holds a faculty appointment regarding the evaluation of Teaching and Advising, Scholarship and Creative Activities and Outreach and Extension to the extent the administrator's position description includes expectations in these areas. The evaluator shall also review the administrator's performance in the area of University Service and Leadership. An administrator's annual performance evaluation shall be completed using the Faculty Annual Performance Evaluation form appended to this policy. The review shall state whether the administrator met or did not meet expectations.

**C-2.** This annual evaluation of administrators in the area of University Service and Leadership shall focus on the responsibilities set forth in FSH 1420, if applicable, the responsibilities set forth in the unit bylaws, if applicable, and the expectations set forth in the administrator's position description. The evaluator shall ensure that faculty and staff interacting with the administrator have the opportunity to provide confidential feedback regarding the administrator's performance to the evaluator. ~~The Evaluator may use Form 2 (linked at the bottom of this policy) or other mechanisms to gather such feedback.~~ All feedback will be collected by Institutional Effectiveness and Accreditation (IEA) to maintain confidentiality. Identifying information will be redacted from the feedback by IEA before the feedback is provided to the evaluator.

**Commented [AT1]:** FAC revised 3/15/19 per Senate's suggestion on 3/5/19

**C-3.** No Expectation of Continued Service. Administrators do not have an expectation of continued service in their administrative appointments. The President, Provost and/or Dean may determine at any time that it is not in the best interest of the university, college or unit that the administrator continue to serve in his or her administrative capacity.

**C-4. Review Initiated by Faculty** An administrator review may be initiated through a petition signed by at least 50% of the faculty members in the unit and delivered to the provost. The names and percentages of faculty signing the petition shall be maintained in confidence by the provost.

**Commented [AT2]:** FAC revised 3/15/19 per Senate's suggestion on 3/5/19

1. A review under this sub-section shall be conducted by a three person committee appointed by the provost or dean composed of at least one individual in similar positions to the administrator as well as at least one tenured faculty member from the unit. The review shall focus on the administrator's performance of the responsibilities.

2. The committee shall consider the following information:

- a. Any report submitted by the administrator regarding their performance;
- b. Input from the administrator's supervisor regarding their performance;
- c. Input from the faculty and staff in the unit;
- d. Input from other constituencies that engage with the administrator.

3. The committee shall prepare a written report summarizing its findings and recommendations regarding the administrator's performance. This report shall be provided to the administrator. The administrator shall have the opportunity to respond to the committee report. The committee report, and any response, shall be forwarded to administrator's supervisor and the provost.

4. The supervisor and provost may provide further feedback and performance recommendations to the administrator based on the report.

5. Upon completion, the supervisor or provost shall notify the faculty and staff in the unit of the review.

**Commented [BE(3)]:** Tibbals Amendment, but was accepted as a friendly amendment on behalf of the Faculty Affairs Committee by the chair Marty Ytreberg.



## UI FACULTY-STAFF HANDBOOK

### CHAPTER THREE:

#### EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

July 20019

3420

### FACULTY SALARIES

*PREAMBLE: This section describes the procedures used to determine faculty salaries, including salaries for summer session, salaries for other teaching activities not covered by the basic appointment, and additional compensation for administrative appointments. Cf. RGP II.G.*

*NOTE: It is the Regents' policy to define "faculty" for purposes of salary and other reporting purposes as follows: "Faculty" includes all persons whose specific assignments are made for the purpose of conducting instruction, research, or public service as a principal activity (or activities), and who hold the academic rank/titles of professor, associate professor, assistant professor, instructor, lecturer, or the equivalent of any of these academic ranks. This category also includes deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or the equivalent) if their principal activity is instructional. Not included are teaching or research assistants or medical interns or residents. The material in this section was all an original part of the 1970 Handbook. Revisions since that time have varied from major (2002) to minor (1988); with regard to subsection B-2 it is worth noting that the caveat that UI's salary adjustment guidelines are constrained by legislative and regents' actions was added in June 1988, while F-1 was modified slightly at the same time so as to clarify the regents' intentions concerning payments for work done above and beyond regular duties. In 2009 it was discovered that language in 3320 A 2 a f was identical to B-1 through B-6 of this policy. Thus, FSH 3320 A 2 a f was removed and FSH 3320 A 2 g became B-7 in this policy. Unless otherwise noted, the text is as of July 1996. Further information may be obtained from the Provost's Office (208 885 6448) or the Office of the Faculty Secretary (208 885 6151). [ed. 7-00, 7-02, rev. 7-09]*

#### CONTENTS:

- A. Salary Adjustment Guidelines
- B. Salary Determination

#### A. FACULTY SALARY Market Compensation. -ADJUSTMENT GUIDELINES.

*NOTE: When the faculty established these guidelines in the late 1960s, it intended that the salary adjustment process (see 3420) be implemented using these principles as guidelines within constraints that may be imposed by the legislature or the regents. [ed. 7-02]*

**A-1. SALARY ADJUSTMENTS.** Salaries shall be determined with reference to nationally validated market salary rates; pursuant to a model developed in consultation with the faculty and shall be communicated annually.

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

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

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

**Commented [AT1]:** There are references to this policy in FSH 3120 and FSH 4250 that need to be addressed.

FSH 3120 I believe the reference to 3420 can simply be removed, or at least the E-4 as that no longer applies. However, it might be good for Provost Office to look into whether this policy is up-to-date. Summer Session used to have a formula (prorated piece) that resided in 3420 E-4 (reference as noted) but that went away a long time ago. There may be another place that summer salary resides that could be referenced but not sure perhaps provost, HR or payroll website.

FSH 4250 is similar to above, seems out of date and the specific reference to E,D,F-1 no longer apply with these changes to 3420. Perhaps there is another place that speaks specifically to continuing ed etc.

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

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

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

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

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

Factors to be considered in recommending salary adjustments are:

**a. Cost of Living.** First consideration is given to cost of living adjustments for all faculty members. This adjustment should be a uniform percentage of the salary of each faculty member at a given salary level, but need not be the same percentage at all salary levels.

**b. Promotions, Inequities, and Special Situations.** Second consideration is given to: (a) adjustment of inequities, and (b) providing for special situations.

**c. Incentive.** Third consideration is given to providing an increment, in addition to the authorized cost of living adjustment, as an encouragement to those whose service has been sufficiently deserving. Unit administrators and deans, in consultation with their faculties, may establish criteria for this level of salary increase and may establish two subcategories within it. [ed. 7-09]

**d. Outstanding Performance.** Final consideration is given to rewarding those whose performance is recognized by virtually all observers as exceptional. Subject to budgetary constraints and applicable presidential directives, unit administrators and deans may determine the size of such increments. [ed. 7-09]

**A-2. SALARY MODEL.** Each year the budget office issues Salary Guidelines, which provide information on how to apply the University's Salary Model given the fiscal issues relevant to the upcoming fiscal year. The Salary Model is maintained by institutional research & assessment and can be read at <http://www.uhome.uidaho.edu/default.aspx?pid=99819> [ed. 7-07, 7-09]

### **A-3. CONSULTATION PROCEDURES.**

**a.** In matters of salary adjustments, the primary role of the Faculty Senate's University Budget & Finance Committee is to participate in the determination of the total amount of money to be made available for these adjustments. In applying these guidelines, the provost should work closely with the Faculty Affairs Committee and Provost Council. [7-05, 7-09]

~~b. The Faculty Senate is keenly interested in salary adjustment matters and expects that, when they are being considered by the Faculty Affairs Committee, the chair of that committee will keep the council informed of the committee's recommendations so that the University Budget & Finance Committee may, in turn, be informed of the manner in which the guidelines are being applied. [ed. 7-09]~~

~~e. A faculty member who believes that his or her salary is not equitable may grieve the salary recommendation through the Faculty Appeals Hearing Board, 3840.~~

~~**B. SALARY DETERMINATION.** This process is carried out at the unit and higher levels of academic administration. Each year the provost specifies the definitions of the salary increment categories to be used and prescribes their proportionate distribution. A "Salary Recommendation" form is completed for each faculty member according to the schedule established by the provost. [See also 3380 E and 3420.] [ed. 7-09]~~

~~**B-1. Unit Action.** The unit administrator enters a recommended salary increment category in the space provided on each salary form. This recommendation will reflect the performance evaluation described in A, relative salary position, and other relevant factors. Special considerations should be noted in the "Comments" section at the bottom of the form or by an accompanying written statement. The unit administrator will submit written justification if his or her assignment of specified salary increment categories departs substantially from the prescribed distribution. Such justifications are taken into consideration by the dean in arriving at an equitable college-wide distribution among the categories. The unit administrator forwards the salary form for each faculty member to the dean, together with a listing of all members of the unit. [ed. 7-09]~~

~~**B-2. College Action.** Deans, at their discretion, may require administrative officers under their jurisdiction to supplement their salary increment recommendations by such means as copies of the evaluation forms, written statements, or personal conference. The dean enters a recommended salary increment category in the space provided on each salary form. The dean's distribution of faculty members among the salary categories is guided by the recommended proportions and takes into account possible differences in qualifications and merit among departments; e.g., it may be that the average members of an outstanding department are given consideration equal to that accorded the top members of an average department. When this stage has been completed, the dean meets individually with each unit administrator for review of the dean's recommendations. The dean forwards the salary form for each faculty member to the provost. [ed. 7-09]~~

~~**B-3. Presidential Action.** Review and action by the provost consists primarily of making adjustments necessary to arrive at an equitable distribution of faculty members among salary-increment categories for UI as a whole. After a recommended salary increment category has been established at the unit, college, and presidential levels, a copy is sent to the faculty member. The president determines, on the basis of funds available, the salary increment range applicable to each category.~~

~~**B-4. Budget Office Action.** The Budget Office provides computer printouts showing current salary and tentative salary for the coming year and sends the appropriate list to each dean.~~

~~**B-5. Review and Adjustment.** The dean, in consultation with each unit administrator in the college, makes corrections and minor adjustments as necessary to place each faculty member on the proper salary basis within the department. The aggregate of final salary recommendations must fall within the total salary increase budget established for the college. [ed. 7-09]~~

~~**B-6. Final Approval.** The provost, after consultation with the deans, approves the corrected lists. When they have been approved by the president and the regents, faculty members are~~

officially notified of their salaries for the coming year and "Salary Agreement" forms [see 3080 E-2] are sent to them for completion.

~~**B-7. Merit based Salary Increases Not Funded.** If, in any year or consecutive preceding years, funding is not provided for merit based salary increases or funding is only provided for cost of living increases, the annual review reports will be retained at the unit level. At such time as merit based salary increases are available, the recommendation for merit increases shall be based upon the average scores of the current period and any preceding consecutive periods for which merit based funding was not provided. [7-00 moved from FSH 3320 A-2 g]~~

**UI FACULTY-STAFF HANDBOOK**

## CHAPTER THREE:

## EMPLOYMENT INFORMATION CONCERNING FACULTY AND STAFF

July 2019

3420

## FACULTY SALARIES

*PREAMBLE: This section describes the procedures used to determine faculty salaries. Cf. RGP II.G.*

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

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

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

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

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

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

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

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

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

**Commented [AT1]:** There are references to this policy in FSH 3120 and FSH 4250 that need to be addressed.

FSH 3120 I believe the reference to 3420 can simply be removed, or at least the E-4 as that no longer applies. However, it might be good for Provost Office to look into whether this policy is up-to-date. Summer Session used to have a formula (prorated piece) that resided in 3420 E-4 (reference as noted) but that went away a long time ago. There may be another place that summer salary resides that could be referenced but not sure perhaps provost, HR or payroll website.

FSH 4250 is similar to above, seems out of date and the specific reference to E,D,F-1 no longer apply with these changes to 3420. Perhaps there is another place that speaks specifically to continuing ed etc.



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

**Faculty/Staff Handbook [FSH]**  Addition  Revision\*  Deletion\*   
 Emergency *Minor Amendment*   
**Chapter & Title:**        **4700 GENERAL RESPONSIBILITIES OF**  
**INSTRUCTORS**

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

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

**Originator(s):**                                **Torrey Lawrence**                                **April 10, 2019**  
 (Please see FSH 1460 C)                                Name                                                        Date  
**Telephone & Email**                                **208-885-7941, [tlawrence@uidaho.edu](mailto:tlawrence@uidaho.edu)**

**Policy Sponsor:** (If different than originator.) \_\_\_\_\_  
 Name                                                        Date  
**Telephone & Email:** \_\_\_\_\_

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

- 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.  
 NWCCU stipulates "The institution identifies and publishes expected course, program, and degree learning outcomes. Expected student learning outcomes for courses, wherever offered and however delivered, are provided in written form to enrolled students." (Regulation 2-C-2) This requirement was previously addressed through similar text in the annual position description form. The text was removed during recent revisions to that form. It must return to policy for accreditation reasons. This is a more appropriate location than the PD form.
  
- 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.

4700

---

**GENERAL RESPONSIBILITIES OF INSTRUCTORS**

*PREAMBLE: This section outlines certain general responsibilities of all UI instructors in their classes. This material is mostly unchanged from the 1979 Handbook; subsection A was added in May of 1984 and much changed again in July of 1990. Unless otherwise noted, the text is as of July 1996. Further information may be obtained from the Registrar's Office (208-885-6731) or the Provost's Office (208-885-6448). [ed. 7-00]*

**CONTENTS:**

- A. Registration Duties
- B. Course Objectives and Grading System
- C. Proscribed Subjects
- D. Academic Dishonesty
- E. Warnings for Unsatisfactory Academic Performance
- F. Administration of Classes

**A. REGISTRATION DUTIES.** In 4310, which concerns academic advising and counseling, it is stated that the responsibility of faculty members to perform those functions is second only to that for teaching. At the time of preregistration and registration, the volume of student advising and of other steps in the process is very great and very concentrated. All faculty members, and many staff members, may be called on and should be available to assist during this period. Some may have duties assigned by their deans or departmental administrators; others may assist with the central registration under the registrar's supervision. Performance of some of the routine steps in preregistration and registration should be delegated to adequately instructed and supervised nonfaculty personnel so that faculty members can be primarily concerned with the curricular guidance of individual students.

**B. COURSE OBJECTIVES AND GRADING SYSTEM.** Instructors are expected to take some time in the first or second class session to discuss course objectives and to explain the grading system that is to be used. In particular, the extent to which grades are affected by attendance should be made clear at the beginning of the course.

**C. PROSCRIBED SUBJECTS.** Under the UI's charter, "no instruction either sectarian in religion or partisan in politics shall ever be allowed in any department of the university."

**D. ACADEMIC DISHONESTY.** Instructors should proctor examinations diligently and should investigate all cases of suspected or alleged dishonesty in their classes. [See 2300 II. Also see regulation O-2 in the catalog.]

**E. WARNINGS FOR UNSATISFACTORY ACADEMIC PERFORMANCE.**

**E-1.** It is an instructor's responsibility to send a "Warning" notice whenever repeated absence or inadequate work on the part of a student is noted. They should not hesitate to issue warnings; the purpose is to benefit the student--not to harass or cause additional difficulty. Each notice should indicate "warn" or "counsel," as appropriate.

**E-2.** The number of absences may be considered excessive when it exceeds the number of credits assigned to the course. Notices reporting absence should show the date of each absence during the period covered by the notice. (A student who is absent because of illness may explain the absence to the instructor, and the instructor will decide whether the explanation justifies excusing the absence. An instructor may verify a student's report that he or she was at the Student Health Service for treatment by calling the director. The Student Health Service does not provide written excuses. See regulation M in the catalog for procedures applicable to absences that are officially sanctioned.)

**E-3.** A supply of official “Warning” notice forms (pink slips) is available in departmental and college offices. When an instructor has filled out one of these, it is sent to the Registrar’s Office where it is duplicated and then sent on, usually within 24 hours, to the student’s academic dean. In this way, these officers are enabled to make early investigations and take appropriate corrective action.

**E-4.** The student’s dean and the administrative officers concerned have the responsibility to act promptly on each warning submitted by instructors. Whenever “counsel” has been indicated, a report of the disposition of the case should be sent to the instructor. One valuable result of prompt follow-up is the early detection of cases of informal (unofficial) withdrawal, in which a student has ceased to attend classes and possibly left UI without anyone’s knowledge. Discouraged, homesick, or bewildered students can often be assisted, frantic calls from relatives can be avoided, and vocationally misdirected students can be referred to the Counseling & Testing Center. *[ed. 6-09]*

## **F. ADMINISTRATION OF CLASSES.**

**F-1. Priority of Enrollment in Oversubscribed Courses or Sections.** If the number of students who preregister for a given course section exceeds the enrollment limitation, the students are given preference for admission in the following order: (1) those who expect to graduate before the course is offered again, (2) those who show evidence of extraordinary circumstances, subject to the judgment of the unit, and (3) those who have completed the greater numbers of credits (i.e., other factors being equal, the more credits completed, the higher the student’s priority). Order of preregistration is irrelevant. This provisional placement of students in classes on completion of preregistration is made known to them before the end of the semester. This provisional placement is validated by the student’s formal registration at the beginning of the succeeding semester.

**F-2. Admission to Class.** Instructors admit to class only those students whose names appear on the class roster or for whom the instructor has signed an “add” card; instructors have the authority, however, to grant or deny access to classes by visitors. Instructors are not authorized to make any change in a student’s study list. [See regulation C in the catalog for procedures that are to be followed for changes in registration and regulation O-6 for changes in section.] *[ed. 7-00, rev. 1-14]*

### **F-3. Class Rosters.**

**a.** Immediately following registration, class rosters are sent by the registrar to all instructors via departmental administrators. Prompt checking of the students attending a class against the roster is important; students cannot receive credit for a course in which they are not registered--even though they may attend regularly and complete the requirements. After the first four weeks of classes, students can register for a course only by petition through the dean and with the instructor’s permission. A student who is attending a class and for whom the instructor has no evidence of enrollment should be referred to the Registrar’s Office.

**b.** Rosters for courses or sections that are not being given should be marked “course not offered,” signed by the instructor and departmental administrator, and returned to the registrar.

**c.** After the two-week registration period, corrected rosters are sent to instructors via departmental administrators.

**F-4. Syllabi.** Faculty shall provide syllabi to registered students and to their unit offices at the beginning of each term for courses for which they are responsible. Each syllabus shall include expected learning outcomes for the course and describe an example of how at least one learning outcome will be assessed. *[add. 7-19]*

**F-54. Grade Reports.** The academic calendar specifies dates near the middle and at the end of each semester on which grade reports are due (at midsemester, for undergraduate courses only). Shortly before these dates, the registrar sends class lists, with instructions for their use in reporting grades, to instructors via departmental administrators. As a general rule, at the end of a term, the final grades for a course should be filed within 72 hours after the time scheduled for the final examination in the course. [\[ren. 7-19\]](#)

**F-65. Disclosure of Grades on Class Work.** [See 2200 V and 2600 for policies concerning student records and improper disclosure.] The posting of individual students' midsemester or final grades or the grades they receive on daily assignments, quizzes, projects, term papers, examinations, or any other academic work is a violation of the rights guaranteed to students. The same is true of leaving graded papers (for students to search through and find their own) in hallways, offices, etc. Instructors may post, or otherwise release, statistical summaries of grades when individual students are neither identified nor identifiable. [\[ren. 7-19\]](#)

**F-76. Grade-Record Books.** Grade-record books that are issued to instructors become their personal property upon receipt and need not be turned in when an instructor leaves the employ of UI. [\[ren. 7-19\]](#)

**F-87. Recording of Lectures.** Students may electronically record lectures only with the consent of the instructor or as an approved ADA accommodation and with appropriate notification to the instructor. [\[rev. 8-18, ren. 7-19\]](#)



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

Emergency

Minor Amendment

Chapter & Title: FSH 1640.46 – Arts

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

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

Originator(s):

Leah Evans-Janke

10/18/2018

(Please see FSH 1460 C)

Name

Date

Telephone & Email:

leah@uidaho.edu 208-885-1771

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.

Replacing the Laboratory of Anthropology representative with the Director University Galleries is a long overdue transition that will not only provide a better fit for the mission of the committee but also allow for the immediate utilization of that person's expertise regarding art acquisition, care, placement, and materials already in the campus collection.

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.

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

**1640.46**

**ARTS COMMITTEE**

*[rev. 7-99, extensively revised 7/08]*

**A. FUNCTION:**

**A-1.** To advise the university administration regarding the management of the university arts, including, but not limited to: acquisition, deaccession, maintenance, and display of works of visual and performing art at the University of Idaho.

**A-2** To serve in an advisory capacity for future needs and developments regarding the arts, including, but not limited to: expenditures, inclusion of the arts in new construction, fundraising, and the direction of the arts on campus.

**A-3** To serve as a liaison on arts issues between colleges, departments, faculty, staff, student body, local community and the university administration.

**A-4** To advocate for the arts through endeavors that advance arts education on campus and community outreach and enrichment in the effort of increasing the University of Idaho's reputation as a leading cultural center in the Northwest.

**B. STRUCTURE AND MEMBERSHIP.** The committee is composed of eight voting members consisting of five faculty members representing at least four units, one staff member, two students (including a representative from the ASUI Fine Arts Committee when possible), and four ex-officio (non-voting) members to include one administrator designated by the president, ~~a representative of the Laboratory of Anthropology;~~ Director of University Galleries, or designee, a representative from Facilities Management, and the Moscow Arts Commission Art Director, or designee.



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

Emergency

Minor Amendment

Chapter & Title: FSH 1640.91 – University Curriculum Committee

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

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

**Originator(s):**

(Please see FSH 1460 C)

Telephone & Email  
dean@uidaho.edu

Jerold Long 02/01/2019  
Name Date

208-885-4977 law-

**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.

Unlike the other academic Colleges, the College of Law does not have a position on the University Curriculum Committee, despite the fact that University policy now requires all College of Law curricular changes be reviewed and approved by the UCC. This revision to the FSH would match the structure and membership of the UCC with the actual function of the UCC.

**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.

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)
------------------------------------------------------------------------------------------------------------------------------

**Proposed Handbook Changes  
Effective Summer 2019**

**UNIVERSITY CURRICULUM COMMITTEE**

**A. FUNCTION.** [See 1540 B and C and also 4110 and 4120.] [ed. 7-98]

**A-1.** To act on catalog changes involving the curriculum, including changes in the general requirements and academic procedures, and to coordinate curricular matters among UI's major academic divisions.

**A-2.** To recommend policies and procedures concerning the matriculation, advising, and registration of students.

**A-3.** This committee traditionally meets on Mondays at 3:30 p.m. [*add. 7-08*]

**B. STRUCTURE.** One faculty member from each college except ~~Law and~~ Graduate Studies, of whom at least one must be a member of the graduate faculty and at least one of whom must have experience in an interdisciplinary area; one faculty member at large, one faculty member from the library, two upper-division undergraduate students; one graduate student; and the following without vote: vice provost of academic affairs, registrar, secretary of the faculty (or their designees), and the director of general education as a non-voting member of the University Curriculum Committee. To assure a quorum alternates for the faculty positions are appointed by the chair of the University Curriculum Committee from a list of those who have previously served on the committee from that college. If there should be no such alternates available from a particular college, the chair of that college's curriculum committee is the designated alternate. [*rev. 7-98, 7-06, 7-08, 1-09, ed. 8-12*]



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

Emergency

Minor Amendment

**Chapter & Title:** FSH 1640.08 – Admissions Committee

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

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

**Originator(s):**

(Please see FSH 1460 C)

**Telephone & Email:**

Ralph Neuhaus 12/11/18

Name

Date

[rneuhaus@uidaho.edu](mailto:rneuhaus@uidaho.edu)

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

**Telephone & Email:**

Name

Date

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

**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 members of the Admissions Committee are asking that a professional adviser be added as a member of the committee. (We did this at our meeting on December 4, 2018.) Most of the students that we admit are at-risk. We feel that a professional adviser has dealt with at-risk students, and will have a greater understanding of the strength and weakness of the at-risk student. The committee made no decision about whether the professional adviser will have a vote or not.

**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.

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

**1640.08****ADMISSIONS COMMITTEE**

**A. FUNCTION.** To act on applications for admission to UI in the cases of undergraduate applicants who do not meet minimum requirements for admission but who request a review (the applicant must submit additional material that reflects real promise of success in a college-level curriculum). The Admissions Committee also hears appeals from disenrollment when that disenrollment is the result of the presentation of incomplete or false information on initial application as an undergraduate at UI. Decisions of this committee may be appealed as stated in 2500. (Similar applications for admission to the College of Graduate Studies are acted on by the Graduate Council, and its decisions may be appealed as stated in 2500; those for admission to the College of Law are acted on by that college's Committee on Admissions, and its decisions may be appealed, in order, to the full faculty of the college and, when they consent to hear the appeal, to the president of the university and the regents.) *[ed. 7-00]*

**A-1.** This committee traditionally meets during the summer. *[add. 7-08]*

**B. STRUCTURE.** Three members of the faculty, director of counseling and testing center or designee, chair of Ubuntu or designee, and the following without vote: director of admissions (or designee), ~~and~~ a Student Support Services designee ~~and~~ ~~an academic advising designee~~ and a professional advisor. To assure a quorum alternates for the faculty positions are appointed by the chair of the Admissions Committee from a list of those who have previously served on the Committee. *[rev. 7-97, 7-06, 7-08, ed. 7-05, 4-12]*



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

**Chapter & Title:** FSH 1640.22/1640.40 – **Campus Planning & Classroom**

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

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

**Originator(s):**

(Please see FSH 1460 C)

**Telephone & Email**

Brian Johnson 14 Mar 2019  
 Name Date  
5-6246 johnsonb@uidaho.edu

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

**Telephone & Email:**

Brian Foisy 14 Mar 2019  
 Name Date  
5-6174 brianfoisy@uidaho.edu

**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. *Only minor editorial updates to 1640.22. Major rewrite of 1640.40 abolishes the old Facilities Scheduling Policy Committee and newly establishes the Classroom Committee, clarifying roles and participants.*

**II. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
*No fiscal impacts result from these policy changes.*

**III. Related Policies/Procedures:** Describe other policies or procedures existing that are related or similar to this proposed change.  
*FSH 1640.22; 1640.40 (rewrite/new); APM 40.10*

**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: _____ <i>[Office Use Only]</i>
--------------------------------------------------------------------------

APM F&A Appr.: _____ <i>[Office Use Only]</i>
-----------------------------------------------------

FSH Appr. _____ FC _____ GFM _____ Pres./Prov. _____  <i>[Office Use Only]</i>
--------------------------------------------------------------------------------------------------

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

## 1640.22

## CAMPUS PLANNING ADVISORY COMMITTEE

## A. FUNCTION.

**A-1.** To advise the Faculty Senate, Space Advisory Council, and the president concerning campus planning, including such areas as the following: *[ed. 7-09]*

- a. To recommend projects that affect the campus environment and to review such projects that originate outside of the committee.
- b. To encourage optimal use of UI's human and physical resources in the planning of campus development.
- c. To consider faculty and staff views concerning interrelationships between academic and support programs and their environment.
- d. To be concerned with both short-term and long-term projects and with their immediate and future implications.
- e. To be concerned with the coordination of campus and community planning: keeping informed on development planning in the community, taking such planning into consideration in campus planning, and informing community planners of projected campus developments.

**A-2.** To present annually to the Faculty Senate and the president a report on the campus plan. Because of the responsibility of the ~~vice president for infrastructure~~ Vice President for Finance and Administration for overseeing facility planning and maintenance [see 1420 B-1], this committee regularly reports to the president through that vice president. *[ed. 7-09, 1-17]*

**B. STRUCTURE.** ~~Five~~ Six faculty members, two of whom are elected by ~~and from~~ Faculty Senate. The committee's chair will be selected from one of these ~~five~~ six. The other members of the committee will include one student elected by ASUI, ~~the~~ Vice President for ~~Infrastructure Finance and Administration~~ (or designee), the Assistant Vice President for Facilities, the CIO of Information Technology, one staff member, and the Coordinator ~~of Disabled Student~~ for Student Disability Services (or designee). *[rev. 7-99, 7-06, 7-08, 7-10, ed. 7-04, 7-09, 9-15, 1-17]*

Commented [AT1]: ConC 4-4-19

Commented [AT2]: ConC 4/4/19

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

January 2018

**1640.40****CAMPUS CLASSROOM FACILITIES SCHEDULING POLICY****INSTRUCTIONAL SPACE COMMITTEE***[Substantially revised in 201907. See also APM 40.1035.35]*

Commented [AT1]: Title change by ConC 4/4/19

**A. FUNCTION.**

- A-1:** To develop and oversee a systematic approach for evaluating, building, and maintaining modern learning spaces on an ongoing basis, implement, and manage scheduling policies and procedures to ensure the impartial and principled use of university facilities, both buildings and grounds, consistent with accreditation standards.
- A-2:** To monitor and report on classroom and class lab utilization, offering recommendations to the Space Advisory Council regarding any conversion from centrally scheduled learning spaces to departmentally scheduled, or vice versa.  
~~advise the president or the president's designee on the operational use of UI facilities and to advise him/her and the vice president for finance concerning appropriate fees to charge. [ed. 9-15]~~
- A-3:** To develop classroom and teaching lab renovation priorities; also develop design and technical standards in support of continuous learning space improvements and implementation of curriculum.~~manage the impact of events, programs, and multiple events on daily University operations.~~
- A-4:** To evaluate and recommend changes current scheduling policy to ensure flexibility in meeting the needs of modern active learning spaces.~~ensure the effective resolution of scheduling conflicts~~
- A-5:** To make recommendations on prioritization of budgeted expenditures for any general or departmental classroom construction, renovation, major maintenance and/or equipment upgrade project.~~communicate information to the campus and community concerning facility use, policy, and procedures.~~

**B. STRUCTURE.** The Registrar, or designee, shall serve as Chair and one additional member from the Registrar's Office; two members from facilities selected by the assistant vice president of facilities; (co-chair), assistant vice president for auxiliary services (co-chair), vice provost for academic affairs, dean of students, assistant vice president for facilities, faculty secretary, three~~two~~ faculty members; the chair of the Department of Health, Physical Education, Recreation & Dance, the chair of Lionel Hampton School of Music, the chair of Theatre Arts and Film, the risk management officer, the director of Commons and Union/Campus Recreation, the director of Conference Services, the associate registrar, the manager of KIBBLE/Memorial Gym/Pool-Center, the associate director of Athletics; the facilities planner; two ASUI representatives; one member selected by the senior executive director from each of the following areas: Information Technology, Center for Excellence in Teaching and Learning (CETL), Purchasing; and the Director of General Education, ex officio without vote. (one from the Student Recreation Center Board and one from the Student Union Commons Board).

**C. CONTEXT:** A systematic approach for evaluating the creation and/or maintenance of classroom environments that are acceptable, sustainable and which effectively facilitate the teaching and learning processes is essential. Numerous discussions with faculty, administration, and staff point to the lack of coordination among the many people who are involved with classrooms. This has contributed to classroom environments which no longer effectively facilitate the teaching and learning process. A coordinated strategic approach moving forward will ensure that classroom environments effectively support the instructional mission of the University and that policy and procedures are in place to facilitate equitable scheduling practices with good classroom utilization rates. ~~UI Facilities are used by multiple programs, including: academic programs, intercollegiate athletics, campus recreation programs, and by multiple constituencies including students, faculty, staff, retirees, alumni, and visitors. As demand for university facilities increases, there will be increasing potential for scheduling and scheduling policy conflicts. Policies and procedures for ensuring the impartial and principled resolution of those scheduling conflicts will be critical.~~

**D. MAJOR OBJECTIVES:**

~~D-1. To analyze the issues associated with scheduling and resolving facilities scheduling conflicts.~~

~~D-2. To develop effective policies and procedures for University facility use that:~~

- ~~a. support the general educational mission of the University;~~
- ~~b. maximize opportunity to provide a revenue stream from facilities when such uses do not conflict with the mission of the University;~~
- ~~c. minimize risk of loss associated with the goals, finances, operations, compliance;~~
- ~~d. provide for the impartial, principled scheduling of facilities and for resolving scheduling conflicts, while ensuring both efficient use of the facilities and an efficient scheduling process.~~

~~D-3. To develop systematic assessment methods and procedures (when needed) which demonstrate the effectiveness and impartiality of the scheduling process.~~

~~D-4. To provide those with programs or activities in these facilities with an on-going opportunity for representative participation in the scheduling process.~~

**UI FACULTY-STAFF HANDBOOK**

## CHAPTER ONE:

## HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

January 2018

**1640.40****INSTRUCTIONAL SPACE COMMITTEE***[Substantially revised in 2019. See also APM 40.10]***A. FUNCTION.**

- A-1:** To develop and oversee a systematic approach for evaluating, building, and maintaining modern learning spaces on an ongoing basis.
- A-2:** To monitor and report on classroom and class lab utilization, offering recommendations to the [Space Advisory Council](#) regarding any conversion from centrally scheduled learning spaces to departmentally scheduled, or vice versa.
- A-3:** To develop classroom and teaching lab renovation priorities; also develop design and technical standards in support of continuous learning space improvements and implementation of curriculum.
- A-4:** To evaluate and recommend changes current scheduling policy to ensure flexibility in meeting the needs of modern active learning spaces.
- A-5:** To make recommendations on prioritization of budgeted expenditures for any general or departmental classroom construction, renovation, major maintenance and/or equipment upgrade project.

**B. STRUCTURE.** The Registrar, or designee, shall serve as Chair and one additional member from the Registrar's Office; two members from facilities selected by the assistant vice president of facilities; three faculty members; two ASUI representatives; one member selected by the senior executive director from each of the following areas: Information Technology, Center for Excellence in Teaching and Learning (CETL), Purchasing; and the Director of General Education, ex officio without vote.

**C. CONTEXT:** A systematic approach for evaluating the creation and/or maintenance of classroom environments that are acceptable, sustainable and which effectively facilitate the teaching and learning processes is essential. Numerous discussions with faculty, administration, and staff point to the lack of coordination among the many people who are involved with classrooms. This has contributed to classroom environments which no longer effectively facilitate the teaching and learning process. A coordinated strategic approach moving forward will ensure that classroom environments effectively support the instructional mission of the University and that policy and procedures are in place to facilitate equitable scheduling practices with good classroom utilization rates.



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

**Chapter & Title: FSH 1640.90 – General Education Assessment Committee**

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

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

**Originator(s):** Dean Panttaja 3/29/19  
 (Please see FSH 1460 C) Name \_\_\_\_\_ Date \_\_\_\_\_  
**Telephone & Email:** [panttaja@uidaho.edu](mailto:panttaja@uidaho.edu)

**Policy Sponsor:** (If different than originator.) \_\_\_\_\_  
 Name \_\_\_\_\_ Date \_\_\_\_\_  
**Telephone & Email:** \_\_\_\_\_

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

**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.

New Mandates from SBOE & NWCCU on system wide assessment dictate a committee composition that is more faculty centric, assessment knowledgeable, and representative of the SBOE GEM areas (which include the 5 Colleges engaged in general education). The committee composition should utilize institutionally recognized faculty, appointed as Statewide General Education representatives, who are familiar with General Education and its assessment to maximize the committee’s effectiveness. Student composition also requires revision as students seldom attend and lack the advanced understanding of assessment needed to be done. The curricular complexities of general education and the annual re-appointment of students complicates the forward momentum of the committee.

**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.

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)*

**1640.90**

**GENERAL EDUCATION ASSESSMENT COMMITTEE**

*[created July 2015]*

**A. FUNCTION.**

**A-1.** General Education Assessment Committee (GEAC) serves as the body for oversight of general education assessment. The Director of General Education and the Director of Institutional Effectiveness and Accreditation, or designee, will provide coordination and leadership. *[ed. 7-17]*

**A-2.** The GEAC is charged with coordinating assessment of General Education. *[rev. 7-17]*

**A-3.** GEAC will have primary responsibility for assessing the Integrative Studies segment of the General Education curriculum and the Senior Experience through direct, indirect and face-to-face measures. *[add. 7-17]*

**A-4.** Working with University of Idaho members of the State Board of Education's General Education Task Force, GEAC will annually assess a representative sample of General Education Matriculation (GEM) courses. *[add. 7-17]*

**A-5.** The committee will review assessment findings, report regularly to UCGE, and make recommendations based on its findings to UCGE as well as to instructors who teach General Education courses. *[rev. 7-17]*

[Information on general education assessment can be accessed at the general education website: <http://www.uidaho.edu/class/general-education>]

**B. STRUCTURE AND MEMBERSHIP.** The committee is composed of ~~ten~~ **twelve up to 13** members as follows: Director of General Education as Chair, Director of Institutional Effectiveness and Accreditation, or designee, one UCGE member, ~~two~~ **two** undergraduate students, and ~~five~~ **six** faculty members to include one from each of the SBOE GEM areas who are serving as the institution's representative to statewide general education, and two staff members associated with assessment practice and procedures. (faculty/staff, the majority of the members must be faculty) to include one with interdisciplinary experience and the remaining four selected to ensure a broad representation across the eight colleges that offer baccalaureate programs. All members, except students, serve on three year staggered terms. In consultation with the chair of UCGE, the Director of General Education is responsible for the selection of committee members. *[rev. 7-16, 7-17]*

Commented [AT1]: Senate editorial 4/9/19



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

**Chapter & Title: 1640.12 INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)**

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

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

**Originator(s):** Blair M. Ehlert 03/18/2019  
 (Please see FSH 1460 C) Name Date  
**Telephone & Email:** 208-885-7258 bmehlert@uidaho.edu

**Policy Sponsor:** (If different than originator.) Janet E. Nelson 03/21/2019  
 Name Date  
**Telephone & Email:** 208-885-6689 vpresearch@uidaho.edu

**Reviewed by General Counsel**  Yes  No Name & Date: Casey Inge 03/06/19

- 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.  
 Revised FSH to coincide with federal regulations
- 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.  
 APM 45.01 -- *Animal Care and Use*
- 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

**1640.12****INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)**

(See also APM 45.01)

**A. FUNCTION.** To perform the functions of the IACUC as defined in APM 45.01. [ed. 7-06, rev. 7-10]

**B. STRUCTURE.** [rewritten 7-10]

**B-1.** Members are appointed to three year terms by the Institutional Official (IO) who is the VP for Research and Economic Development. To provide the necessary expertise and continuity, members may serve successive terms with reappointment by the IO.

**B-2.** ~~The committee is composed of not less than seven-five voting members including a chairperson, the Campus-Attending Veterinarian (ex-officio appointment), a practicing scientist experienced in animal research, a non-scientist, and an individual not affiliated with the University. No more than three voting members may be from the same administrative unit, the Manager of the Laboratory Animal Research Facility; a public member who is not employed by the UI, is not a laboratory animal user, is not an immediate family member of an individual affiliated with the UI, and is not a practicing scientist experienced in research involving animals; one member of the faculty or staff with responsibilities involving the utilization of animals in teaching or research from each of the following—the College of Agriculture and Life Sciences, the College of Natural Resources, the College of Science, and one member at large. The public member/non-scientist position may be fulfilled by two individuals at the discretion of the IO. (See Guide for the Care and Use of Laboratory Animals on the National Academies of Science website.)~~

**B-3.** ~~Alternates that meet the criteria for each of the specified positions may be appointed by the IO.~~

**B-4.** ~~The Chief Research Compliance Officer/Office of Research Assurances Director serves as a non-voting, ex-officio member a standing member without vote.~~

**B-5.** ~~The IO may remove and replace a committee member at any time when the IO has determined that the member is unwilling or unable to perform committee member functions.~~



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

*Faculty/Staff Handbook [FSH]*  Addition  Revision\*  Deletion\*   
 Emergency *Minor Amendment*   
**Chapter & Title:** FSH 1566 move to FSH 1520 – University  
**Constitution, Art.V. Sec.2 (3)**

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

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

**Originator(s):** Liz Brandt 2/26/19  
 (Please see FSH 1460 C) Name Date  
**Telephone & Email:** 885-7808 ebrandt@uidaho.edu  
**Policy Sponsor:** (If different than originator.) same  
 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.

Remove language in FSH 1566 to become a footnote in 1520 the University Faculty Constitution under Article V., Sect. 2, (3). The current language in 1566 is historical information and not policy. By moving this language as a footnote we retain the historical information at the point where it is most relevant.

**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

July 2015

1520

## CONSTITUTION OF THE UNIVERSITY FACULTY

**NOTE:** *When the university was young, the faculty's business could be transacted quite satisfactorily in general meetings and through presidential committees. After the mid-20<sup>th</sup> century, however, the need for a representative form of government became obvious. Shortly after assuming the presidency in 1965, Ernest W. Hartung expressed great confidence in the faculty and urged it to assume the responsibilities entrusted to it by the territorial legislature and the state constitution [see 1120 A-3]. Accordingly, the Interim Committee of the Faculty, a body that performed limited academic functions for a time, recommended the establishment of a council having responsibilities and authority essentially as set forth in this constitution. The university faculty adopted the Interim Committee's recommendation on October 20, 1966, the regents approved it on November 18, 1966, and elections were held in the several colleges. The first Faculty Council assembled on February 23, 1967, with Professor Thomas R. Walenta (law) as chair; during the ensuing year, the council developed a proposed constitution of the university faculty. The document was amended and approved by the university faculty on March 20, 1968, and, with President Hartung's support, was ratified with minor amendments by the regents on September 5, 1968. The last major revision took place in 1986. In 2009 the Faculty Council changed its name to Faculty Senate a more common name used in academia, off campus faculty will have voting members on Senate at Coeur d'Alene, Boise, and Idaho Falls, and off-campus faculty will now be counted in the quorum at university faculty meetings with vote through designated sites and delegates given available technology (see 1640.94 and 1540 A). In 2011 Clinical faculty rank was added and language with respect to associated faculty voting was clarified. In 2012 Faculty Senate Center Senator's role/responsibility was clarified, staff membership increased to two and the required annual venue determination removed. In July 2013 the Faculty Senate's membership was increased again by one member to represent the Student Bar Association. In 2015 Faculty Senate members were allowed to serve an additional term and language was added to Article I. Section 4 that affirms academic freedom in faculty governance and university programs and policies. The text printed here includes all amendments to date (see also 1420 A-1-c). Unless otherwise noted, the text is of 1996. For more information, contact the Office of the Faculty Secretary (208-885-6151). [ed. 7-00, rev. 7-09, 7-11, 7-12, 7-13, 7-15]*

**CONTENTS:**

Preamble

Article I. General Provisions

Article II. Faculty Classifications

Article III. Faculty Meetings

Article IV. Responsibilities of the University Faculty

Article V. Faculty Senate

Article VI. Rules of Order

Article VII. Amendments

**PREAMBLE.** The faculty of the University of Idaho, designated "university faculty," as defined in article II, section 1, in acknowledgement of the responsibilities entrusted to it for the immediate government of the university by article IX, section 10, of the constitution of the state of Idaho, has adopted and declared this constitution to be the basic document under which to discharge its responsibilities.

**ARTICLE I--GENERAL PROVISIONS.**

**Section 1. Regents.** The regents are vested by article IX, section 10, of the constitution of the state of Idaho with all powers necessary or convenient to govern the university in all its aspects. The regents are the authority for actions of the university faculty, and policy actions

taken by the university faculty are subject to review and approval by the president and by the regents. [See 1120 A-2 and 1220 A-1.]

**Section 2. President.** The president of the university is both a member of and the president of the university faculty and is also the president of the other faculties referred to in section 4, below, and in article II. The president is the representative of the regents, the institution's chief executive officer, and the official leader and voice of the university. [See also 1420 A.] *[ed. 7-00]*

**Section 3. Faculty Senate.** This senate is empowered to act for the university faculty in all matters pertaining to the immediate government of the university. The senate is responsible to and reports to the university faculty and, through the president, to the regents. The university faculty, president, and regents retain the authority to review policy actions taken by the senate. [See III-3, V, and 1420 A-1-c.] *[ed. 7-00, 7-09]*

**Section 4. Constituent Faculties.** The university faculty is composed of various constituent faculties, including the faculties of the several colleges and other units of the university. Faculty are entitled to speak or write freely on matters pertaining to university governance, programs and policies (see Article IV below and FSH 3160). *[rev. 7-15]*

**Clause A. College Faculties.** The constituent faculty of each college or similar unit, meeting regularly and in accordance with bylaws adopted by a majority vote of the members of such faculty, is authorized to establish and to effect its own educational objectives, including matters of student admission and curriculum, and to participate in the selection of its own dean, other executive officers, and faculty members, subject only to the general rules and regulations of the university faculty and the authority of the president and the regents.

**Clause B. Faculties of Subdivisions.** If there are schools, intracollege divisions, departments, or separate disciplines within a college or similar unit, the constituent faculty of each such subdivision participates in decisions concerning its educational objectives, including matters of student admission and curriculum, the selection of its executive officers, and its faculty appointments, subject only to the general rules and regulations of the college faculty and the university faculty and the authority of the president and the regents.

**Clause C. Interim Government.** The Faculty Senate will provide for the establishment of bylaws for any college or similar unit that has not adopted its own bylaws. *[ed. 7-09]*

**Clause D. Matters of Mutual Concern.** The Faculty Senate has the responsibility for resolving academic matters that concern more than one college or similar unit. *[ed. 7-09]*

## ARTICLE II--FACULTY CLASSIFICATIONS.

**Section 1. University Faculty.** The university faculty is comprised of the president, provost, vice presidents, deans, professors, associate professors, assistant professors, senior instructors, instructors (including those professors, associate professors, assistant professors, senior instructors, and instructors whose titles have distinguished, research, extension, clinical or visiting designations, e.g., "assistant research professor", "assistant clinical professor" and "visiting associate professor"), and lecturers who have served at least four semesters on more than half-time appointment [see 1565 G-1]. Those who qualify under this section have the privilege of participation with vote in meetings of the university faculty and the appropriate constituent faculties. *[ed. 7-99, 7-09, rev. 7-01, 7-11]*

**Section 2. Emeriti.** Faculty members emeriti have the privilege of participation without vote in meetings of the university faculty and the appropriate constituent and associated faculties. Also, they may be appointed to serve with vote on UI committees. [See also 1565 E.] *[ed. 7-00, 7-09]*

### Section 3. Associated Faculties.

**Clause A.** The adjunct faculty [see 1565 F-1] and the affiliate faculty [see 1565 F-2] are associated faculties. Other associated faculties may be established as needed with the approval of the university faculty, president, and regents. *[ed. 7-00, 7-09]*

**Clause B.** Members of the adjunct faculty have the privilege of participation without vote in meetings of the university faculty. Members of the affiliate faculty may participate with vote in meetings of the university faculty if they have status as university faculty in their home unit. Both adjunct and affiliate faculty members have the privilege of participating in meetings of their respective constituencies of the university faculty, and may participate with vote if the bylaws of their constituent faculty so provide; however, if authorized to vote, they are not counted among the full-time-equivalent faculty members when determining the basis for the constituent faculty's representation on the Faculty Senate. *[ed. 7-09, rev. 7-11]*

**Section 4. General Faculty.** "General faculty" is a collective description for the combined faculties referred to in sections 1, 2, and 3, above.

## ARTICLE III--FACULTY MEETINGS.

**Section 1. Meetings.** The university faculty meets at least once each semester. Meetings of the university faculty may be called at any time, with due notice, by the president. Meetings of the university faculty must be called with due notice by the president on the request of the Faculty Senate or on the written petition of 25 members of the university faculty. The president, or a member of the university faculty designated by the president, presides at meetings of the university faculty. *[ed. 7-09]*

**Clause A. Venue.** University faculty may participate and vote in faculty meetings by being physically present at the designated venue on the Moscow campus, or by being physically present at another designated venue (see FSH 1540 A-1) in the state that is connected via electronic video and audio link as outlined in Clause B. *[add. 7-09, rev. 7-12]*

**Clause B. Participation.** To be eligible for meeting participation, venues remote from the Moscow campus must be linked to the Moscow venue via compressed video link or other electronic means that conveys audio and visual signals in both directions between Moscow and the remote venue. In addition, an authorized delegate of the Secretary of the Faculty must be present at each site to facilitate meeting participation and counting and reporting of votes (see Section 3, Clause C, Secretary's delegates at remote sites). *[add. 7-09, ed. 7-12]*

**Section 2. Secretary.** The president appoints the secretary of the faculty from among the tenured members of the university faculty [see 1570]. The secretary is responsible for recording and distributing the minutes, tallying and recording of votes, and performs such other duties as may be assigned by the president or the university faculty. *[rev. 7-09]*

### Section 3.

**Clause A. Quorum, Recognition of Speakers, Recording of Votes and Delegates.** A quorum consists of one-eighth of the membership of the university faculty, as defined in article II, section 1. If there is not a quorum at a faculty meeting, Faculty Senate actions reported in the agenda for that meeting have faculty approval and are forwarded to the president and regents. *[rev. 7-97, 7-09]*

**Clause B. Recognition of Speakers.** Participants wishing to speak at the Moscow site or at remote sites will be recognized by the presiding officer in Moscow and may obtain the floor with his/her approval. *[add. 7-09]*

**Clause C. Recording of Votes.** In determining the outcome of motions, the secretary will determine the number of votes for or against. The Secretary's delegate at each electronically linked site will convey votes for and against to the Secretary (see FSH 1540 A). [*add. 7-09, ed. 7-12*]

**Clause D. Secretary's Delegates.** Delegates at remote sites shall be members of the University Multi-Campus Communications Committee appointed by the Committee on Committees as outlined in 1640.94. [*add. 7-09*]

**Section 4. Agenda.** An agenda listing all subjects to be voted on, other than routine matters, must be issued to all members of the university faculty at least one week in advance of each meeting of the university faculty, except as provided in clause E. Faculty Senate actions that require approval by the university faculty must be published in full in the agenda. [See also 1420 A-1-c.] [*ed. 7-00, 7-09*]

**Clause A. Responsibility.** The president is responsible for the agenda and it is issued under the president's direction.

**Clause B. Agenda Items from Individual Members.** Individual members who wish to suggest items for the agenda are to submit them to the president. No items may be considered under this clause that are presented to the president less than 12 calendar days before the meeting.

**Clause C. Resolutions Requiring Action.** Ten or more members of the university faculty desiring to submit a resolution that requires action at the next meeting are to submit the signed resolution to the president at least twelve calendar days before the meeting. Such resolutions must be published in full with, and included in, the agenda. [But see 1540 B.] [*ed. 7-00*]

**Clause D. Proposed Changes of Written Policies or Regulations.** Any proposed change in a written policy or regulation of the university to be voted on by the university faculty must be published in full in the agenda, or final action on the proposal must be delayed until the next meeting. This provision can be waived only by unanimous consent.

**Clause E. Agenda for Emergency Meetings.** If circumstances require an emergency meeting of the university faculty, the president declares the emergency and calls the meeting. In such circumstances the agenda may be limited to items approved by the president and must be published not less than three calendar days before the meeting. Policy actions taken at emergency meetings require an approving vote of two-thirds of the members of the university faculty in attendance at the meeting, a quorum being present. This constitution cannot be amended at an emergency meeting.

**ARTICLE IV--RESPONSIBILITIES OF THE UNIVERSITY FACULTY.** Subject to the authority of the president and the general supervision and ultimate authority of the regents, the university faculty accepts its responsibilities for the immediate government of the university, including, but not restricted to:

**Section 1. Standards for Admission.** The university faculty establishes minimum standards for admission to the university. Supplementary standards for admission to individual colleges or other units of the university that are recommended by the appropriate constituent faculties are subject to approval by the university faculty.

**Section 2. Academic Standards.** The university faculty establishes minimum academic standards to be maintained by all students in the university. Supplementary academic standards to be maintained by students in individual colleges or other units of the university that are recommended by the appropriate constituent faculties are subject to approval by the university faculty. [See I-4-D.]

**Section 3. Courses, Curricula, Graduation Requirements, and Degrees.** Courses of

instruction, curricula, and degrees to be offered in, and the requirements for graduation from, the individual colleges or other units of the university, as recommended by the appropriate constituent faculties, are subject to approval by the university faculty. [See I-4-D.]

**Section 4. Scholarships, Honors, Awards, and Financial Aid.** The university faculty recommends general principles in accordance with which privileges such as scholarships, honors, awards, and financial aid are accepted and allocated. The university faculty may review the standards recommended by the individual constituent faculties for the acceptance and allocation of such privileges at the college or departmental levels.

**Section 5. Conduct of Students.** The faculty's responsibility for approving student disciplinary regulations and the rights guaranteed to students during disciplinary hearings and proceedings are as provided in the "Statement of Student Rights," the "Student Code of Conduct," and the "University Disciplinary Process for Alleged Violations of Student Code of Conduct." [See 2200, 2300, and 2400.] *[ed. 7-14]*

**Section 6. Student Participation.** The university faculty provides an opportunity for students of the university to be heard in all matters pertaining to their welfare as students. To this end, the students are entrusted with their own student government organization and are represented on the Faculty Senate. If students so desire, they are represented on faculty committees that deal with matters affecting them. *[ed. 7-09]*

**Section 7. Selection of Officers.** The university faculty assists the regents in the selection of the president and assists the president in the selection of the provost, vice presidents and other administrative officers of the university.

**Section 8. Governance of Colleges and Subdivisions.** The university faculty promulgates general standards to guarantee the right of faculty members to participate in the meetings of the appropriate constituent faculties and in the governance of their colleges, schools, intracollege divisions, departments, and other units of the university. [See 1540 A.] *[ed. 7-06, 7-09]*

**Section 9. Faculty Welfare.** The university faculty recommends general policies and procedures concerning the welfare of faculty members, including, but not limited to, appointment, reappointment, nonreappointment, academic freedom, tenure, working conditions, promotions, salaries, leaves, fringe benefits, periodic evaluations, performance reviews, reassignment, layoff, and dismissal or termination.

**Section 10. The Budget.** Members of the university faculty participate in budgetary deliberations, and it is expected that the president will seek faculty advice and counsel on budgetary priorities that could significantly affect existing units of the university. [See 1640.20, University Budget and Finance Committee.] *[ed. 7-05]*

**Section 11. Committee Structure.** The university faculty, through the medium of its Faculty Senate, establishes and maintains all university-wide and interdivisional standing and special committees, subcommittees, councils, boards, and similar bodies necessary to the immediate government of the university and provides for the appointment or election of members of such bodies. This section does not apply to *ad hoc* advisory committees appointed by the president or committees made up primarily of administrators. [See 1620 and 1640] *[ed. 7-97, 7-09]*

**Section 12. Organization of the University.** The university faculty advises and assists the president and the regents in establishing, reorganizing, or discontinuing major academic and administrative units of the university, such as colleges, schools, intracollege divisions, departments, and similar functional organizations.

**Section 13. Bylaws of the Faculty Senate.** The bylaws under which the Faculty Senate discharges its responsibilities as the representative body of the university faculty are subject to review and approval by the university faculty. [See 1580.] *[ed. 7-09]*

**ARTICLE V--FACULTY SENATE.**

**Section 1. Function.** The Faculty Senate functions as provided in this constitution and in accordance with its bylaws as approved by the university faculty. [See I-3 and 1580.] *[ed. 7-09]*

**Section 2. Structure.** The senate is constituted as follows: *[ed. 7-09]*

**Clause A. Elected Members.** *[ed. 7-00]*

**(1) College Faculties.** The faculty of each college, except the College of Graduate Studies, elects one senator for each 50, or major fraction thereof, full-time-equivalent faculty members in the college, provided, however, that each college faculty elects at least one senator. If, because of a reduction in the membership of a college faculty, there is to be a corresponding reduction in the college's representation in the senate, the reduction does not take place until the expiration of the term of office of an elected senator from the college. *[ed. 7-09]*

**(2) University Centers.** The resident faculty of the university centers in Boise, Coeur d'Alene and Idaho Falls each elects one senator from among its number. Those senators shall have the right to participate and vote in faculty senate meetings by means of available two-way video-audio technology located at the centers. If the available technology fails, telephone conferencing will be used. Senators elected to represent a center have a unique role on senate, which is to provide a voice and vote from the perspective of their centers. That perspective is not intended to be college and/or discipline specific. *[add. 7-09, rev. 7-12]*

**(3) Faculty-at-Large.** Members of the university faculty who are not affiliated with a college faculty constitute the faculty-at-large, and this constituent faculty, in accordance with procedures adopted by the faculty-at-large, elects senators to serve with vote in the senate on the same basis as provided above for college faculties.<sup>1</sup> ~~[See 1566.]~~ *[ed. & ren. 7-09]*

<sup>1</sup> The constitution of the university faculty originally provided that faculty status could be conferred by presidential designation on certain administrative and service officers who did not hold academic rank. When the faculty, on May 13, 1986, amended the constitution by, among other things, deleting that provision, it explicitly granted continuing membership, for the duration of their then current incumbencies, to those officers who on that date were members by virtue of presidential designation. These officers are members of the constituency known as the faculty-at-large.

**(4) Dean.** The academic deans elect one of their number to serve with vote in the senate. *[ed. & ren. 7-09]*

**(5) Staff.** The representative body (Staff Council) of the university staff elects two employees who do not have faculty status to serve with vote in the senate. *[ed. & ren. 7-09, rev. 7-12]*

**(6) Students.** Two undergraduate students, one graduate student, and one law student serve as voting members of the senate, and the senate provides regulations governing the qualifications, terms of office, and election of student members, and procedures for filling vacancies in the student membership. [See 1580 VI.] *[ed. & ren. 7-09, rev. 7-13]*

**Clause B. Members Ex Officiis.** The president or the president's designated representative and the secretary of the faculty are members *ex officiiis* of the senate, with voice but without vote. *[ed. 7-09]*

**Section 3. Officers.** Each year the senate elects a chair and a vice chair from among the elected faculty members of the senate. Also, each year a secretary is appointed by the chair, subject to confirmation by the senate, from among the members of the senate or from the

membership of the university faculty. The appointment of a person who is not a member of the senate to serve as secretary does not carry with it membership on the senate. *[ed. 7-09]*

**Section 4. Terms of Office.** Elected faculty members of the senate serve for three years. The academic dean shall serve one year, the staff representatives shall serve for staggered two year terms. The terms of office for student members are as established by the senate. [See 1580 VI.] Newly elected members take office each year on September 1 or on the official opening date of the academic year, whichever is earlier. To carry out the requirement that approximately one-third of the elected faculty members are to take office each year, the senate may shorten the initial term of office of faculty senators elected to fill new positions in the senate to conform to a balanced rotation plan. When members are elected to fill a vacancy, they take office at the first meeting after the election and serve for the unexpired term of the vacancy. A faculty member elected to the senate may serve two consecutive terms. After serving two consecutive terms the faculty senate member must wait one full year before they are again eligible for election [see also FSH 1580 III-3]. *[ed. 7-09, rev. 7-12, 7-15]*

**Section 5. Eligibility.** Every member of the university faculty is eligible to vote for members of the senate representing his or her college or other unit. Every member of the university faculty is eligible to serve as an elected member of the Faculty Senate and to hold an elective or appointive office in the senate. *[ed. 7-09]*

**Section 6. Elections.** Regular elections for senators in the senate are held before April 15 of each year in which an election is to be held. All elections for members of the senate are by secret ballot. Appropriate procedures for nominations and elections are developed and approved by a majority vote of the faculty of the college or other unit. *[ed. 7-09]*

**Section 7. Vacancies.**

**Clause A.** If it is necessary for a member of the senate to be absent temporarily (more than a month, but less than four months), the candidate who received the next highest number of votes in the most recent election in the college or unit acts as his or her alternate in the senate with full vote. If it is necessary for a member to be absent for more than four months, but less than one year, a special election is held to fill the temporary vacancy. When the senate member returns, he or she resumes the position in the senate. If it is necessary for a member to be absent for more than one year, or if the member is unable to complete the term of office for any reason, a special election is held to fill the unexpired term. [See 1580 VI for procedures covering student vacancies.] *[ed. 7-09]*

**Clause B.** The chair of the Faculty Senate must declare a position vacant if a member is absent from three consecutive meetings unless the member has informed the chair of the senate in writing that he or she intends to participate fully in the activities of the senate in the future. When a position is declared vacant, the chair must notify the constituency concerned. *[ed. 7-09]*

**Section 8. Recall.** The recall of a member of the senate may be initiated by a petition bearing the signatures of at least 10 percent, or five members, whichever is greater, of the membership of the particular constituency represented. The petition must be delivered to the chair of the senate. On the receipt of a valid petition, the chair calls a meeting of the faculty of the college or other unit and appoints a chair. Charges against the member are presented in writing and the member is given adequate opportunity for his or her defense. A two-thirds majority vote by secret ballot of the members of the college or other unit present at the meeting is necessary for recall, providing the members present constitute a quorum as defined in the bylaws of the college or other unit. In the event that the vote is to recall the senator, the member may appeal the case to the senate within 10 days. If the case is appealed and the senate affirms the recall, or if the recall stands for 10 days without appeal, the members of the college or other unit elect another senator. Regular procedures are followed in replacing the recalled person, except that the chair of the senate appoints the chair of the election committee of the college or other unit. During the interval between recall and the election of a replacement, the candidate who received the next highest number of votes in the most recent election acts as

the alternate in the senate with full vote. [ed. 7-09]

**ARTICLE VI--RULES OF ORDER.** The rules contained in *Robert's Rules of Order Newly Revised* govern all meetings of the university faculty, other faculties, the Faculty Senate, and faculty committees in all cases to which they are applicable and in which they are not in conflict with this constitution, regents' policies, or any bylaws or rules adopted by any of those bodies for the conduct of their respective meetings. An action taken by the university faculty, a constituent or associated faculty, the Faculty Senate, or a faculty committee that conflicts with a previous action by that body takes precedence and, in effect, amends, in part or in full, the previous action. [ed. 7-09]

**ARTICLE VII--AMENDMENTS.** This constitution may be amended by a two-thirds affirmative vote of the members of the university faculty, as defined in article II, section 1, in attendance at a regular meeting, a quorum being present. Proposed amendments must have been published in full in the agenda at least one week before the meeting or presented in writing at a meeting previous to the one at which the vote is to be taken. Amendments to this constitution are subject to review and approval by the president and by the regents.

**UI FACULTY-STAFF HANDBOOK**

## CHAPTER ONE:

## HISTORY, MISSION, GENERAL ORGANIZATION, AND GOVERNANCE

March 2014

1566

## APPOINTMENT TO FACULTY STATUS

~~PREAMBLE: This section discusses certain members of the Faculty at Large who were made members of that body by presidential appointment before May 13, 1986. This version of the section dates to June, 1986, replacing the 1979 version in toto. For further information, contact the Office of the Faculty Secretary (208 885 6151).~~

~~The constitution of the university faculty originally provided that faculty status could be conferred by presidential designation on certain administrative and service officers who did not hold academic rank. When the faculty, on May 13, 1986, amended the constitution by, among other things, deleting that provision, it explicitly granted continuing membership, for the duration of their then current incumbencies, to those officers who on that date were members by virtue of presidential designation. These officers are members of the constituency known as the faculty at large. [See also 1520 Article V, Section 2, A 3, 3520 B 4.] [ed. 7-97, 3-14]~~

~~This has been moved to FSH 1520 as a foot note to Art. V, Section 2, (3).~~



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

Emergency

Minor Amendment

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

**Administrative Procedures Manual [APM]**  Addition  Revision\*  Deletion\*

Emergency

Minor Amendment

**Chapter & Title:** APM 45.05

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

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

**Originator(s):**

(Please see FSH 1460 C)

**Telephone & Email:**

**smartonick@uidaho.edu**

Sarah Martonick

Name

5/15/2017

Date

208-885-2145

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

**Telephone & Email:**

Casey Inge

Name

Date

208-364-4584 cinge@uidaho.edu

**Reviewed by General Counsel**  Yes  No Name & Date: Casey Inge, 9/5/2017

**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.

**Update to clarify early setup and advance funding policy and increase base request amount to 25% to be more in line with our peer institution's policies in this area.**

**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.

OSP website contains guidance on the early setup and advance funding procedures, but this is the only posted policy document in this area.

**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.

## 45.05 -- Early Set-up and Advance Funding of Sponsored Project Budgets

~~January-December 11, 2018-2012~~-(rewrite)

### ~~A.~~ **A. General.**

~~**A-1. Early Setup.** Frequently, a Principal Investigator (“PIs”) may be frequently informed that a sponsor has made an award to the University sponsored award is planned, but the University has either not received the award document, or a received agreement has not been received but not fully executed an agreement related to the sponsored project. (see B-2). In such circumstances, Aa PI (or unit/college) may request that the Office of Sponsored Programs (OSP) set up a grant budgetcode early (“early setup”). By requesting that OSP create an “early set-up” budget, project expenses can be processed using what will become the permanent budget number, thus allowing the PI to start work on the project and eliminating the need for cost transfers at a later date and allowing the PI to start work on the project.~~

~~**A-2. Advance Funding.** Frequently, for an existing project, the PI may be informed that the sponsor intends to issue an amendment to add time, funding, or both, but the amendment has not yet been received and/or fully-executed (see B-2). A-PIThe unit/college may request that OSP budget funds in advanceallow expenditures beyond the current allocation or end-date or extend the termination date onof the grant account, until an amendment is received (“advance funding”), thus eliminating By requesting permission for “advance funding” of the project budget(s), project expenses can continue on the existing budget number(s) which eliminates the need for cost transfers at a later date and allowing the PI to continue working on the project without interruptionand mitigates the risk associated with transfers.~~

### **B. Definitions.**

**B-1. Award Document or Notice of Award:** Any of the various funding vehicles used by external sponsors to indicate that the sponsor is making a commitment to fund a proposed scope of workproposal. These may take the form of:

- a grant notice, which may or may not require signature by the Universityadditional signatures;

- a contract or formal agreement, requiring the signatures of one or more parties execution by the University and the sponsor;
- an award letter, which may or may not include a check payment in advance; or
- a federal non-assistance contract.

For the purposes of this policy, Generally, federal non-assistance type federal contracts and other types of non-assistance agreements are effective as of the date of the final signature are not eligible for an early-setup budgets, unless an exception is given by the authorized official of the University.

## **B-2. Fully-Executed Award or Amendment:- Defined as:**

An agreement or amendment which has all of the required authorized signatures, by those individuals authorized to sign, for both the University and the sponsor. For the sponsor, the authorized signatory this is typically the granting or contracting officer; for the University, the authorized signer signatory is the Director of the Office of Sponsored Programs (OSP) or her/his authorized designee.

## **C. Policy.**

**C-1. Early Setup.** As long as they are agreement is not effective as of the date of the final signature, an early set-up budget may be requested and the PI may start the research project prior to receipt and execution of the award. Early setups budgets are normally generally established for up not more than to ninety (90) days and twenty-five percent (25%) of an the expected first year's annual funding increment amount.

- a) For projects that are direct federally funded grants and cooperative agreements, the Vice President for Research and Economic Development (VPRED), or his/her designee, may provide the funding guarantee on the early setup budget.
- b) For non-direct federally funded projects-grants (flow-through) or, cooperative agreements, and contracts (at the discretion of the Director of OSP, or his/her designee his/her delegatee), the unit/college must provide the funding guarantee on the early setup budget. an early setup request can be processed with appropriate unit/college approvals on the Early Setup Request Form. As part of this process a budget must be

~~identified by the unit that can be used to absorb any incurred expenditures if the project is not awarded.~~

- ~~c) For all other sponsored program contracts, including industry sponsored contracts, OSP will perform a risk evaluation will be required to be completed by OSP and a decision will be made on a case by case basis with respect to allowability to determine if an early setup is reasonable. Upon OSP approval, and the unit/college must provide the funding guarantee on any for the early setup budget of an early setup.~~
- ~~d) Situations that arise outside of these parameters will be evaluated and a determination made on a case-by-case basis by the Director of the OSP, or her/his authorized designee.~~
- ~~e) If the project is subject to any additional compliance obligations, including but not limited to such as those subject to oversight by the IACUC (see APM 45.01), IBC (see APM 35.11, APM 45.20, and 45.23), IRB (FSH 5200), Radiation Safety Committee (FSH 1640.71) or financial conflict of interest (FSH 5600 and 5650), if the project is subject to any compliance terms, such as IACUC, IBC, IRB (FSH 1640.12 and 1640.54), or financial conflict of interest (FSH 5600 and 5650), all associated requirements must be completed and approved via the appropriate authority before project work can begin and before an early setup budget will be established. The above list is not exhaustive.~~
- ~~When there are compliance terms such as IACUC, IBC, or IRB (FSH 1640.12 and 1640.54), financial conflict of interest (FSH 5600 and 5650), etc., governing the project, any associated requirements must be completed before project work can begin and before an early set-up budget will be established.~~

**C-2. Advance Funding.** ~~Principle Investigators, departments, units, institutes and colleges should request advance funding of an existing project, to continue the next phase of work, prior to project end-date or the expenditure of all allocated project funding for that project period, when an amendment has not been received and fully-executed by OSP. Advance funding is generally budgeted authorized normally approved for up to not more than ninety (90) -days and twenty-five percent (25%) of the next expected funding increment amount. For direct federally funded grant projects, the Vice President for Research and Economic Development will provide the~~

advance funding guarantee, as long as the unit/college provides ~~the email template~~ certification, using the template made available by the Office of Sponsored Programs, -that confirms that the PI is compliant with all deliverables and protocols per Section D-2.

To initiate advance funding approval, see D-2 below.

- a) By ~~providing~~ submitting an advance funding request, authorization, the unit/college is requesting that OSP allow expenditures beyond the current allocation or end-date of the grant account for federal or state awards (but not contracts), only when the agency has indicated in writing to the University that it intends to issue an amendment for the proposed addition of time, funding, or both. If an amendment is not received to continue the project, all expenditures will be transferred to the unit/college guarantee source and the project account will be closed.
- b) Situations that arise outside of the parameters cited in this policy will be evaluated and a determination made on a case-by-case basis by the Director of the OSP or ~~her/his authorized designee.~~
- c) If the project is subject to any ~~existing~~ additional compliance obligations, such as those subject to oversight by the IACUC (see APM 45.01), IBC (see APM 35.11, APM 45.20, and 45.23), IRB (FSH 5200), Radiation Safety Committee (FSH 1640.71) or financial conflict of interest (FSH 5600 and 5650), and the amendment that gives rise to the advance funding request either extends, alters, or creates new compliance obligations, all such research compliance requirements must be met before any work with respect to such obligations may be undertaken.
- d) If advance funding is not approved ~~by the University unit and OSP not by both the University and sponsor,~~ the ~~department~~PI must cease all project-related work and ~~expenditures~~ spending until such a time that an amendment is received and executed.

~~Situations that arise outside these parameters will be evaluated and a determination made on a case-by-case basis by the Director of the OSP or her/his authorized designee.~~

## **D. Process/Procedures.**

**D-1. Early Budget Set-Up Request.** ~~The PI (or unit/college) needs to have a budget number established for payroll or other startup expenditures prior to the receipt of a fully-executed award, the PI and/or the Departmental Grant Administrator (DGA) must submit an Preliminary Early Budget Setup Request Form to OSP for review and approval. The department must indicate that either a VPRED guarantee is being sought (only PI signature required) or that the College/Unit is providing the guarantee (PI, Chair and Dean signatures required). If approved, the preliminary budget setup will automatically be established at 25% of each primary expense code budget line of the proposed funding increment, unless the department requests a different budget breakdown on the form.~~ This form is available on the [OSP website](#).

**D-2. Advance Funding Request.** ~~Written advance funding approval is to be provided to OSP from the Dean, Provost, dean, Institute Director, or equivalent, or an approved designee, prior to expenditures in deficit or past the end-date of a continuation project, confirming the following:~~

- ~~a) The project is in compliance with all project deliverables, including technical reports;~~
- ~~b) All project compliance protocols, if any, are up to date; and~~
- ~~c) that providing confirmation that the unit/college understands they will be responsible for incurred costs, on a specified budget number, should the amendment not be received and/or approved. All incurred costs outside of the project period or in excess of the awarded funding amount are the responsibility of the department or college.~~

~~For sample confirmation, please email unit/college certification and approval text, as well as additional details on advance funding (and how it differs from an early setup) please visit the Departmental Grant Administrator (DGA) tab of the OSP Website.~~

**D-3. Non-Receipt of Award Within 90 Days.** Barring extenuating circumstances and the ~~approval~~ approval decision of the Director of OSP ~~or his/her designee to do otherwise~~, if an official award ~~document or noticedocument, notice~~ of an award, or amendment is not received within 90 days of the early set-up establishment

or advance funding approval, all expenditures must be ~~cost~~ transferred by the unit/college to the ~~unit's unrestricted~~ previously identified guarantee budget source identified ~~in~~ section C and per D-2, above

**E. Information.** Any questions regarding the early setup of a sponsored project budget or advance funding of an existing project should be addressed to the Office of Sponsored Programs Post Award Unit at 208-885-6651 or postaward@uidaho.edu by emailing the OSP Post Award team.

## **45.05 -- Early Setup and Advance Funding of Sponsored Project**

### **Budgets**

December 11, 2018(rewrite)

#### **A. General.**

**A-1.** Principal investigators (“PIs”) are frequently informed that a sponsor has made an award to the University but the University has either not received the award document or has received but not fully executed an agreement related to the sponsored project (see B-2). In such circumstances, a PI (or unit/college) may request that the Office of Sponsored Programs (OSP) set up a grant code early (“early setup”), thus allowing the PI to start work on the project and eliminating the need for cost transfers at a later date.

**A-2.** Frequently, for an existing project, the PI may be informed that the sponsor intends to issue an amendment to add time, funding, or both, but the amendment has not yet been received and/or fully executed (see B-2). The unit/college may request that OSP allow expenditures beyond the current allocation or end-date of the grant account, until an amendment is received (“advance funding”), thus eliminating the need for cost transfers at a later date and allowing the PI to continue working on the project without interruption.

#### **B. Definitions.**

**B-1. Award Document or Notice of Award:** Any of the various funding vehicles used by external sponsors to indicate that the sponsor is making a commitment to fund a proposal. These may take the form of:

- a)** a grant notice, which may or may not require signature by the University;
- b)** a contract or agreement, requiring execution by the University and the sponsor;
- c)** an award letter, which may or may not include a check payment in advance; or
- d)** a federal non-assistance contract.

For the purposes of this policy, contracts and other types of non-assistance agreements are not eligible for an early

setup, unless an exception is given by the authorized official of the University.

**B-2. Fully-Executed Award or Amendment:** An agreement or amendment which has all of the required authorized signatures for both the University and the sponsor. For the sponsor, the authorized signatory is typically the granting or contracting officer; for the University, the authorized signatory is the Director of the Office of Sponsored Programs or authorized designee.

## C. Policy.

**C-1. Early Setup.** Early setups are generally established not more than ninety (90) days and twenty-five percent (25%) of the expected first year's funding amount.

- a) For direct federally funded grants and cooperative agreements, the Vice President for Research and Economic Development (VPRED), or designee, may provide the funding guarantee on the early setup.
- b) For non-direct federally funded grants (flow-through) or cooperative agreements (at the discretion of the Director of OSP, or his/her designee), the unit/college must provide the funding guarantee on the early setup.
- c) For all other sponsored program contracts, including industry sponsored contracts, OSP will perform a risk evaluation to determine if an early setup is reasonable. Upon OSP approval, the unit/college must provide the funding guarantee for the early setup.
- d) Situations that arise outside of these parameters will be evaluated and a determination made on a case-by-case basis by the Director of the OSP, or designee.
- e) If the project is subject to any additional compliance obligations, including but not limited to those subject to oversight by the [IACUC](#) (see [APM 45.01](#)), [IBC](#) (see [APM 35.11](#), [APM 45.20](#), and [45.23](#)), [IRB](#) ([FSH 5200](#)), Radiation Safety Committee ([FSH 1640.71](#)) or financial conflict of interest ([FSH 5600](#) and [5650](#)), all associated requirements must be completed and approved via the appropriate authority before project work can begin and before an early setup will be established.

**C-2. Advance Funding.** Advance funding is generally authorized for not more than ninety (90) days and twenty-five percent (25%) of the expected funding amount. For direct federally funded grant projects, the Vice President for Research and Economic Development will provide the advance funding guarantee, as long as the unit/college provides certification, using the template made available by the Office of Sponsored Programs that confirms that the PI is compliant with all deliverables and protocols per Section D-2.

To initiate advance funding approval, see D-2 below.

- a)** By submitting an advance funding request, the unit/college is requesting that OSP allow expenditures beyond the current allocation or end-date of the grant account for federal or state awards (but not contracts), only when the agency has indicated in writing to the University that it intends to issue an amendment for the proposed addition of time, funding, or both. If an amendment is not received to continue the project, all expenditures will be transferred to the unit/college guarantee source and the project account will be closed.
- b)** Situations that arise outside of the parameters cited in this policy will be evaluated and a determination made on a case-by-case basis by the Director of the OSP or designee.
- c)** If the project is subject to any additional compliance obligations, such as those subject to oversight by the [IACUC](#) (see [APM 45.01](#)), [IBC](#) (see [APM 35.11](#), [APM 45.20](#), and [45.23](#)), [IRB \(FSH 5200\)](#), Radiation Safety Committee ([FSH 1640.71](#)), or financial conflict of interest ([FSH 5600](#) and [5650](#)), and the amendment that gives rise to the advance funding request either extends, alters, or creates new compliance obligations, all such research compliance requirements must be met before any work with respect to such obligations may be undertaken.
- d)** If advance funding is not approved by the unit and OSP, the PI must cease all project-related work and spending until an amendment is received and executed.

## **D. Process/Procedures.**

**D-1. Early Setup Request.** The PI (or unit/college) must submit an Early Setup Request Form to OSP for review and approval. This form is available on the [OSP website](#).

**D-2. Advance Funding Request.** Written advance funding approval is to be provided to OSP from the provost, dean, institute director, or equivalent, or an approved designee, prior to expenditures in deficit or past the end-date of a continuation project, confirming the following:

- a) The project is in compliance with all project deliverables, including technical reports;
- b) All project compliance protocols, if any, are up to date; and
- c) The unit/college understands they will be responsible for incurred costs, should the amendment not be received and/or approved.

For sample unit/college certification and approval text, as well as additional details on advance funding (and how it differs from an early setup) please visit the [Departmental Grant Administrator \(DGA\) tab](#) of the OSP Website.

**D-3. Non-Receipt of Award within 90 Days.** Barring extenuating circumstances and the approval of the Director of OSP or designee to do otherwise, if an official award document, notice of an award, or amendment is not received within 90 days of the early setup establishment or advance funding approval, all expenditures must be transferred by the unit/college to the previously identified guarantee source identified.

**E. Information.** Any questions regarding the early setup of a sponsored project or advance funding of an existing project should be addressed to the Office of Sponsored Programs Post Award Unit at 208-885-6651 or by emailing the [OSP Post Award team](#).



## 45.06 Allowable and Unallowable Sponsored Project Expenditures

~~January 18, 2012~~December 2018 (rewrite combined 45.06 & 45.18)

### A. Definitions.

**A-1. Allowable Costs.** For a cost to be regarded as an allowable charge to a sponsored project, it must ~~satisfy~~ four conditions per ~~federal regulation 2 CFR 200 or any future federal guidance federal 2 CFR 200 (on or after 12/26/2014), or such future federal guidance as may become applicable:~~

**a. Reasonable.** A cost is considered reasonable if the nature and the amount involved for goods or services acquired or applied reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made: ~~(OMB Circular A-21, §C3; 2 CFR 200.404).~~

**b. Allocable to sponsored agreements ~~under the principles and methods provided in OMB Circular A-21.~~** A cost is considered allocable to a particular project if the goods or services involved are chargeable or assignable to the project in accordance with relative benefit received or other equitable relationship. Subject to the foregoing, a cost is considered allocable if:

- It is incurred solely to advance the work under the sponsored agreement;
- ~~It~~ benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable methods, or
- ~~It~~ is necessary to the overall operation of the institution and is deemed to be assignable in part to sponsored projects ~~(OMB Circular A-21, §C4; 2 CFR 200.405).~~

**c. Consistently Applied.** Costs must be given consistent treatment ~~by through application of generally accepted accounting principles appropriate to the circumstances applying them uniformly to both federally-financed and other activities of the institution.~~ ~~(OMB Circular A-21, §C10-C11; 2 CFR 200.403(b)).~~

**d. Conforming to any limitations or exclusions.** Costs ~~must~~ conform to any limitations ~~as~~ set forth in ~~OMB Circular A-21~~ ~~the federal guidance,~~ or in the sponsored award ~~itself,~~ as to types or amounts of cost items. ~~(OMB Circular A-21, §C2) (OMB Circular A-21, §C2; 2 CFR 200.403). (b)).~~ OMB Circular A-21 designates ~~certain costs~~ are designated as expressly unallowable ~~(OMB Circular A-21, §J).~~

**A-2. Unallowable Costs.** Costs that fail to meet *any* of the four conditions described above ~~must will~~ be treated as unallowable. Questions regarding the allowability of costs should be directed to the Office of Sponsored Programs, (208) 885-6651 or [emailed to osp-cost@uidaho.edu](mailto:osp-cost@uidaho.edu).

~~A tool, the OSP Expense Justification Tool, is available on Vandal Web which provides details on UI expense codes that are expressly unallowable, or are normally considered to be indirect costs (consistent treatment). Look under the Office of Sponsored Programs tab on VandalWeb for the OSP Expense Justification Tool.~~

**B. Policy.** The University, as a recipient of sponsored project funding, must comply with all regulations and standards established by the federal government and other sponsoring agencies. ~~The Federal The~~ Office of Management and Budget (OMB) ~~is responsible for Circular A-21, Cost Principles for Educational Institutions (OMB Circular A-21)~~ ~~setting~~ ~~forth~~ the general principles and practices for federal costing standards associated with ~~federally~~ sponsored project activity.

All sponsored projects are subject to regular review and any expenses charged against sponsored projects must be consistent with ~~Circular A-21~~ ~~Federal guidance,~~ University policies and procedures, and sponsor ~~regulations~~ ~~requirements~~. The primary responsibility for ensuring that only proper expenditures are charged to sponsored project budgets rests with the Principal Investigator (PI). The Office of Sponsored Programs (OSP) is responsible for monitoring adherence to all federal, state, and other cost-related restrictions on sponsored projects via the methods detailed in ~~Section D:~~ ~~Section D.~~

**B-1. Responsibility for Compliance.** The general University mandate is that all employees act as responsible stewards of resources and assets under their control ([FSH 3170](#)).

**a. Principal Investigator (PI).** Under UI policy, the PI bears ~~the~~ primary responsibility for ensuring the appropriateness or allowability of all costs on sponsored projects. (~~FSH 5100, Section H-3~~).

**b. A Grant Administrator (GA)** is charged with assisting PIs in reviewing, justifying, charging and tracking costs, and is also responsible for making certain that expenditures are charged against awards in a manner that is consistent with applicable federal regulations, sponsor conditions, and University policies.

**c. The Unit Administrator** (department chair/head/director) is responsible for implementing procedures to ensure adherence to federal cost principles including allowability, accounting regulations, and University policies. ~~Payment for of unallowable C~~ ~~charges which have been determined to be unallowable~~ to sponsored projects ~~which are subject to the expenditure requirements articulated by OMB Circular A-21, are the responsibility of~~ ~~will be apportioned to~~ the sponsoring unit or college ~~for payment~~. (~~FSH 5100, Section F-5~~).

**d.** Oversight of these procedures lies within the authority of the **College Deans**, for units, and the **Vice President for Research and Economic Development**, for institutes. Decisions regarding the source(s) of repayment of unallowable costs and any penalties and interest charges shall be made by the Dean and/or the Vice President for Research and Economic Development.

**e.** Employees are encouraged to use the confidential hotline, speak to the Ombuds Office, or speak with their direct supervisor, college finance director, chair, director, dean or OSP in cases where there is undue influence to process charges that are unallowable. Employees should note that protections are afforded through federal and University policies to prevent retaliation in such instances. It is a violation of University policy for any employee to engage in retaliatory conduct, see [FSH 3810](#). As public employees, University faculty and staff are responsible for reporting any actions by University employees that are illegal or incompatible with the conscientious management of resources and assets of, or entrusted to, the university. (~~FSH 3170:~~ ~~Section C~~).

**C. Process/Procedures.** Expenditures incurred for sponsored projects typically fall into one of the following classifications: salaries; fringe benefits; temporary hourly employees; travel; operating expenditures; equipment <\$5k; capital outlay> \$5k; subcontracts; and tuition remission, fees, stipends and Student Health Insurance Program (SHIP). The following guidelines provide assistance to assure that all charges against sponsored projects are correctly processed.

### C-1. Salaries.

- For externally-sponsored awards an individual's rate of pay may not be charged in excess of the institutional base salary rate received for that individual's regular appointment.
- Payroll expenditures and changes to an individual's effort percentage are to be processed in a timely manner through Banner Electronic Personnel Action Forms (EPAFs).
- EPAFs to terminate personnel from sponsored projects must be processed *prior* to the award end date to reduce the necessity for payroll cost transfers.
- EPAF and any Banner records must accurately reflect the percentage of time individuals are working on a given project and be verified regularly via Personnel Activity Reports (PARs) as per [APM 45.09](#).
- Payroll and budget reports should be produced and reviewed regularly to ensure that projects are not over budget.
- ~~• Any compensatory leave and/or other leave must should be taken on the project on which it was earned, during the time period of the project.~~
- ~~• Any compensatory leave and/or other leave balance remaining after the termination of an award must be paid from the unit's budget and may not be charged to another sponsored project.~~
- ~~• Sick and Annual leave is to be charged to the appropriate budgets, as it is taken. Terminal leave is paid through a consolidated fringe benefit rate. See C-2. as negotiated annually or as required with the Department of Health and Human Services. Rates are assigned based on the employee's position class of faculty, staff, or student. Check the OSP website for current rates. Any terminal leave is covered by the fringe pool.~~
- All employees who are paid in whole or in part from sponsored projects, federal funding, or committed cost share must complete a PAR as per [APM 45.09](#).
- For guidelines on Faculty Summer Salary Release, see <https://www.uidaho.edu/provost/faculty/salary-information> <http://www.uidaho.edu/provost/policyguidelines/salaryinformation> <http://www.uidaho.edu/provost/policyguidelines/salary>

### C-2. Fringe Benefits.

- ~~• Estimated fringe benefit rates may change each year and should be verified when preparing proposal budgets. A fringe benefit pool has been established. It will be adjusted per federal guidelines. [see APM 45.02 A-2]. Refer to The university pays fringe benefits through a consolidated rate negotiated annually or as required with the Department of Health and Human Services. Rates are assigned based on the employee's position class of faculty, staff, or student. Check the OSP website for current rates.~~  
~~theCheck the OSP website for the current estimated fringe benefit rates.~~

### C-3. Temporary Hourly (TH) Employees.

- The guidelines issued above for **Salaries** are also applicable to TH employees.

#### C-4. Travel.

- The purpose of travel must be in *direct* support of project objectives.
- Travel must take place within the time period of the project.
- Reservations or airline tickets cannot be purchased with sponsored project funds if the actual travel occurs before the start date or after the termination date of the project.
- All travel charges must be documented by receipts.
- Allowable travel expense rates must comply with UI travel policy, the terms of the agreement, or agency requirements, if more restrictive.
- [All foreign travel must be registered with the International Programs Office before travel is undertaken.](#)
- All foreign air travel on federal funds must comply with the Fly America Act. A link to this Act, and additional information are available on the [OSP website](#).

Field Code Changed

#### C-5. Operating Expenditures.

- Operating supplies and services must be purchased and received during the time period of the project.
- Operating supplies and services must provide a direct, verifiable benefit to the funded project.
- It is not an acceptable procedure to “stockpile” supplies at the end of a project period. Such stockpiled supplies would not reflect a direct and verifiable connection to the project being funded [and may result in an obligation back to the sponsor \(2 CFR 200.314\)](#). ~~See section A-1. B. for OMB-A21 reference.~~

#### C-6. Capital Outlay.

- Capital outlay (CO) is defined as items having a useful life of more than one year and a cost of \$5,000 or more.
- Capital outlay items must be purchased during the time period of the project.
- Capital outlay items must be received with enough time remaining on the project to benefit the project.
- See APM 10.40 Property Inventory and Products for tracking and accountability. [Note: Some agencies place lower dollar limits on items that must be inventoried and insured.]
- Transfers into and out of the CO category affect the F&A [charges allocation](#) on a sponsored project. ~~Budget transfers into or out of the CO category increase the amount of F&A charged to a sponsored project. Transfers into the CO category decrease the amount of F&A charged to the sponsored project. These budget transfers require~~ OSP involvement.

**C-7. Subcontracts.** If the University is subcontracting a portion of the work, a [contractual](#) award document will need to be issued by OSP at the request of the PI or the unit. If a subcontract is not included in the original proposal, agency approval will be required prior to subcontract issuance.

- ~~Subcontract costs are split out from the award and budgeted on separate funds within the overall grant budget.~~
- ~~The full amount of the subcontract must be encumbered on a purchase order (PO); the PO number will be referenced on the subcontract.~~

~~Indirect costs are will generally only be assessed on the first \$25,000 of individual subcontracts. Therefore, if a subcontract exceeds \$25,000, the PO must be split, with the first \$25,000 expensed to E5171 and the amount in excess of \$25,000 expensed to E5172.~~

- All subcontract ~~or requests for payment invoices (invoices)~~ must be approved by both the PI and OSP prior to being charged against the purchase order.-
- ~~Cumulative amount i~~invoices~~d~~ may not exceed the total amount of the subcontract ~~PO~~.
- Invoices must be reviewed for allowable expenses per the prime contract and ~~PI must certify both by the PI that the work is progressing and that~~ expenses are appropriate. OSP will review all subcontract invoices prior to forwarding to Accounts Payable for payment.

#### **C-8. Tuition Remission, Fees, Stipends, Scholarships, and Insurance (TFSI).**

- Tuition remission and Fees may be charged for Graduate Assistants only.
- If Graduate Assistants are receiving a salary stipend, then tuition remission fees, if allowed by the sponsor, must be paid from the same sponsored project budget on a proportional basis to the salaries.
- TFSI expenses must be specified as allowable expenses of the award.
- TFSI expenses are allowable on formal training grants as a scholarship.
- TFSI expenses are allowed on most other sponsored projects when associated with a Graduate Assistant's appointment to work on the project. [Note: USDA may restrict the expensing of tuition, fees and insurance to sponsored projects; review your project guidelines or ask OSP if you have questions.]
- Scholarships are not an allowable expense unless specifically approved by the sponsor.

#### **D. Office of Sponsored Programs ~~Procedures~~Policy on unallowable expenses**

**D-1.** OSP ~~shall~~ reviews expenditures periodically through the life of a sponsored project budget and prior to closeout based on information in the University's financial system. If, through this review, it is determined that an unallowable expenditure has been assessed to a project, OSP will ~~notify the dean or director and~~ contact the responsible college finance director to either correct the transaction or perform a review of the facts associated with the assessment of the expenditure.

The review will identify who was responsible for the assessment of the expenditure, the circumstances surrounding placement of the unallowable expenditure on a sponsored project budget, and where the expenditure is to be transferred. OSP may be consulted to assist in the review process to ensure allocation of costs is completed in accordance with existing regulations, award conditions, and applicability to the scope of the project. Action, such as a review of policies and procedures, identification of resources available in making cost determinations, and improvement of internal controls, will be taken by the college to ensure unallowable costs are not placed on sponsored projects in the future. Based upon the review, the college will determine the severity of the infraction and the potential for recurrence. Taking into consideration the severity and

potential for recurrence, the college will make a recommendation for resolution.

Once a review has been completed, any unallowable expenditure(s) shall be removed from the sponsored project budget and placed on an unrestricted University budget. If an unrestricted University budget is not available, the expenditure(s) will be deducted from the facilities and administrative costs returned annually to the college. Copies of all back-up documentation for the review process and associated transfers must be retained by the college and originals forwarded to OSP for retention in the official University file. ***(Note, any resolution and provision of necessary paperwork will not preclude OSP from conducting a full review of sponsored project activity within the area under review.)***

This process shall also be used if an unallowable expense is placed on a project and the unallowable expense is identified by persons other than OSP.

**D-2.** If it is determined that the potential for recurrence is high, the Office for Research and Economic Development (ORED), with the concurrence of the college, will require the individual to take or retake formal training offered by OSP.

**D-3.** If an individual commits the same infraction or fails to comply with responsive actions identified through the process in D-1 and D-2, his or her repeated actions may be referred for review by an ad hoc committee comprised of the Associate Vice President for Research and Economic Development, the dean or dean's designee of the individual's college(s), a representative from OSP, a representative of the University controller, and two peers. A representative from HR and internal audit will be included in an advisory capacity. The committee will review the available facts and make recommendations for further investigation or remedial and/or disciplinary action to the appropriate individual(s). Recommended employee disciplinary action will be made to the individual's supervisor and unit administrator/dean, and any such action shall be at the discretion of the appropriate supervisor and shall proceed in accordance with the employee disciplinary procedures in the applicable University policies. Recommendations for non-disciplinary remedial actions, such as required training or revocation of access to manage sponsored project activity, shall be made to the Vice President for Research and Economic Development. Nothing herein shall limit the authority of an individual's administrative unit or ORED to otherwise impose discipline or remedial activities within their existing authority and without referral to the above described committee.

**E. Contact Information.** For additional information please contact the [Cost Accounting Unit of the](#) Office of Sponsored Programs at 208-885-6651 or [osp-cost@uidaho.edu](mailto:osp-cost@uidaho.edu).



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

**Administrative Procedures Manual [APM]**  Addition  Revision\*  Deletion\*   
 Emergency  
 Minor Amendment   
**Chapter & Title:** APM 45.08 Cost Sharing ("Match") on  
**Sponsored Projects**

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

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

**Originator(s):** Kris Freitag 12/2/2018  
 (Please see FSH 1460 C) Name Date  
**Telephone & Email:** 208-885-8994  
kfreitag@uidaho.edu

**Policy Sponsor:** (If different than originator.) Deborah N Shaver  
 Name Date  
**Telephone & Email:** 208 885 4627 dshaver@uidaho.edu

**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.  
Update to replace outdated information with current info.

**II. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have?  
 None. Changes are needed to comply with findings of a recent NSF desk review.

**III. Related Policies/Procedures:** Describe other policies or procedures existing that are related or similar to this proposed change.  
 APM 45.09 is related and we are requesting updates to that as well.

**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)

## 45.08 -- Cost Sharing ("Match") on Sponsored Projects

March 28, 2013

**A. General.** Some sponsored projects require the University and/or third parties to contribute a portion of the project costs. Such contributions are known as "cost sharing" or "match." The requirement for cost sharing or matching funds is an indication that contributions beyond those provided by the sponsor are necessary to fulfill the objectives of the project. Once included in a proposal and confirmed in its corresponding award document, cost share becomes a binding obligation of the University and must be contributed towards the fulfillment of the project.

### B. Definitions.

**B-1. Mandatory Cost Share:** The portion of the University contribution to a sponsored project which is required by the terms of the project, typically noted in the Request for Proposal (RFP). Any mandatory cost share must be included in the proposal in order for the proposal to receive consideration by the sponsor.

**B-2. Voluntary Committed Cost Share:** Resources that are committed and budgeted for in a sponsored agreement, but that are not required by the sponsor in order for a proposal to be considered. Although not required by the sponsor, this cost share is a binding commitment and is tracked by the University. *[rev. 3-13]*

**B-3. Voluntary Uncommitted Cost Share:** The voluntary contribution of institutional resources, including faculty effort, that is over and above mandatory or voluntary cost share. Such cost sharing is not required by the sponsor as a condition of the award and is not quantified in the project budget or other application (proposal) form, but is expended by the University. An example of voluntary uncommitted cost share is "The University of Idaho will provide lab space to conduct this research". This is listed in the proposal, but since there is no quantified amount listed, it is not tracked by the University. *[rev. 3-13]*

**C. Policy.** Due to the effect of cost sharing on the Facilities and Administration (F&A) rate, it is the position of the Office for Research and Economic Development (ORED) that when cost sharing is required by the agency, only the minimum cost share necessary to satisfy the requirement may be offered to the sponsoring agency. Requests to offer more than the minimum cost share required by a sponsor must be authorized by the unit administrator, college dean *and* the VP for Research and Economic Development. Voluntary cost share is generally prohibited. Only in rare circumstances will voluntary cost share be authorized, and such authorizations must be provided by the unit administrator, college dean *and* the VP for Research and Economic Development.

Federal sources and other sponsored projects ([Fund Type 22](#)) (~~"K" accounts~~) generally cannot be used for cost sharing or matching purposes. This includes all Smith Lever, Hatch, or other federal funds appropriated to the University. The Office of Sponsored Programs (OSP) will provide notification of any required cost sharing at the start of a project and with any subsequent funding authorizations. [\[ed. 12-18\]](#)

### D. Process/Procedures.

**D-1. Allowable/Unallowable Expenses.** If cost share has been approved on a project, the following guidelines apply to what are allowable and non-allowable expenses for cost share purposes. Note that in order to be used as cost share, expenses must occur *during the project period*.

**a) Items Unallowable as Direct Costs.** An expense must be allowable as a direct cost to the project if it is to be used as cost share. One common exception is when the agency stipulates that indirect costs are unallowable but that any unrecovered indirect costs may be used as cost share. Unrecovered indirect costs are the indirect costs that are not chargeable to an award due to sponsor limitations.

**b) Equipment and Office Space.** Existing equipment and office space on any University owned or leased property is part of the University's indirect cost rate calculation, and cannot be used as cost share.

PIs should be aware that when preparing proposals for sponsored agreements they cannot commit the use of University-owned or government-owned equipment as cost share. They can, however, characterize the equipment as "available for the performance of the project at no direct cost to the project."

Proposals which include the acquisition of special-purpose equipment as a direct cost may include an offer of University funds to pay for all or part of the cost of such equipment. These proposals may be for equipment or instrumentation grants, where the purpose of the grant is to buy equipment and the University is required to share the cost with the sponsor, or research-oriented sponsored projects where the purpose of equipment required for the research is an allowable expense included in the award. Note that the purchase and acquisition must occur during the period of performance. The portion of the purchase price paid by the University must be charged directly to a cost sharing account in support of the award.

**c) Waiver of Indirect Costs on Cost Shared Items.** The indirect costs associated with other cost shared items may be used as matching funds, if indirect costs are allowed by the granting agency.

**d) Employee Salaries.** If an employee's salary ~~has been~~is being committed ~~used~~ as cost share on a project, they must complete an Effort receive a Personnel Activity Report (PAR) - to verify the actual effort working on the project [see APM 45.09]. ~~The employee must report his/her time on the PAR in order to provide the information to OSP so it can be reported to the sponsor.~~ [ed. 3-13, rev. 12-18]

**e) Third Party Cost Share Allowances.** An itemized letter of commitment signed by an authorized organizational representative is required if any portion of the cost share is being funded by a third party (or parties). After the fact documentation will be required from each third party. Such documentation must certify that the cost share in the letter of commitment was provided to support the project and that none of the cost share was paid out of federal funds. This documentation must be signed by someone in authority at the third party organization. [rev. 3-13]

**D-2. Reports Provided by OSP.** OSP prepares and will provide on request the following reports concerning cost sharing requirements:

**a) Cost Sharing Report:** Available for each budget with a cost sharing commitment. This report lists the detailed cost-share expenses reported to OSP to date and is provided to each unit at least once a semester and when changes occur.

**b) Cost Sharing Report by College:** Lists both active and terminated accounts with cost share commitments. Details the matching amount required, the accumulated amount matched, and the balance remaining to match. Sent upon request.

**c) Termination Report:** Details the unmet cost share commitment. This report is sent to the unit at the close date of the project.

**D-3. Unit Responsibilities.** The PI and unit should regularly review the cost-sharing reports, and notify OSP immediately if discrepancies exist. If operating expenses, temporary employee pay, and/or travel expenses are being used as match, the unit must provide OSP with the expense document numbers, dates, and budget(s) those expenditures were charged to on a regular basis. If the entire obligated cost share is not submitted by the PI and unit 15 days prior to the date the final financial report is due to the sponsor, the amount of direct expenditures allowed on the sponsored project must be reduced. The unit must transfer expenses off the sponsored project so that the cost share submitted meets the required proportion to the direct expenses as obligated in the award document. *[rev. 3-13]*

**E. Contact Information.** Further questions regarding cost sharing should be addressed to the Office of Sponsored Programs, (208) 885-6651 or [osp@uidaho.edu](mailto:osp@uidaho.edu). FAQs on cost sharing and other sponsored programs can also be found on the [OSP website](#).



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

**Administrative Procedures Manual [APM]**  Addition  Revision\*  Deletion\*

Emergency

Minor Amendment

**Chapter & Title:** APM 45.09

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

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

**Originator(s):**

(Please see FSH 1460 C)

Kris Freitag 12-7-18

Name Date

**Telephone & Email:**

208-885-8994 kfreitag@uidaho.edu

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

Deborah N Shaver

Name Date

**Telephone & Email:**

208 885 6651 osp@uidaho.edu

**Reviewed by General Counsel**  Yes  No Name & Date: Casey Inge, 05/2017

**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.

Update to clarify policy and remove outdated information.

**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.

The university is moving to Banner based effort reporting and as this is still in process, the guidance and information relating to it is not yet completed and posted.

**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)
------------------------------------------------------------------------------------------------------------------------------

**45.09 -- Effort Reporting and Personnel Activity Reports (PARs)**~~January 18, 2012~~December 2018 (rewrite)

~~**A. A. General.** The University of Idaho (University) is required by federal regulations ([2 CFR 200.430](#)) and accounting standards to ensure that the allocation apportionment of employee compensation for all employees accurately reflects the work performed by these individuals in connection with sponsored projects. This document sets forth University policy ~~and~~ procedures for the commitment and certification verification of effort expended by university employees on sponsored projects. ~~(see also [APM 45.22](#)).~~~~

**BAB. Definitions.**

**B-1. Cost Sharing:** The portion of the total project costs for a sponsored project that is borne by the University rather than the sponsor. See [APM 45.08](#) for definitions of types of cost share.

~~**B-2BA-21. Effort** (also referred to as "actual effort"):~~ Effort aAlso referred to as "actual effort," is the [the time spent in](#) pursuit of a particular activity and. ~~Effort is~~ expressed as the percentage of one's University appointment devoted to one or more activities.

~~**B-3BA-32. Effort Reporting:** The [Effort reporting is the](#) process through which the University verifies and documents that the effort expended by an employee is commensurate ~~corresponds~~ with the effort he or she has committed to devote to those activities.~~ ~~Charged to or contributed to~~ (as cost share) sponsored activity.

~~**A-3. Person Months:** Person months is the method typically used in sponsored project applications to express the amount of effort that the Principal Investigators (PIs), other faculty, or key employees devote to a specific project, expressed in terms of time rather than a percentage of one's appointment.~~

~~**BBA-4. Institutional Base Salary (IBS):** Institutional base salary (IBS) is ~~t~~ The annual compensation paid by the University for the appointment of ~~o~~ an employee, irrespective of the nature of the activities in which the employee is engaged while fulfilling the requisites of their appointment; e.g. research, instruction, service, and administration. IBS excludes any income that an individual may earn outside of the University. The institutional base salary IBS for each faculty member is listed enumerated in the faculty member's annual salary letter. Base salary may not be increased by replacing organizational salary funds with sponsored funds. See [OMB Circular A-21, §110d\(1\); NIH Grants Policy Statement.](#) Charges for work performed on sponsored projects are only allowable at the IBS rate. (See 2 CFR 200.430)~~

~~**A-5. Cost Sharing:** The portion of the total project costs for a sponsored project that is borne by the University rather than the sponsor. See [APM 45.08](#) for definitions of types of cost share.~~

**B-5. Person Months:** the metric method typically used in sponsored project applications to express the amount of effort that the Principal Investigators (PIs), other faculty, or key employees devote to a specific project, expressed in terms of time rather than a percentage of one's appointment.

**C. Federal Guidelines Requirements:** ~~As a recipient of sponsored project funding, the University must comply with federal regulations and procedures~~

~~(2 CFR 200.430) to ensure that personnel expenses charged against sponsored project awards are allowable and allocable to those projects. Failure to produce reasonably accurate estimates of effort, or to otherwise comply with federal cost requirements, can result in financial penalties, expenditure disallowances, withholding of future sponsored project awards by an agency, and damage to the reputation of the University. Providing inaccurate estimates of effort, whether knowingly or through carelessness or mismanagement, may be regarded as fraud and may subject the University and the certifying individual to civil proceedings and criminal prosecution.~~

~~**C-1.** OMB Circular A-21, §J10 requires that educational institutions maintain a payroll distribution system that allows for the documentation of salary and wage apportionment.~~

~~**C-2.** OMB Circular A-21, §J10 also requires that this payroll distribution system be supported by activity reports that offer reasonable verification of the effort expended by employees engaged in sponsored projects at the institution. Federal regulations acknowledge that a precise assessment of the factors that contribute to costs is not always feasible, given that instruction, research, service, and administration are inextricably intermingled in an academic setting. They, therefore, admit a degree of tolerance in the estimation of effort expended on sponsored research. See: OMB Circular A-21, §J10b(1)(c).~~

- ~~a) The University follows this directive by monitoring salary allocations and requiring periodic reporting of effort by any University employee whose salary is charged or cost shared to one or more sponsored projects.~~
- ~~b) Reported effort must be a reasonable accounting of all institutional activities for which an employee is paid by the University and must be validated by the employee whose activity is being reported or by responsible personnel who have suitable means of verifying that the work was performed. See: OMB Circular A-21, §J10b(2)(b)~~
- ~~e) Failure to produce reasonably accurate estimates of effort or to otherwise comply with federal cost requirements can result in financial penalties, expenditure disallowances, withholding of future sponsored project awards by an agency, and damage to the reputation of the University. Providing inaccurate estimates of effort, whether knowingly or through carelessness or mismanagement, may be regarded as fraud and may subject the University and the certifying employee to civil proceedings and criminal prosecution.~~

~~**ED. -Process/Procedures Policy.** Effort reporting and certification begins at the proposal stage and is ultimately accomplished through review and verification of Personnel Activity Reports (PARs) Effort Reports.~~

**D-1. Proposal stage.** When preparing proposals for sponsored projects, the primary responsibility for establishing a reasonable estimate of the effort necessary to carry out the project rests with the PI.

- a) In determining the amount of effort that will be devoted to the proposed project, the PI must consider existing effort commitments to other sponsored projects, University duties associated with his or her appointment, and the ability of other key project personnel who are to be involved in the project to make contributions of effort necessary for its success.

- b) In addition to ensuring that proposed effort commitment conforms to University expectations and policy, the PI must also make certain that it is consistent with the parameters established by the sponsor.

~~See: Faculty Staff Handbook 3120, Faculty Obligations during Period of Appointment; 3140, Performance Expectations for Faculty; 3260, Professional Consulting and Additional Workload; 5600, Financial Disclosure Policy; 5650, Financial Conflicts of Interest in Public Health Service Research; and 6240 Conflicts of Interest and Commitment provide additional information in regards to calculating the appropriate amount of effort to propose on sponsored programs.~~

~~3050 Position Description; and 3260, Professional Consulting and Additional Workload for additional information regarding assessing the appropriate amount of effort to propose on sponsored programs.~~

- ~~c) While federal agencies may require that proposed effort be expressed in terms of person months, the University requires that employees verify actual effort expended in terms of percentages of effort. The Office of Sponsored Programs (OSP) will assist with the translation of effort between these two methods.~~

- ~~d) Calculating effort using a percentage basis fosters employee compliance with effort reporting requirements by encouraging an individual to estimate his or her effort on a given activity as a percentage of his or her total University activities rather than as a fraction of a fixed time-period (such as the forty-hour week). This process acknowledges that some fluctuation in effort levels is inherent in the conduct of academic activities.~~

#### ~~D-2. Expression and Calculation of Proposed Effort in a Proposal:~~

~~Proposed effort should be stated in terms that are consistent with sponsor requirements:~~

- ~~a) While federal agencies may require that proposed effort be expressed in terms of person months, the University requires that employees certify actual effort expended in terms of percentages of effort.~~
- ~~b) The Office of Sponsored Programs (OSP) will provide mechanisms to assist with the translation of effort between the two metrics a) above.~~
- ~~c) Calculating effort using a percentage basis fosters compliance with effort reporting requirements by encouraging an employee to estimate his or her effort on a given activity as a percentage of his or her total University activities rather than as a fraction of a fixed time period (such as the forty-hour week). This process acknowledges that some fluctuation in effort levels is inherent in the conduct of academic activities.~~

#### ~~D-3. Accurate Tracking of Effort via the Electronic Personnel Action Form (EPAF):~~

~~Because the PAR System is based on payroll records, it is crucial that the Electronic Personnel Action Forms (EPAFs) both for new awards and for terminating awards are accurately and expeditiously completed and entered into the payroll distribution system:~~

- ~~a) Salary allocations associated with a new award must be reviewed and approved by the PI(s) for the project prior to the entry of this information into the payroll system.~~
- ~~b) Consistent with committed effort, distributions of salary on sponsored project or cost sharing accounts should coincide with the commencement of actual effort on the sponsored project.~~

- ~~e) In consultation with the employee, the Grant Administrator (GA) provides the cost shared effort to be included.~~

~~D6-2. Award Stage.~~ **D-4. Unit and PI Effort Management.** Once a sponsor makes an award, the provisional effort commitments included in the proposal become mandatory, and the oversight and reporting of effort for faculty and staff (~~see APM 45.22 B-3~~) associated with the award becomes required.

a) Because effort reporting is based on payroll records, it is crucial that Electronic Personnel Action Forms (EPAFs) are accurately and expeditiously completed and entered into the payroll distribution system. Salary allocations associated with a new award must be reviewed and approved by the PI (s) for the project prior to the entry of this information into EPAFs. Awards that are ending also need to be monitored to ensure EPAFs are completed to remove employees from these projects in a timely manner.

b) Consistent with committed effort, distributions of salary on sponsored project or cost sharing accounts should coincide with the commencement of actual effort by the employee on the sponsored project.

~~a) DFaculty and staff with salary charged to or committed as cost sharing for one or more sponsored projects must: review initial salary allocations, regularly monitor actual effort, and certify effort through the completion of a PAR.~~

~~b) PARs must be completed by faculty and professional staff three times per year as indicated on the Effort Reporting Calendar located at , and monthly for all "other" employees. The University defines the classification of "other" as including classified staff, RA/TAs, and temporary employees paid from two or more sources of which at least one is a sponsored project. [ed. 4-12]~~

~~**E-3.: Effort Reporting. The mechanism by which effort is verified and reported is the Effort Report.**~~

a) Drawing on data from the university payroll distribution system, the Effort Reports allows an individual to review payroll salary allocations, represented as percentages of total effort, and to indicate whether the allocations reasonably correspond to his or her actual percentage of effort expended on each project or activity.

b) Semi-annually an Effort Report will be electronically generated for and made available online to each employee whose compensation was partially or totally charged to or committed as cost sharing to a sponsored project.

c) Reported effort must be as accurate as possible. Up to five percent variance above or below the estimated effort for any given project is permitted without requiring modification of salary allocations.

d) In cases in which actual effort differs from estimated effort by more than five (5) percent or a project or activity is missing from the Effort Report, the employee shall notify the appropriate Department Grant Administrator that a change may be necessary to realign salary and effort.

e) Effort Reports must be completed within thirty (30) working days of the date they are released to the employee.

1) If circumstances occur that are outside the University's control (e.g. weather conditions, power loss, etc.) the date for the Effort Report completion may be adjusted accordingly.

2) Effort Reports must be completed by the individual whose effort is being reported or by a person who has a suitable means of verification (direct and personal knowledge) of the effort expended.

i) PIs and Co-PIs should certify their own effort reports. PI's, providing they have direct knowledge, can certify the Effort Reports of the employees working on their sponsored projects, but employees should complete their respective effort reports, if possible.

ii) Department Grant Administrators, or other administrators, are not presumed to have the requisite means of verification; they may complete effort reports only if they have a written and signed confirmation of effort by an individual with direct knowledge of the activities of the person for whom the report was generated and only when that individual is unavailable to complete the Effort Report.

iii) If extraordinary conditions preclude a faculty member from completing their Effort Report, and no written and signed confirmation of effort can be obtained, the faculty member's unit administrator Department Chair or College Dean will determine the best means for verification of effort expended.

3) Failure to certify Effort Reports in a timely manner may result in suspension of activity on any or all sponsored projects involved and limit the ability of the noncompliant individual to apply for other sponsored project funding.

~~D-5: Personnel Activity Report Form (PAR). The mechanism by which effort is verified and reported is the University of Idaho Personnel Activity Report (PAR).~~

~~a) The electronic PAR system is located in the University of Idaho VandalWeb System.~~

~~b) Instructions and training on PARs is available on the Training tab of the OSP website.~~

~~c) In consultation with the employee and PI, the GA provides the cost-shared effort to be included in effort reports.~~

~~d) Reported effort must be as accurate as possible. A five percent variance above or below the estimated effort for any given project is permitted without requiring modification of salary allocations.~~

~~D-6: Completion and Certification of PARs. Drawing on data from the University payroll distribution system, the PAR allows an employee to review payroll salary allocations, represented as percentages of total effort, and to indicate whether the allocations reasonably correspond to his or her actual percentage of effort expended on each project or activity.~~

- ~~a) At the close of each academic term (for faculty and professional staff) or monthly (for all employees in the "other" classification), a PAR will be electronically generated for, and made available online to, each employee whose compensation was either partially or totally charged to, or committed as cost share to a sponsored project.~~
- ~~b) PARs must be completed within 30 working days of the date they are released for completion.~~
- ~~c) If percent of effort allocations reasonably reflect actual effort expended during the reporting period, the employee confirming the accuracy of the data in the form should certify the effort report by selecting the "complete and submit" option that states: "I confirm that the above percentages of effort represent a reasonable distribution of the work performed by me during the period \*\*/\*\*/\*\*\*\* to \*\*/\*\*/\*\*\*\*."~~
- ~~d) If, the salary allocations included in the report are not commensurate with actual effort, the employee completing the effort report should indicate the appropriate percentages of effort or provide an explanation for the discrepancy in the "notes" section of the PAR. The employee completing the effort report should then select the "provisional complete and submit" option that states: "The above percentages of effort do not represent a reasonable distribution of the work performed by me during the period \*\*/\*\*/\*\*\*\* to \*\*/\*\*/\*\*\*\*. A payroll cost adjustment will be processed to correct this effort distribution."~~
  - ~~i) In cases in which actual effort differs from estimated effort by more than five (5) percent, the certifier shall notify the appropriate GA that a payroll cost transfer should be done to realign actual and apportioned effort. (See D-7(c), below, for information on parties responsible for certification of effort.)~~
  - ~~ii) A payroll cost transfer request must be submitted and processed within 45 working days of the provisional certification.~~
  - ~~iii) Upon final completion of the payroll adjustment in the payroll ledger by Payroll Services, the PAR that was provisionally approved will be reset by the Office of Sponsored Programs (OSP).~~
  - ~~iv) The employee will receive email notification that the PAR is ready for recertification. The PAR must be recertified within 30 days of receipt of this notice.~~
  - ~~v) In the event that an effort report does not include a project or activity for which the employee expended effort during the reporting period, the employee shall contact the GA for resolution.~~

~~D-7. Unusual Circumstances: The University has made certain provisions to account for unusual circumstances with effort certification.~~

- ~~a) If circumstances occur that are out of the University's control (e.g. weather conditions, power loss, etc.) dates for PAR certification may be adjusted accordingly. \_\_\_\_\_~~
- ~~b) Failure to certify PARs in a timely manner may result in suspension of activity on any or all sponsored projects involved and limit the ability of the noncompliant employee to apply for other sponsored project funding.~~

- ~~e) The University requires, in keeping with federal regulations, that an effort report be certified by the employee whose effort is being reported or by a responsible employee who has a suitable means of verification (direct and personal knowledge) of the effort expended. (See *OMB Circular A-21 J10c(2)(c)*).~~
- ~~i) PIs and Co-PIs should certify their own effort reports. PIs, providing they have direct knowledge, can certify the effort reports of the research staff working on their sponsored projects, but staff should complete their respective effort reports, if possible.~~
- ~~ii) Grant Administrators or other administrators are not presumed to have the requisite means of verification; they may certify effort reports only if they have written and signed confirmation of effort by an employee with direct knowledge of the activities of the employee for whom the report was generated and only when that employee is unavailable to perform the certification.~~
- ~~iii) If extraordinary conditions preclude a faculty member from certifying his or her effort, and no written and signed confirmation of effort can be obtained, the Vice President for Research and Economic Development, or his/her authorized designee, will determine the best means for verification of effort expended.~~

**E. Contact Information.** For information and help ~~on completing Personnel Activity Reports~~ please contact the Office of Sponsored Programs at 208-886-6651, or [osp@uidaho.edu](mailto:osp@uidaho.edu).

**45.09 -- Effort Reporting and Personnel Activity Reports (PARs)**

December 2018 (rewrite)

**A. General.** The University of Idaho (University) is required by federal regulations (2 CFR 200.430) and accounting standards to ensure that the allocation of compensation for all employees accurately reflects the work performed by these individuals in connection with sponsored projects. This document sets forth University policy for the commitment and verification of effort expended by university employees on sponsored projects.

**B. Definitions.**

**B-1. Cost Sharing:** The portion of the total project costs for a sponsored project that is borne by the University rather than the sponsor. See [APM 45.08](#) for definitions of types of cost share.

**B-2. Effort** (also referred to as "actual effort"): the time spent in pursuit of a particular activity and expressed as the percentage of one's University appointment devoted to one or more activities.

**B-3. Effort Reporting:** the process through which the University verifies and documents that the effort expended by an employee corresponds with the effort he or she has charged to or contributed to (as cost share) sponsored activity.

**B-4. Institutional Base Salary (IBS):** the annual compensation paid by the University to an employee, irrespective of the nature of the activities in which the employee is engaged while fulfilling the requisites of their appointment; e.g. research, instruction, service, and administration. IBS excludes any income that an individual may earn outside of the University. The IBS for each faculty member is enumerated in the faculty member's annual salary letter. Charges for work performed on sponsored projects are only allowable at the IBS rate. (See 2 CFR 200.430)

**B-5. Person Months:** the method typically used in sponsored project applications to express the amount of effort that the Principal Investigators (PIs), other faculty, or key employees devote to a specific project, expressed in terms of time rather than a percentage of one's appointment.

**C. Federal Requirements.** Failure to produce reasonably accurate estimates of effort, or to otherwise comply with federal cost requirements, *can result in financial penalties, expenditure disallowances, withholding of future sponsored project awards by an agency, and damage to the reputation of the University.* Providing inaccurate estimates of effort, whether knowingly or through carelessness or mismanagement, may be regarded as fraud and may subject the University and the certifying individual to civil proceedings and criminal prosecution.

**D. Policy.** Effort reporting begins at the proposal stage and is ultimately accomplished through review and verification of Effort Reports.

**D-1. Proposal stage.** When preparing proposals for sponsored projects, the primary responsibility for establishing a reasonable estimate of the effort necessary to carry out the project rests with the PI.

**a)** In determining the amount of effort that will be devoted to the proposed project, the PI must consider existing effort commitments to other sponsored projects, University duties associated with his or her appointment, and the ability of other key project personnel who are to

be involved in the project to make contributions of effort necessary for its success.

**b)** In addition to ensuring that proposed effort commitment conforms to University expectations and policy, the PI must also make certain that it is consistent with the parameters established by the sponsor.

*Faculty Staff Handbook* [3120, Faculty Obligations during Period of Appointment](#); 3140, Performance Expectations for Faculty; 3260, Professional Consulting and Additional Workload; 5600, Financial Disclosure Policy; 5650, Financial Conflicts of Interest in Public Health Service Research; and 6240 Conflicts of Interest and Commitment provide additional information in regards to calculating the appropriate amount of effort to propose on sponsored programs.

**c)** While federal agencies may require that proposed effort be expressed in terms of person months, the University requires that employees verify actual effort expended in terms of percentages of effort. The Office of Sponsored Programs (OSP) will assist with the translation of effort between these two methods.

**d)** Calculating effort using a percentage basis fosters employee compliance with effort reporting requirements by encouraging an individual to estimate his or her effort on a given activity as a percentage of his or her total University activities rather than as a fraction of a fixed time-period (such as the forty-hour week). This process acknowledges that some fluctuation in effort levels is inherent in the conduct of academic activities.

**D-2. Award Stage.** Once a sponsor makes an award, the provisional effort commitments included in the proposal become mandatory, and the oversight and reporting of effort for faculty and staff associated with the award becomes required.

**a)** Because effort reporting is based on payroll records, it is crucial that Electronic Personnel Action Forms (EPAFs) are accurately and expeditiously completed and entered into the payroll distribution system. Salary allocations associated with a new award must be reviewed and approved by the PI (s) for the project prior to the entry of this information into EPAFs. Awards that are ending also need to be monitored to ensure EPAFs are completed to remove employees from these projects in a timely manner.

**b)** Consistent with committed effort, distributions of salary on sponsored project or cost sharing accounts should coincide with the commencement of actual effort by the employee on the sponsored project.

**D-3. Effort Reporting.**

**a)** Drawing on data from the university payroll distribution system, the Effort Report allows an individual to review payroll salary allocations, represented as percentages of total effort, and to indicate whether the allocations reasonably correspond to his or her actual percentage of effort expended on each project or activity.

**b)** Semi-annually an Effort Report will be electronically generated for and made available online to each employee whose compensation was partially or totally charged to or committed as cost sharing to a sponsored project.

**c)** Reported effort must be as accurate as possible. Up to five percent variance above or below the estimated effort for any given project is permitted without requiring modification of salary allocations.

**d)** In cases in which actual effort differs from estimated effort by more than five (5) percent or a project or activity is missing from the Effort Report, the employee shall notify the appropriate Department Grant Administrator that a change may be necessary to realign salary and effort.

**e)** Effort Reports must be completed within thirty (30) working days of the date they are released to the employee.

**1)** If circumstances occur that are outside the university's control (e.g. weather conditions, power loss, etc.) the date for the Effort Report completion may be adjusted accordingly.

**2)** Effort Reports must be completed by the individual whose effort is being reported or by a person who has a suitable means of verification (direct and personal knowledge) of the effort expended.

**i)** PIs and Co-PIs should certify their own effort reports. PI's, providing they have direct knowledge, can certify the Effort Reports of the employees working on their sponsored projects, but employees should complete their respective effort reports, if possible.

**ii)** Department Grant Administrators, or other administrators, are not presumed to have the requisite means of verification; they may complete effort reports only if they have a written and signed confirmation of effort by an individual with direct knowledge of the activities of the person for whom the report was generated and only when that individual is unavailable to complete the Effort Report.

**iii)** If extraordinary conditions preclude a faculty member from completing their Effort Report, and no written and signed confirmation of effort can be obtained, the faculty member's unit administrator or college dean will determine the best means for verification of effort expended.

**3)** Failure to certify Effort Reports in a timely manner may result in suspension of activity on any or all sponsored projects involved and limit the ability of the noncompliant individual to apply for other sponsored project funding.

**E. Contact Information.** For information and help please contact the Office of Sponsored Programs at 208-886-6651, or [osp@uidaho.edu](mailto:osp@uidaho.edu).



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

**Administrative Procedures Manual [APM]**  Addition  X Revision\*  Deletion\*

Emergency

Minor Amendment

**Chapter & Title:** APM 45.10

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

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

**Originator(s):**

**7-18**

(Please see FSH 1460 C)

**Telephone & Email:**

Kris Freitag 12-

Name Date

**208-885-8994**  
**kfreitag@uidaho.edu**

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

**Telephone & Email:**

Deborah N Shaver

Name Date

**208 885 6651 osp@uidaho.edu**

**Reviewed by General Counsel**  Yes  No Name & Date: Casey Inge, 05/2017

**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.

**Update to clarify policy and remove outdated information.**

**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.

If not a minor amendment forward to:

Policy Coordinator Appr. & Date: <hr/> [Office Use Only]
----------------------------------------------------------------

<b>FSH</b> Appr. _____ FC _____ GFM _____ Pres./Prov. _____ [Office Use Only]
----------------------------------------------------------------------------------------------

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

<b>APM</b> F&A Appr.: _____ [Office Use Only]
-----------------------------------------------------

**45.10 -- Facilities and Administrative (Indirect) Rate**~~January-December 20185, 2012~~

**A. General.** Facilities and administrative (F&A) costs are those costs incurred for common or joint objectives and which therefore cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity (~~OMB Circular A-21, §B42 CFR 200 Appendix III.A.~~). These costs are real costs borne by the University in support of sponsored projects, and which the University is entitled to collect from sponsors. Due to the difficulty of assigning F&A costs directly, approximately every three (3) years the University negotiates an F&A (also known as "indirect cost" or "overhead") rate with the University's cognizant federal agency, the Department of Health and Human Services (DHHS). [ed. 12-18]

**B. Definitions.**

**B-1. Project Types.** A project shall be categorized based on a determination of the "best fit" within the project types defined below. The Office of Sponsored Programs (OSP) shall be responsible for the final determination, if the project is difficult to classify.

**a) Instruction.** The instruction category includes all teaching and training activities that are part of an institution's instructional program. Instruction includes the following activities: 1) credit and noncredit courses, 2) community education programs, 3) academic, vocational, and technical instruction, 4) remedial and tutorial instruction, and 5) regular, special, and extension sessions. ~~Internally funded research that is neither proposal driven nor competitive, and not separately budgeted and accounted for is called departmental research. Departmental research does not meet the definition of organized research and, per OMB Circular A-21, should be included in the Instruction cost pool (see D-1).~~ [rev. 12-18]

**b) Organized Research.** The organized research category includes the research, development and research training activities of an institution. Research is defined ~~in OMB Circular A-110~~ as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. Development is defined as the systematic use of knowledge and understanding gained from research, directed toward the production of useful materials, devices, systems or methods including design and development of prototypes and processes. Training individuals in research techniques is classified as research when the activity utilizes the same facilities as other research activities and such activities are not included in the instruction function. Organized research includes all research and development activities that are externally sponsored by federal and non-federal agencies and organizations, as well as internally-funded University research that is project-based, proposal-driven, competitive, and separately budgeted and accounted for.

**c) Public Service/Outreach.** The public service category involves activities that primarily supplies a benefit to the public or a specific segment of the public that is external to the institution. These activities include non-instructional community service programs, broadcasting services and cooperative extension services. Included in this category are conferences, institutes, general advisory services, reference bureaus, testing services, radio and television, consulting, and similar non-instructional services to particular sectors of the community. [ed. 12-18]

**B-2. Project Location.** Location is determined by evaluating where the majority of the work will be performed.

**a) On-Campus Projects.** Projects where the work is being performed in University owned or operated facilities, or in a space leased by the University. [\[ed. 12-18\]](#)

**b) Off-Campus Projects** A project may be designated as "off-campus" if *more than 2/3* of the work occurs at locations other than University owned or operated facilities and the indirect costs associated with physical plant and library are not considered applicable. An off-campus rate may also be used if a project is conducted in leased space *and* the lease costs are directly charged to the project. (Leased space is normally considered to be "on-campus"). Projects will not be subject to more than one indirect cost rate. If determined to be off-campus, the off-campus rate will apply to the entire project.

**c) Agricultural and Forestry Research Stations (Experiment Stations).** These activities are organized research activities occurring primarily (two-thirds or more of activity effort) at the following locations:

Aberdeen R&E Center  
Caine Veterinary Teaching Center  
Flat Creek Experimental Forest  
Hagerman Fish Culture Experiment Station  
Kimberly R&E Teaching Center  
Lee A. Sharp Range Experimental Area  
McCall Field Campus  
Nancy M. Cummings R&E Center (Salmon)  
PREEC – 6<sup>th</sup> Street Greenhouses  
PREEC – Manis Lab – Plant Sciences  
PREEC – Plant Science Farm – aka Parker Farm  
PREEC – North Farm  
PREEC – West Farm  
PREEC – Kambitsch Farm – Genesee  
Sandpoint R&E Center  
Southwest Idaho R&E Center (Caldwell or Parma)  
Taylor Ranch Field Station  
Tetonia R&E Center (Newdale)  
Twin Falls R&E Center  
U.S. Sheep Experiment Station (DuBois)

**B-3. Administrative.** That portion of the F&A rate associated with central, unit, and research administration. This portion of the F&A rate is applicable to all sponsored projects, whether on- or off-campus (see definitions in B-2).

**B-4. Facilities.** That portion of the F&A rate associated only with on-campus activity (see B-2.a), such as depreciation, utilities, etc.

**C. Policy.** It is the policy of the University that, absent specific written sponsor limitations, all sponsored projects must budget and include the appropriate F&A expense based on both the type of project (research, instruction, or public service/outreach) and location where the majority of the work is being done (on- or off-campus). Waivers of F&A may only be granted by the Vice President for Research and Economic Development. Because F&A waivers essentially shift the cost burden to the rest of the University, they are granted infrequently. [\[ed. 12-18\]](#)

#### **D. Process/Procedures.**

**D-1. F&A Cost Study.** The process for establishing F&A rates begins with the F&A Cost Study. This process involves analyzing all University expenditures for the purpose of assigning expenditures to either *direct* or *indirect* cost pools.

- a) **Indirect** cost pool allocations end up as the numerators of each type of negotiated F&A rate, and include both facilities and administrative costs.

Facilities costs (see B-4) include: [\[rev. 12-18\]](#)

- Building depreciation
- [Equipment depreciation](#)
- [Capital improvements to buildings and land](#)
- [Operations and maintenance of plant](#)
- [Non-capitalized interest on capital expenditures campus improvements and upkeep](#)
- [Library use charges costs](#)

Administrative costs (see B-3) include:

- Unit administration
- Research administration
- Computer use charges
- General university administration
- Staff and spouse educational benefits

- b) **Direct** cost pool allocations include all costs that can be identified specifically to a given project or activity, and end up as the denominators (direct bases) for the F&A rate calculation. Examples of costs that are often considered to be direct are salaries and wages, benefits, travel, materials and supplies, etc. By their nature, these costs can be easily and directly assigned to particular projects or activities with a high degree of accuracy. These costs are generally allocated on the basis of Modified Total Direct Costs (MTDC) and by type of project (see B-1 above). MTDC is the total of all direct costs less the following exclusions: equipment over \$5,000, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, [participant support](#), scholarships, and fellowships as well as that portion of each sub-grant and subcontract issued in excess of \$25,000. [\[rev. 12-18\]](#)

(The UI calculates on- and off-campus rates for each of the project types defined in B-1 above).

**D-2. F&A Space Survey.** In addition to the Cost Study, the University must also complete a Space Survey, which provides the basis for a more accurate allocation of indirect costs to project types. Cost-benefit considerations do not allow for a survey of all of the buildings in the University system. The survey is focused on units that are likely to have the highest amount of space and overhead devoted to research activities. The survey requires unit coordinators to carry out a number of tasks, the goal of which is to determine functional (project type) use percentages for all rooms being surveyed. The tasks include, but are not limited to, the following:

- Discovering or confirming room occupants;
- Verifying space measurements;
- Walking through unit space in order to interview principal investigators and other room occupants;
- Entering data related to room occupants, functional use percentages and research accounts for rooms having a research component into Facilities Asset Maintenance Information System (FAMIS).

After an F&A Study is completed, the calculated rates and supporting documentation are submitted to DHHS for review and negotiation. The University negotiates "predetermined" F&A cost rates. These rates are final and not subject to upward or downward adjustment for actual costing experience during the multi-year period for which the rates are in effect. By negotiating a stable F&A cost rate in a multi-year agreement the University

avoids the disruptions and costs associated with continual audits and annual negotiations. Rates are typically negotiated for three year periods, but that does not mean that a given project type will have the same rate for all three years.

**E. Contact Information.** For additional information or answers to specific questions please contact the Office of Sponsored Programs at 208-885-6651 or [osp@uidaho.edu](mailto:osp@uidaho.edu).

**F. References.** *[ed. 12-18]*

- APM 45.02, Sponsored Projects Proposal Preparation and Authorization
- Quick reference for rates  
<https://www.uidaho.edu/research/faculty/resources/f-and-a-rates><http://www.uidaho.edu/osp/faratetable>
- A [link to download a](#) copy of the most current Indirect Rate Agreement is ~~under~~also found at the above link, ~~the "Info for Sponsors" section of the OSP website.~~



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

**Administrative Procedures Manual [APM]**  Addition  Revision\*  Deletion\*

Emergency

Minor Amendment

**Chapter & Title:** APM 45.12

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

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

**Originator(s):**

Heather Nelson 12/10/2018

(Please see FSH 1460 C)

Name Date

**Telephone & Email:**

208-885-6680 hnelson@uidaho.edu

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

Deborah N Shaver

Name Date

**Telephone & Email:**

208 885 6651 osp@uidaho.edu

**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.  
Update to clarify policy, incorporate APM 45.11 and remove outdated information.

**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.

If not a minor amendment forward to:

Policy Coordinator  
 Appr. & Date:  
 \_\_\_\_\_  
 [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)

*APM*

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

## **45.11 -- Notices of Grant Awards Ending**

Last updated August 19, 2005

**A. General.** Termination activities for grants and contracts is a vital element in the total administrative process. Every effort must be made to ensure all commitments are met and that the expenditures against grants and contracts do not exceed total authorizations. The Grants and Contracts Office will closely monitor the final months of grant activity and provide departments with final three-month notices of awards ending. These reminders are identified as grants and contracts terminating within the next 90 days. Each document provides requirements and reminders to the department and PIs for proper final grant and contract closeouts. It is imperative that these instructions be followed in a timely manner. Failure to comply could result in the final financial invoice or report being submitted based on incorrect Banner balances and/or any pending expenses disallowed.

**B. Information.** Any questions regarding termination procedures for grants and contracts should be addressed to the Grants and Contracts Office, (208) 885-6689.

## 45.12 – Sponsored Project Closeout and Recordkeeping Responsibilities

~~Last updated~~ ~~Updated March 31, 2014~~ ~~December 2018~~

**A. General.** To ensure proper award termination procedures, the Office of Sponsored Programs (OSP), the ~~department unit~~, and the principal investigator (PI) have each been designated specific responsibilities. Typical ~~regulatory or contractual~~ requirements ~~for sponsored research projects are for~~ include final ~~technical reports, billings invoices~~, financial reports, ~~technical reports~~, patent reports, and property reports, ~~which are usually~~ to be submitted within 30-90 days of the project end date. ~~As such~~ ~~Because of such requirements~~, it is important that closeout activities are finalized in a timely manner. [\[ed. 12-18\]](#)

**AB. Policy.** ~~It is the policy of the University to prepare and submit all required closeout documents within the time period specified by the terms and conditions of the award document. Beginning approximately three (3) months prior to the award termination OSP will provide department units and PIs notifications beginning approximately three (3) months prior to the award termination. Each notification will provide that serve as reminders of required actions and responsibilities for timely award closeout. Non-compliance with University required actions may result in disallowed expenses being disallowed. Additionally, failure to produce or provide required reports in the manner and according to the timeline prescribed by the sponsor may call into question the ability of the PI to manage the project. [rev. 12-18]~~

**BC. Process/Procedures.** Departmental grant administrators (DGAs) and PIs should ~~work together to~~ review and verify ~~to OSP via email:~~ that all accrued expenses have posted to Banner; ~~that no expenses incurred after the end date have posted to the award;~~ and that all expenses are applicable to the project. ~~Failure to respond to requests for confirmation of expense review will result in the submission by OSP to the sponsor of a final invoice based on what has posted to the Banner accounting system, net of any disallowed expenses. A detailed~~ A list of expenditures ~~that have posted to the project~~ can be viewed via ~~the~~ Banner report FWRITEM. ~~If there are differences and/or any revised circumstances, the Department or PI should proceed as follows:~~ [\[rev. 12-18\]](#)

**~~CB-1. B-1. Expense Changes and/or Revised Circumstances.~~** If there are extensions of time ~~required in order to complete the project~~ or increased funding pending, the ~~department unit should~~ ~~shall~~ notify OSP immediately. [\[rev. 12-18\]](#)

**~~CB-2. Expense Changes.~~** Information on additional ~~expenses that have not yet posted to Banner~~ ~~unposted~~ ~~that and~~ need to be included on the final invoice, ~~should~~ ~~must~~ be submitted to the OSP Financial Unit by the due date specified in the "notice to final ~~invoice~~" ~~bill~~ emailed at award termination. [\[rev. 12-18\]](#)

**~~B-2. CB-3. No Changes Required.~~** If there are no corrections, the final invoice and financial ~~r~~report ~~(if required)~~ will be prepared from the information available in Banner. The ~~D~~GGA must verify the accuracy of the Banner numbers to the OSP Financial Unit by the due date specified in the "notice to final ~~invoice~~" ~~bill~~ ~~that is~~ emailed at award termination. If there is no response, the invoice and report will be submitted to the granting agency based on the allowable expenses posted into Banner. [\[ed. 12-18\]](#)

**~~CB-4. Limited Revised Final Billings-Invoices and/or Reports.~~** ~~If revisions are needed after the final invoice has been submitted to the sponsor, OSP will evaluate whether to resubmit the final invoice and/or financial report~~

~~on a case-by-case basis. A revised final invoice and/or financial report will not be done without written explanation from the PI, approved by the department chair or director, and the Director of OSP. [rev. 12-18]~~

**B-4.CB-5. Closeout Letter and Statement of PI Responsibility.** When an award has terminated and all financial reporting has been completed, a "Closeout Letter and Statement of PI Responsibility" is forwarded to the PI and the DGA. This letter outlines the final financial numbers submitted and indicates any items pending completion. For audit purposes, documents relating to the award must be kept for three (3) years, or longer if specified by the award terms. The audit files maintained ~~in~~by OSP consist at a minimum of the following items: [\[ed. 12-18\]](#)

- ~~Original P~~Original Pproposal(s) and any additional proposals
- Award notices and any amendments
- Invoices and financial reports
- Cost sharing records
- ~~Personnel Activity Reports~~Compensation confirmation (personnel activity reports or other mechanism) and payroll cost transfer records
- ~~Inventory Property/equipment~~ reports and patent reports
- Subcontract and service agreement documentation

In addition, the ~~department unit~~ is required to maintain the following audit information:

- Technical reports (progress and final)
- Supporting documentation for cost transfers, inventory, and all expenditures
- Miscellaneous correspondence regarding the project(s)

**~~E-D. Contact Information.~~** Any questions regarding closeout procedures for ~~grants and contracts~~sponsored projects should be addressed to the Office of Sponsored Programs at 208-885-6651 or osp@uidaho.edu. [ed. 12-18]



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

**Administrative Procedures Manual [APM]**  Addition  Revision\*  Deletion\*   
 Emergency  
 Minor Amendment   
**Chapter & Title:** APM 45.13

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

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

**Originator(s):** Heather Nelson 12/22/2014  
 (Please see FSH 1460 C) Name Date  
**Telephone & Email:** 208-885-6680 hnelson@uidaho.edu

**Policy Sponsor:** (If different than originator.) Deborah N Shaver  
 Name Date  
**Telephone & Email:** 208 885 6651 osp@uidaho.edu

**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.  
Update to clarify policy and remove outdated information.

**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.

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)

## 45.13 -- Program Income on Sponsored Projects

~~December 2018~~~~January 5, 2012~~

**A. General.** This section explains program income and the proper use, accounting, and reporting of program income at the University of Idaho (University). Sponsors provide funding to cover the costs of conducting research, training, and public service related activities. The federal government encourages grantees to supplement federal project funding or defray program costs by earning program income (see B-1). Program income from federally-sponsored awards must be managed in accordance with ~~the Office of Management and Budget (OMB) Circular A-110, (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations) and the applicable the Code of Federal Regulations (245 CFR, §Part 74200), or such subsequent guidance as may become effective, which which together set~~ out the processes to be used in the identification, use, recording, reporting, and monitoring of program income generated by sponsored projects. [rev. 1-12, 12-18]

### B. Definitions, Examples, Exclusions, Accounting Methods. [ren. 1-12]

**B-1. Program Income.** Program income is revenue resulting from sponsored project activities that is earned from a third party during the active phase of a sponsored project. The federal definition of program income (~~according to OMB Circular A-110 and incorporated in 45 CFR, Part 74 [OMB A-110, Section A.2(x) and 2 CFR §200.800-45 CFR 74.2 (2008)]~~) is:

~~"...Gross income earned by a non-federal entity the University that is directly generated by a supported activity or earned as a result of the federal award during the period of performancesponsored activity or earned as a result of an award."~~

Note that unless federal awarding agency regulations or the terms and conditions of the award provide otherwise, recipients shall have no obligation to the federal government regarding program income earned after the end of the project period ~~[OMB A-110, Section C24(e), 2 CFR §200.307)(f)]~~. [ed. 12-18]

#### a) Examples of program income include:

- Fees for services performed, such as laboratory tests,
- Money from the use, sale, or rental of equipment purchased with project funds,
- Sale of supplies or items fabricated with project funds, [ed. 1-12]
- Sale of software, tapes or publications,
- Sale of research materials, such as animals, models or reagents,
- Fees from participants at conferences or symposia, [ed. 9-09]
- Royalties from patents and copyrights (Although this federal definition includes royalties and copyrights as program income, unless otherwise restricted by the terms and conditions of the award, the University has no obligation to the federal government with respect to income derived from license fees and royalties.) ~~(2 [OMB A-110, Section 24(h), 2CFR §200.307)(g)]~~. [ed. 12-18]

#### b) Exclusions from program income are the following:

- Patient care credits,
- Interest earned on advances of federal funds,
- Receipt of principal on loans, credits, discounts, etc. or interest earned on them,
- Taxes, special assessments, levies and fines raised by government recipients.
- Proceeds from the sale of real property, equipment or supplies (other guidance applies) [add. 12-18]

**B-2. Methods for Use of Program Income.** Federal funding agencies may elect to use one of ~~four~~three methods to handle program income: additive; cost share/match; ~~and deductive; and additive/deductive.~~ ~~(2 [OMB A-110, §24(b-d)] 2CFR §200.307)(e)~~. In the event that the ~~F~~ederal awarding agency does not specify in its regulations or the terms and conditions of the award how program income is to be used, the ~~deductive~~additive method shall apply automatically to all projects ~~or programs except research. For awards that support research, the additive method shall apply automatically unless the awarding agency indicates in the terms and conditions another alternative on the award or the recipient is subject to special award conditions, as indicated in OMB Circular A-110, §14.~~ The following examples define and illustrate the four methods for handling program income: [rev. 9-09, 12-18]

**Example:** A sponsor awards \$100,000 for a project. The project generates an income of \$30,000.

- **Additive.** Program income is added to the funds committed to the project by the federal awarding agency and recipient and used to further eligible project or program objectives.

***Example:** The total project cost could be \$130,000.  
[rev. 1-12]*

- **Cost Share/Match.** Program income is used to finance the non-federal share of the project or program.

***Example:** If the University was required to match project funds in the amount of \$50,000, the University would now only have to provide an additional \$20,000, using the \$30,000 in program income as part of the match. The sponsor would still pay \$100,000.*

- **Deductive.** Program income is deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of cost is based.

***Example:** The sponsor will now only fund \$70,000 of the total project costs. The sponsor will deduct the \$30,000 in program income from the \$100,000 original award.*

- ~~**Additive/Deductive.** When an agency authorizes the disposition of program income as either additive or match, program income in excess of any limits stipulated shall be used in accordance with the deductive method.~~

~~***Example:** If the sponsor limit is \$25,000, then \$25,000 can be added to the total project cost and \$5,000 will be deducted from*~~

~~the total award to reduce the award to \$95,000. The total amount available is \$125,000.~~

In each of the above-listed examples the additional funds ~~should~~ **must** be kept in a separate sponsored project ~~("K")~~ program income ~~budget (XXX99P)~~ **restricted fund** and will ~~need to be~~ reported to the sponsor **as required**. [add. 1-12]

**C. Roles and Responsibilities.** The Principal Investigator (PI), unit, and the Office of Sponsored Programs (OSP) each have specific responsibilities with regard to program income as follows: [ren. 1-12]

**C-1. Principal Investigators (PIs)/Units.** [ren. & ed. 1-12]

- Understand and abide by the University's program income policies and procedures. [ed. 1-12]
- Identify program income at the proposal stage or notify OSP if unanticipated program income is identified during the project. [rev. 1-12]
- Follow the ~~main~~ grant award terms and conditions and charge only allowable expenses to the program income ~~budget~~ **fund**. [ed. 9-09, 1-12, 12-18]
- Follow guidelines for disposition of program income.
- Submit close-out information for program income with the close-out information for the main grant. [ed. 1-12]

**C-2. Office of Sponsored Programs (OSP).** [ren. 1-12]

- Help the PI determine whether program income will be generated under a specific sponsored project. [rev. 9-09, ed. 1-12]
- Identify and/or negotiate terms with the agency with respect to method of use regarding program income. [ed. 9-09]
- Establish the program income ~~budget~~ **fund** at award or upon request. [rev. 9-09, ed. 1-12, 12-18]
- Ensure that all agency and award guidelines ~~for the main grant budget~~ **are also** applied to the program income budget. [rev. 9-09, ed. 1-12, 12-18]
- Determine the program income reporting requirements and report program income to the sponsor.
- Confirm program income amounts with the unit. [ed. 1-12]
- Assist unit in transferring program income balances, if appropriate. [ed. 1-12]

**D. Process/Procedures for Identifying, Recording, Accounting for, Reporting and Monitoring Program Income:** While the University's procedure is based upon the federal definition and treatment of program income, all sponsored funding is subject to the following procedures: [ren. 1-12]

**D-1. Identifying Program Income. It is the responsibility of the Principal Investigator (PI) to identify sources of actual or potential program income at the proposal stage.** For all proposals that include program income, the PI must: [ren. 1-12]

- Check "YES" to the program income question **at proposal submission on the Review Boards Tab in the Electronic Internal Proposal Routing System (EIPRS) found on the OSP website** and briefly indicate how the income will be generated. [rev. 1-12, 12-18]

- Include how program income will be generated and used in the budget narrative to the sponsor, along with an estimated amount. [rev. 9-09, 1-12]

#### D-2. Recording Program Income. [ren. 1-12]

- If ~~program income question was checked "YES" at proposal submission was checked in EIPRS in answer to the program income query;~~ OSP shall set up a separate program income ~~budget funding in "P"~~ budgetfund at the time the main funding is set up. [rev. 9-09, 1-12, 12-18]
- If program income ~~was~~ not anticipated at the proposal stage of a project and the PI subsequently determines that he or she will begin to earn program income during an active project, it is the responsibility of the PI to identify the program income, notify OSP, request review of the sponsor guidelines, and initiate a request for set up of a program income ~~budgetfund~~ budgetfund. [rev. 9-09, 1-12, ed. 12-18]

#### D-3. Accounting for Program Income. -[ren. 1-12]

- The unit/college is responsible for invoicing and/or receiving the program income. All program income funds received must be forwarded to OSP along with a GRT form and a budget breakdown. Upon receipt of these items, OSP will deposit the funds and an appropriate budget entry will be completed to reflect the income received. [rev. 1-12]
- As expenses related to the project are incurred, the unit should, as much as is feasible, charge the expenses against the program income budget before charging expenses against the ~~main~~ grant fund (2 CFR 200.305(b)(5)). ~~(OMB Circular A-110 §C22g)~~. NOTE: **Expenses that are unallowable (see APM 45.06) on the main grant budget are not allowable on the program income budget.** -[rev. 9-09, 1-12, ed. 12-18]
- Requirements for the retention of program income records are identical to those for the retention of records of sponsored program activities (APM 45.12-B-5): Source documentation must be retained by the unit for a period of three (3) years following final payment by the award sponsor, unless award indicates a longer retention period or there is an audit/litigation still in progress. [ed. 1-12]

#### D-4. Monitoring and Reporting Program Income. (Reporting requirements are determined by sponsor terms or agency specific regulations.) [ren. 1-12]

- OSP, with assistance from the unit, will ensure that all program income is identified and recorded properly in the correct ~~budgetfund~~ budgetfund. [rev. 9-09, ed. 1-12, 12-18]
- OSP will verify that only allowable costs are charged to the program income ~~budgetfund~~ budgetfund. [rev. 9-09, ed. 1-12, 12-18]
- The OSP Financial Unit is responsible for reporting program income as required to the sponsor on any financial reports. [rev. 9-09, 12-18]
- Reporting and disposition of any residual program income funds will be in accordance with the requirements of the individual sponsor, but in general, excess funds will reduce the amount of the sponsor obligation unless otherwise negotiated. [rev. 9-09]

**E. Contact Information.** For questions or additional information about program income please contact the Office of Sponsored Programs at 208-885-6651 or [osp@uidaho.edu](mailto:osp@uidaho.edu). *[add. 1-12]*



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

Emergency

Minor Amendment

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

**Administrative Procedures Manual [APM]**  Addition  Revision\*  Deletion\*

Emergency

Minor Amendment

**Chapter & Title:** APM 45.14

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

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

**Originator(s):**

(Please see FSH 1460 C)

**Telephone & Email:**

**smartonick@uidaho.edu**

Sarah Martonick

Name

5/15/2017

Date

208-885-2145

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

**Telephone & Email:**

Deborah N Shaver

Name

Date

208 885 6651 osp@uidaho.edu

**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.  
Update to clarify prior approval policy and remove outdated information.

- 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.

OSP website contains guidance on prior approvals procedures, but this is the only posted policy other than the sponsor's individual policies.

- 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.

## 45.14 -- Sponsored Projects Changes Requiring Prior Approval from Sponsor

~~December 2018~~ January 17, 2012 (rewrite)

**A. General Overview.** Changes to a sponsored project (~~“K” account~~) that require prior approval from the sponsor are to be coordinated through the unit, college/unit/college, and the Office of Sponsored Programs (OSP) and approved by OSP. Such changes can include, but are not limited to:

- a) A change to the period of performance;
- b) ~~a~~ **A** change in the status of the Principal Investigator (PI), co-PIs or other key personnel working on the project (including changes to level of effort greater than 25% or as required by the sponsor, PI/Co-PIs leaving departure from the University, and project transfer or relinquishment requests, etc.);
- c) ~~C~~ changes to line-item budgets not falling within the authority prescribed by a sponsor (also known as “rebudgeting” greater than as allowed by the award terms). Note that rebudgeting more than 25% of the award funding requires a justification from the PI to confirm the scope of work is not changing (whether or not sponsor approval is required).; ~~(rebudgeting)~~;
- d) Rebudgeting of participant support costs;
- e) ~~A~~ **A** change to the approved scope of work, or project methodology, or objectives, or deliverables;
- f) ~~rebudgeting~~ a change in the statement/scope of work that is greater than as allowed by the award terms (note that rebudgeting greater than 25% of the award will automatically be reviewed by OSP to verify whether there has been a change in scope) considered significant (i.e. greater than 25% rebudget request or sponsor defined in the terms of the award); Subawards and foreign travel and subawards (for certain sponsors, prior approval is required even if proposed);
- g) **an increase in amount of funding; and**  
Any other changes requiring prior sponsor approval, as determined by the terms and conditions of the specific award and/or by the applicable regulations of the sponsoring agency award (e.g. some equipment purchases, sub-awards not initially proposed, travel not proposed, carry-forward of funding, cost sharing, and pre-award costs), ~~greater than 90 days (and 90 days or less for some sponsors))~~ **as determined by the terms of the award.**

Whether prior approvals are required is defined by your specific award terms and conditions and, by the general terms

and conditions ~~en~~ applicable regulations of the sponsoring entity. ~~for certain sponsors t.~~ There is also a A prior approvals matrix that defines the specific requirements for tselecthose sponsors of research terms addressing the requirements of many federal sponsors. -is available on the OSP website and is regularly updated by the National Science Foundation on their grants terms and conditions (policy) website. Contacting the OSP Post Award and/or Cost Accounting Unit for a determination on the need for prior approvals is recommendedbest practice.

## **B. Policy.**

Principal Investigators are responsible for review of the award document(s) and for contacting OSP, if there are questions regarding specific deadlines.

To allow time for processing by OSP, R a requests for an extensions of time must be submitted a minimum of five (5) working days prior to the sponsor prior to the sponsor submission requirements deadlines. Sponsor submission deadlines are -(typically 10-30 -days for first-time extension requests and 45 days for any subsequent extension requests. ; review your award document or contact OSP for guidance) to allow for processing by OSP.

Requests for sponsor approvalchanges of any other changes must should be received by OSP and approved by the authorized official of the sponsor-UI 30 days in advance of the requested effective date of the change. Note that some sponsors require more than 30 days advance notice.

RLate rRequests that are received after the fact require approval by the Vice President for Research and Economic Development or his/her designee will made outside of the sponsor submission deadline may be declined by OSP or be rejected by the sponsor. be denied with few exceptionsnot be approved by the University.;

The Vice President for Research and Economic Development or his/her designee may Note that asBecause OSP is responsible for the monitoring of all regulations and obligations associated with sponsored program funding, OSP (as the VPRED designee) serves as the final University approval for any and all proposed changes. grant an exception to this policy under rare and unusual circumstances.

Additionally, requests for extensions of time must be submitted a minimum of one week prior to sponsor guidelines (typically 10 days for first-time extension requests and 45 days for any subsequent requests; review your award document or contact OSP for guidance) to allow for processing by OSP.

**C. Procedures.** OSP shall review all proposed changes and provide guidance to the PI, unit, and college, on how approval should be requested for the proposed change. Note that as OSP is responsible

~~for the monitoring of all regulations and obligations associated with sponsored program funding, OSP serves as the final University approval for any and all proposed changes.~~

~~The Official notification request to the sponsor is generally completed via a letter, an electronic system, or an email. The notification request should detail the requested change, and including a justification for why the change is needed. These request letter shall be written by the PI and countersigned by OSP. Sample letters are available on the OSP website. While the PI is encouraged to discuss potential changes with their technical contact at the agency, official changes to the project requests must be submitted through OSP to the administrative contact of the sponsor to ensure that any required contractual amendments are appropriately signed. Note that the sponsor administrative contact is generally the only individual with authority to approve administrative or contractual changes for the sponsor.~~

**CD. Procedural and Contact Information.** See the OSP website for sample letters and procedural guidance. For questions or additional information, please contact the Office of Sponsored Programs at 208-885-6651 or esp@uidaho.edu postaward@uidaho.edu.

## 45.14 -- Sponsored Projects Changes Requiring Prior Approval

### from Sponsor

December 2018 (rewrite)

**A. Overview.** Changes to a sponsored project that require prior approval from the sponsor are to be coordinated through the unit/college, and the Office of Sponsored Programs (OSP) and approved by OSP. Such changes can include, but are not limited to:

- a) A change to the period of performance;
- b) A change in the status of the Principal Investigator (PI), co-PIs or other key personnel working on the project (including changes to level of effort greater than 25% or as required by the sponsor, PI/Co-PIs departure from the University, project transfer or relinquishment requests, *etc.*);
- c) Changes to line-item budgets not falling within the authority prescribed by a sponsor (also known as “rebudgeting” greater than as allowed by the award terms). Note that rebudgeting more than 25% of the award funding requires a justification from the PI to confirm the scope of work is not changing (whether or not sponsor approval is required);
- d) Rebudgeting of participant support costs;
- e) A change to the approved scope of work, project methodology, objectives, or deliverables;
- f) Subawards and foreign travel (for certain sponsors, prior approval is required even if proposed);
- g) Any other changes requiring prior sponsor approval, as determined by the terms and conditions of the specific award and/or by the applicable regulations of the sponsoring agency (*e.g.* some equipment purchases, subawards not initially proposed, travel not proposed, carry-forward of funding, cost sharing, and pre-award costs).

Whether prior approvals are required is determined by specific award terms and conditions and by the general terms and conditions or applicable regulations of the sponsoring entity. A prior approvals matrix that defines the specific requirements for select sponsors is available on the [OSP website](#) and is regularly updated by the National Science Foundation on their grants terms and conditions (policy) website. Contacting the OSP Post Award and/or Cost Accounting Unit for a determination on the need for prior approvals is best practice.

**B. Policy.** Principal Investigators are responsible for review of the award document(s) and for contacting OSP, if there are questions regarding specific deadlines.

To allow time for processing by OSP, a request for an extension of time must be submitted a minimum of five (5) working days *prior to the sponsor submission deadline*. Sponsor submission deadlines are typically 10-30 days for first-time extension requests and 45 days for any subsequent extension requests.

Requests for sponsor approval of any other changes should be received by OSP and approved by the authorized official of the UI 30 days *in advance* of the requested effective date of the change. Note that some sponsors require more than 30 days advance notice.

Requests made outside of the sponsor submission deadline may be declined by OSP or be rejected by the sponsor.

*Because OSP is responsible for the monitoring of all regulations and obligations associated with sponsored program funding, OSP (as the VPRED designee) serves as the final University approval for all proposed changes.*

**C. Procedural and Contact Information.** See the [OSP website](#) for sample letters and procedural guidance. For questions or additional information, please contact the Office of Sponsored Programs at 208-885-6651 or [postaward@uidaho.edu](mailto:postaward@uidaho.edu).



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

**Administrative Procedures Manual [APM]**  Addition  Revision\*  Deletion\*

Emergency

Minor Amendment

**Chapter & Title:** APM 45.22

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

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

**Originator(s):**

(Please see FSH 1460 C)

**Telephone & Email:**

Heather Nelson 12/7/2018  
Name Date  
208-885-6680 hnelson@uidaho.edu

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

**Telephone & Email:**

Deborah N Shaver  
Name Date  
208 885 6651 osp@uidaho.edu

**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.  
**Update to clarify policy and remove outdated information.**

**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.

If not a minor amendment forward to:

Policy Coordinator  
Appr. & Date:  
\_\_\_\_\_  
[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)

*APM*

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

## 45.22 -- Eligibility, Competency and Effort Requirements for Principal Investigators, Co-principal Investigators, and/or Project Directors

December 2018<sup>2</sup>

**A. General.** This policy applies to all proposals for projects submitted to external sponsors seeking monetary or non-monetary support for a sponsored project which, if awarded to the University of Idaho (University), will be governed by a contract, grant, cooperative agreement, or other binding agreement, and to all projects, irrespective of the source of funding or other support, including activities that are subject to federal, non-financial compliance regulations and are overseen at the University by the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee (IBC), and/or Export Controls (EC) (see [APM 45.19](#)). This policy does not apply to consultant agreements or the procurement of goods or services from vendors.

### B. Definitions:

**B-1. Principal Investigator (PI) or Project Director (PD):** A PI or PD is the primary individual responsible for the preparation, conduct, and administration of a sponsored project (see B-4, below) or a project which includes a regulated activity (see B-5, below) to ensure it is in compliance with applicable laws, regulations, and institutional policy governing such projects. More specifically, this individual is directly responsible and accountable to the University for the proper programmatic, scientific, technical and/or professional conduct of the project, and its financial and day-to-day management (see [FSH 5100 H](#)). The PI/PD retains the majority of the responsibility to meet the requirements of the sponsorship and/or aspects of a project which involve regulated activities. For the purposes of this policy, the term PI will be used to indicate both PIs and PDs.

**B-2. Co-Principal Investigator/Co-Investigator (Co-PI/Co-I) or Co-Project Directors (Co-PD):** Co-PIs/Co-Is or Co-PDs are key personnel who have responsibilities similar to that of a PI. While the PI has ultimate responsibility for the project, the Co-PI/Co-I/Co-PD(s) are also obligated to ensure the project is conducted in compliance with applicable laws, regulations, and institutional policy governing the conduct of sponsored projects or other regulated activities. Specific responsibilities assigned to each Co-PI/Co-I/Co-PD(s) are defined within the Electronic Internal Proposal Routing System (EIPRS). For the purposes of this policy, the term Co-PI will be used to indicate Co-PIs, Co-Is and Co-PDs.

**B-3. Faculty or Staff Participant:** University faculty and staff may be involved in projects as key personnel without the same responsibilities of a PI or Co-PI. However, any faculty and staff member who is involved in a regulated activity (see B-5, below) is responsible for the appropriate conduct/performance of that activity, irrespective of whether he/she is a PI or Co-PI. Faculty and staff may participate in the activities of the sponsored project, may collect salary, and may have a role in project outputs (e.g., performer, instructor, author, patent holder). A faculty participant may also be referred to as a faculty investigator. Senior personnel and staff participants may also be referred to as professional staff or senior staff.

**B-4. Sponsored Project:** For the purpose of this policy, a sponsored project is any project or portion of a project, in which the University is engaged through its faculty, staff, or students that involves an interaction between the University and another party which may be an entity, unit, or individual inside or outside of the University. Normally, the agreement

involves a transfer of funds, a non-monetary exchange, or payment for services and/or products. Sponsored projects include interactions such as awards, sub-awards, grants, research contracts, outreach contracts, instruction contracts, cooperative agreements, capacity building contracts, public service work, community service project agreements, class projects with communities, task orders, extension projects, etc. where the University is committed to deliver a service or product. All sponsored projects must be entered into EIPRS.

**B-5. Regulated Activity:** For the purpose of this policy, a regulated activity is any project or portion of a project, in which the University is engaged through its faculty, staff, or students that is subject to one or more federal, non-financial compliance regulations. Such regulations may include: human subject protection regulations ([FSH 5200](#)), animal care and use regulations ([APM 45.01](#)), biosafety and select agents regulations ([APM 35.11](#)), and export control regulations ([APM 45.19](#)). At the University, such activities are overseen by the IRB, IACUC, IBC, ([FSH 1640.54](#), [1640.12](#), [1640.14](#)) or EC. Any project involving a regulated activity must be entered into EIPRS.

**C. Purpose.** The purpose of this policy is to:

- Position the University, PIs, and Co-PIs to reduce the institutional risk involved in accepting and carrying out a sponsored project, or in carrying out regulated activity within any project;
- Establish criteria permitting individuals to fulfill the role of PI or Co-PI on a sponsored project and/or project which includes a regulated activity; and
- Ensure that sponsored projects and/or regulated activities are conducted by those who have the requisite training, competencies, skills, commitment, and resources, as well as the appropriate relationship to the University.

As a condition of its acceptance of sponsored project awards from external sponsors, or its engagement in a project that involves a regulated activity, the University is obligated in its role as the recipient of the award and/or overseer of regulated activities to ensure that:

- Sponsored projects and/or other projects including regulated activities are adequately administered by the PI;
- Only individuals meeting the eligibility requirements of this policy are listed as PI or Co-PI(s), and that proposed projects are submitted through the University (see [APM 45.02](#)), following approved University procedures in place at the time of the submittal;
- All proposals and projects involving regulated activities are reviewed and approved by the unit administrator, dean and, if it is an external proposal, by an authorized individual in the Office of Sponsored Programs acting on behalf of the University; and
- All submitted proposals or projects involving regulated activities meet the requirements of the sponsor and/or the University. If sponsor requirements are less restrictive than University policies, University policy shall take precedence.

#### ~~D. Administrative Requirements:~~

~~**D-1.** Because the PI is primarily responsible for meeting sponsor and/or regulatory requirements, he/she is expected to have a minimum two (2) percent of his/her effort assigned to and paid for by the sponsor (see [APM 45.09](#)). If the sponsor and program do not expressly allow the charging of faculty salary (e.g., grants for equipment, travel, dissertation support, conference support) this requirement will be waived. In most cases, a PI~~

~~will have additional effort assigned to the project to complete other project-specific tasks.~~

~~**D-2.** This two (2) percent minimal direct charge effort requirement for project administration may be converted from direct charge effort to voluntary committed cost share (APM 45.08 B-2 if the following four criteria are met:~~

- ~~i. the annual sponsored project budget is less than \$45,000; and~~
- ~~ii. at least 85% of the funding by the sponsor is to be used to pay for student stipends and/or tuition and fees remission; and~~
- ~~iii. the allowable F & A rate ) is charged; and~~
- ~~iv. the faculty member has state or other unrestricted salary available to cover the two (2) percent effort for the period in which the effort is devoted.~~

~~This policy is consistent with the Office of Management and Budget (OMB) Memorandum 01-06, Clarification of OMB A-21 Treatment of Voluntary Uncommitted Cost Sharing and Tuition Remission Costs, which states that most federally-funded research programs should have some level of committed faculty or senior researcher effort. (See also FSH 1565 C-4, b(2) and APM 45.08).~~

#### **ED. Eligibility Requirements:** *[ren. 12-18]*

**ED-1.** In order to ensure that sponsored projects and/or projects which include a regulated activity are conducted by those who have the requisite training and competencies and who have the appropriate relationship to the University of Idaho, PIs and Co-PIs must generally be employed by the University in a faculty or staff status.

Persons holding the following positions may be designated as PI or Co-PI in applications for externally sponsored funding or for other projects which require carrying out a regulated activity. The positions listed in categories (i)-(v.) are defined in [FSH 1565](#), Academic Ranks and Responsibilities. For each of these categories, the leaders of the appropriate unit(s), school(s), disciplinary or interdisciplinary program(s), and college(s) determine and approve the qualifications of the individual. Approval of eligibility and capacity is indicated by the electronic signature of the named unit leaders in EIPRS:

- i. All tenured and tenure-track university faculty, including instructors and senior instructors; assistant, associate, and full professors; research faculty; extension faculty; librarian faculty; psychologist or licensed psychologist faculty; officer-education faculty; and university distinguished professors.
- ii. All persons holding University-approved non-tenure track faculty appointments (temporary, full or part-time), including lecturers, visiting faculty, research faculty, outreach associates, and clinical faculty.
- iii. All persons holding faculty emeritus status at the University of Idaho and not included under category ii. PIs in this category must work with a Co-PI from appointment types included in categories i and ii above and have the approval of the VP ORED.
- iv. All persons holding associated faculty titles, such as adjuncts and affiliates. Individuals in this category may only serve as a Co-PI and the PI must be from appointment types included in categories i and ii

above.

- v. All postdoctoral fellows who have the approval of their appropriate unit leaders. Individuals in this category can serve as the PI, but the postdoctoral fellow's faculty mentor must be listed as a Co-PI.
- vi. All staff members, who are not also students, and who have the approval of their appropriate unit leaders. Individuals in this category may automatically serve as a Co-PI working with a PI from categories i and ii above, and with special approval from the VP ORED may serve as the PI.
- vii. Neither undergraduate nor graduate students may be designated as PIs or Co-PIs. When a sponsor's program guidelines require the student to be listed as PI on the proposal application, the student's mentor/advisor shall be the PI of record in EIPRS and shall be responsible for the conduct and oversight of the project.

For all other members of the University of Idaho community, special approval from the Vice President for Research and Economic Development (VP ORED) is required. The VP ORED also retains the right to reject, suspend, or remove any proposed PI or Co-PI in applications for externally sponsored funding, based upon previous evidence of inadequate project or financial management. At his or her sole discretion, the VP ORED may waive for individuals who fall under categories (iii)-(v) the requirement that such individuals have another UI individual serve as Co-PI (see categories [iii.] and [v.], above) or the requirement that such individuals have another UI individual serve as PI (see category [iv.], above). *[rev. 12-12]*

## **DE--2. Special Eligibility Situations. *[ren. 12-18]***

- i. Non-US Persons: Non-US PIs and Co-PIs wishing to apply for sponsored funding, and who meet one of the general eligibility requirements listed above 1-7, must also have the appropriate immigration status to participate in the proposed sponsored activity. Current regulations place severe penalties on non-U.S. persons who violate the terms and conditions of their immigration status and on PIs and universities that violate export control laws and regulations. These issues must be addressed if a non-immigrant investigator is to be included on a sponsored project.

For example, prior to beginning a new project or new employment, non-immigrants currently employed by the University in H-1B, O-1, TN or J-1 visa status should consult with Human Resources about changes that may be required as a result of the new project or employment. . H-1B, O-1 and TN visa status is employer-specific and job-specific; therefore, a change of employment may require a petition to the Immigration and Naturalization Service for new, amended or concurrent employment authorization. In addition, J-1 Research Scholars and Professors are admitted to the U.S. in order to complete a specific objective, defined prior to issuance of the Certificate of Eligibility for Exchange Visitor (J-1) Status (Form DS-2019). Changes and additions to that objective will require review by the program sponsor prior to beginning a new project. These two cases point out the importance of clearly understanding an investigator's immigration status prior to his or her involvement in a sponsored project or regulated activity.

In order to promote openness in research, the University generally does not accept sponsored projects that include citizenship-based

restrictions on participation. In limited circumstances, and after review and approval by the VP ORED or designee, the University may engage in research in which the sponsor imposes citizenship restrictions that permit participation only by U.S. citizens and/or permanent residents (green card holders). Such restrictions are generally acceptable in connection with fellowship support for graduate and undergraduate students and may be acceptable, on a case by case basis, in connection with sponsored funding intended to advance the research careers of new faculty. International sponsors (e.g., European Union, international development bank, non-governmental organization, etc.) may have similar eligibility requirements; such requirements are also subject to review and approval by VP ORED or designee.

In cases where U.S. permanent residence/citizenship is not a sponsor requirement (e.g., working with a faculty member from an international university on a non-governmental organization sponsored project) and where the individual proposed for involvement meets the general eligibility requirements listed above i-vii, they are eligible to participate in non-export-controlled sponsored projects. If the project involves export-controlled technologies and/or materials, non-U.S. persons may require licenses in order to work on the project. Normally, this is dealt with when the proposal is developed and moves through the University's approval process in EIPRS. The University does not guarantee that it will be able to obtain a license, if required, and reserves the right to fulfill export control regulations through other means, including exclusion of the person for whom a license would be required from participation in the export controlled project or portion of a project.

Additional information on immigrant and non-immigrant statuses in the U.S. may be obtained by contacting the University's International Programs Office. When working internationally, it is expected that the PI or Co-PI will contact the Office of International Programs and inform them of the proposed effort.

- ii. Directors of University Approved Cooperative Arrangements: In cases where administrative funding is provided by contributing members/organizations (such as cooperatives, special extension programs, etc.) and/or an individual clearly has the responsibility and designated time set aside in their position description ([FSH 3050](#)) for the administration and management of sponsored projects or projects involving regulated activity, there is no need for a PI or Co-PI to request additional funding for project administration from the sponsor. Such arrangements must be articulated in a University approved master agreement (one official agreement covering all projects for a given time period) prior to submittal; or via the rare approval by the VP ORED when such an agreement is still under development. These projects must be entered into EIPRS.
- iii. Federal Employees as Primary Principal Investigators or Project Directors for the University of Idaho: Unless faculty rights and privileges have been contractually granted to them, federal employees are not eligible to serve in a PI or a project director role at the University. Federal employees may cooperate with or collaborate with University of Idaho faculty within the limits imposed by applicable legislation and regulations and, in this capacity, may serve as Co-PI. The federal employee may participate in planning, conducting, and analyzing the research directed by a University of Idaho PI, but cannot direct projects on behalf of the University of Idaho. The University may subcontract with a federal agency (if

allowable through applicable legislation and regulation) for research personnel, supplies, equipment and other expenses directly related to the research. Salaries for permanent federal employees may not be provided.

**FE. Roles and Responsibilities.** The roles of unit leaders (e.g., Chair, Head, Program Director, Dean, Provost, appropriate equivalent non-academic administrative unit leaders) and VP ORED with respect to this policy, and sponsored projects, are set forth in [FSH 5100 F and G](#). [\[ren. 12-18\]](#)



**APM 50.21, Documenting and Addressing Unsatisfactory Performance of Classified Staff** – Edits attached.

**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: Staff Council appr. 1/25/19\_\_

Policy Coordinator Appr. & Date: _____ <i>[Office Use Only]</i>
--------------------------------------------------------------------------

<i>FSH</i> Appr. _____ FC _____ GFM _____ Pres./Prov. _____ <i>[Office Use Only]</i>
-----------------------------------------------------------------------------------------------------

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

<i>APM</i> F&A Appr.: _____ <i>[Office Use Only]</i>
------------------------------------------------------------

## 50.21 -- Documenting and Addressing Unsatisfactory Performance of Classified Staff

Last updated November 7, 2006

A. **General.** Any UI classified employee who receives an overall rating of unsatisfactory or needs improvement as a result of performance evaluation ~~must~~ may be placed ~~in~~ a performance development plan to document the necessary improvement or the lack thereof-related probationary status that lasts for ninety (90) days. A classified employee in ~~entrance~~-probationary status who receives an overall performance evaluation of less than satisfactory may be extended in ~~entrance~~-probationary status for up to an additional 90 days, during which time he or she is ineligible to be certified and is not eligible for a salary increase [FSH 3340] based on performance. ~~A previously certified employee may also be placed in performance-related probationary status following an evaluation that indicates an overall performance of less than satisfactory, or following a violation of university policy. During these 90 days the probationary employee's performance is evaluated every thirty (30) days [FSH 3340].~~

B. **Process.** After completing a performance evaluation and/or otherwise documenting less-than-satisfactory performance, the supervisor notifies Human Resources and also meets with the employee and notifies him or her that he or she is being placed on probation. The notice informs the employee about the specific performance concerns, actions that need to be taken to improve performance satisfactorily, the time during which improvement is expected, and the consequences for failure to make improvements. The usual duration of performance probation is 90 days, and performance is evaluated at 30-day intervals. If probation is successfully completed, the employee is certified. If probation is not successfully completed, employment may be terminated or the employee may be demoted to a position in which he or she is certified at the discretion of the UI. [See FSH 3360]. The role of HR is to provide guidance to the supervisor regarding the procedural steps to be followed and provide information to the employee about UI procedures and expectations.

C. **Procedure.** The supervisor completes an initial employee performance evaluation by comparing the employee's performance to the job description responsibilities [See 50.08]. The performance evaluation may be a scheduled evaluation (such as an annual evaluation, or a routine evaluation during entrance probation), or it may occur following observation of a particular situation or activity.

C-1. **Required Documentation.** After completing an evaluation that documents performance as less than satisfactory, and prior to any further action, the supervisor forwards a confidential copy of the evaluation to Human Resources and to the dean or director. A letter informing the employee that he or she is being placed on probation will be developed by the supervisor in collaboration with Human Resources and the dean or director, or designee. The letter will:

i) Identify specific problems and corrective actions needed. The probationary letter should address specific problems that have been documented and the corrective actions that need to be accomplished during the probationary period.

ii) Identify the dates of subsequent 30-60-90 day reviews. These dates are to inform the employee and HR when the reviews are to be completed and submitted. If requested, HR will work with the supervisor to ensure evaluations are completed on schedule.

iii) Identify specific consequences. The probationary letter should incorporate the sentence: "should your performance not improve during this 90-day probationary period, further disciplinary action may be taken, up to and including possible termination of employment".

iv) Offer assistance to the employee. The letter can also reference employee assistance services available through the Employee Assistance Program (EAP), services which are confidential and free to the employee, and/or training opportunities which may be available and which may help the employee improve performance.

v) Develop a performance development plan (PDP). A performance development plan should be developed by the supervisor to clearly articulate the expectations for success in the position. A sample form and guidance in developing this performance tool is available from Human Resources.

**C-2. Schedule Employee Conference.** The supervisor schedules a conference with the employee to deliver the letter and answer any questions. The supervisor should make a note to the file regarding the date and time the letter was discussed, and the substance of the conversation with the employee.

**C-3. Follow Through with Timely Evaluations.** The supervisor is responsible to count the days, and specifically to ensure the 3rd review does not go beyond the 90 calendar days (89 days is permissible, 91 days is not).

**C-4. Consult with HR.** The supervisor should consult with the Director of Employment Services, or designee, and the dean or director of the employee's college or administrative unit (or designee) prior to completing the 90-day evaluation if demotion or termination is recommended.

i) If performance has improved, the employee will become certified in the position.

ii) If performance has not improved and it appears that demotion, suspension termination or other disciplinary action will be recommended, the Director of Employment Services will advise on the procedures to be followed. These procedures are legally required, and involve providing the employee with notice of contemplated action and an opportunity to respond before the final decision on the action is made or the action is initiated. [See [FSH 3360](#) and [3930](#)]

**D. Information.** Questions or problems regarding the progressive probationary process can be addressed to the Director of Employment Services in Human Resource Development (208) 885-3616.



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

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

Minor Amendment

**Chapter & Title:** APM 30.15 UI Password/Pass-phrase Policy

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

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

**Originator(s):** Mitch Parks, Mary George 3/26/19  
 (Please see FSH 1460 C) Name Date  
**Telephone & Email** [mitch@uidaho.edu](mailto:mitch@uidaho.edu); [maryg@uidaho.edu](mailto:maryg@uidaho.edu)  
5-2522 5-5222

**Policy Sponsor:** (If different than originator.) Dan Ewart  
 Name Date  
**Telephone & Email:** [dewart@uidaho.edu](mailto:dewart@uidaho.edu)

**Reviewed by General Counsel**  Yes  No Name & Date: Casey Inge 3/26/19  
*Also UI Technology Security Advisory Council, ITS Directors & Managers, local university IT support, and Liz Brandt*

**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.

*Current policy was old and outdated. It also contained a lot of specifics that have since changed. We made the policy more general and encompassing, without specifics. We will publish the specifics info (ITS standards) on the ITS web site.*

**II. Fiscal Impact:** What fiscal impact, if any, will this addition, revision, or deletion have? *We anticipate no fiscal impact from these changes.*

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

*All IT policies are related, probably the most related would be the Identity and Access Management policy APM 30.10. We tried to make sure that they were unique, but complementary.*

**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: _____ <i>[Office Use Only]</i>
--------------------------------------------------------------------------

<i>APM</i> F&A Appr.: _____ <i>[Office Use Only]</i>
------------------------------------------------------------

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

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

**30.15—Password and Authentication Policy**

Created/updated date: 02/07/2019 (rewrite)

**Preamble:** Authentication of users and applications, accessing or processing data is a fundamental requirement of information security to ensure confidentiality and integrity of data. This policy establishes authentication requirements for the use of University of Idaho technology resources.

**Contents:**

- A. Definitions
- B. Policy
- C. Scope
- D. Exceptions to the Policy
- E. Contact Information
- F. References

**A. Definitions – Types of Authentication.** Below are the most common types of authentication used at the university.

- A-1. **Password:** a combination of letters, numbers, symbols, and special characters that can be used to authenticate a person to an account accessing a technology resource. Long forms of passwords are sometimes called a passphrase.
- A-2. **Biometric:** unique physical or behavioral characteristics of a person that can be analyzed to uniquely identify and authenticate a person to an account for accessing a technology resource.
- A-3. **Token:** a hardware or software device that can be cryptographically verified as unique.
- A-4. **Geolocation:** for purposes of this policy, geolocation refers to the process of identifying the locations of a user based upon the known locations of their Internet Protocol (IP) addresses, or from data collected from their authenticated devices with built-in location detection.
- A-5. **API Token:** for purposes of this policy, an application program interface (API) token is a unique, long, token or key that may provide authentication for an application to access another service or application.
- A-6. **Personal Identification Number (PIN):** a short number or password used locally on a device as a convenient authentication alternative to typing a full password.
- A-7. **Multi Factor Authentication (MFA):** Using two or more authentication factors: typically passwords, biometrics, or tokens, to achieve authentication.

**B. Policy.** Consistent with the university's requirements for identity and access management, users must protect the integrity of their authentication methods, for all UI technology resources requiring their authentication. All authentication types must be secured as appropriate for the level of risk.

**B-1. Responsibility of Users:**

- a. Users are responsible for keeping passwords and all other types of authentication secure and confidential, including not sharing or storing passwords in an insecure manner. Passwords should not be written down and/or left in an easily accessible location.
- b. Passwords are confidential university information and should never be stored electronically without strong encryption.

- c. All passwords must be changed at first issuance or use.
- d. Passwords must not be shared for any individual accounts, including with IT support professionals, and only shared for other account types as defined in UI Identity and Access Management (APM 30.10) to the minimum extent required. If anyone asks a user for their password, they are obligated to report this to ITS Security as a security incident.
- e. For any shared passwords, whenever any person with knowledge of the password changes to a role where they no longer require knowledge of the password (i.e., leaves the university or changes positions), the password must be changed.
- f. Passwords for UI systems must be unique. Users should never use their UI password for any third-party systems, even if used for UI business purposes. Users should never use the same password for privileged and non-privileged accounts.
- g. Users must not store passwords with applications or use the “remember password” functions built into web browsers. Using a third-party password manager is highly encouraged to create strong passwords and store them securely. (Contact ITS for a list of currently recommended password managers.)
- h. Always log out of applications or lock computers when leaving a computer to prevent unauthorized use.
- i. Users must not attempt to circumvent UI established authentication processes.
- j. Users must follow ITS standards for authentication and password specifications. (See ITS Standards <http://www.uidaho.edu/its/standards/> )

**B-2. Remediation and Compliance.** Noncompliance with this policy shall be considered a violation of UI Acceptable Use (APM 30.12) and will be addressed and remediated accordingly.

- C. Scope.** This policy applies to all account holders regardless of affiliation with access to university data or information systems.
- D. Exceptions to the Policy.** Exceptions to this policy may be submitted in writing to the UI Information Security Officer who will assess the risk and make a recommendation to the UI Chief Information Officer. Exceptions must be reviewed for reauthorization on no less than an annual basis.
- E. Contact Information.** The ITS Information Security Office (its-security@uidaho.edu) can assist with questions regarding this policy and related standards.
- F. References.**

APM 30.10 – Identity and Access Management Policy  
APM 30.11 – Data Classifications and Standards  
APM 30.12 – Acceptable Use of Technology Resources  
NIST SP800-53r4  
NIST SP800-171  
HIPAA Security Rule 164.312(d)



## **30.07 -- User Provided Software on ITS Systems (Information Technology Services)**

January 11, 2010

A. **General.** Software, both data files or programs, may be placed on various systems under ITS control for purposes of instruction or research. To place software on one of the following systems, software is brought to ITS (Admin 140) a minimum of one week prior to needed access (two weeks requested). The software is given to the appropriate personnel for prompt installation.

A-1. **File Servers for Student Computer PC and Macintosh Labs and Classrooms.** ITS operates many open access computer labs and classrooms across campus. In addition, several lecture rooms with PCs, Macs and large display units for viewing the screen are available for teaching. All of these computers are connected to a file server containing a variety of software for student use. Most of the funding for this equipment comes from the annual student computer fee established during the fall of 1993. *[ed. 1-10]*

A-2. **Available Student Computer Lab Software.** For a listing of software available from the student computer menu, please look on the following Web page: [Support Site](#)

B. **Information.** For further information or questions on user provided software applications on Customer Support controlled systems, call ITS Help Desk at (208) 885-4357 (dial 5-HELP). *[ed. 1-10]*



## POLICY COVER SHEET

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

[www.webs.uidaho.edu/uipolicy](http://www.webs.uidaho.edu/uipolicy))

[3/09]

**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](mailto:apm@uidaho.edu) or [fsh@uidaho.edu](mailto:fsh@uidaho.edu) respectively.

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

**Originator(s):** Blair M. Ehlert 03/18/2019  
 (Please see FSH 1460 C) Name Date  
**Telephone & Email:** 208-885-7258 bmehlert@uidaho.edu

**Policy Sponsor:** (If different than originator.) Janet E. Nelson 03/21/2019  
 Name Date  
**Telephone & Email:** 208-885-6689 vpresearch@uidaho.edu

**Reviewed by General Counsel**  Yes  No Name & Date: Casey Inge 03/06/19

**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.  
 Revised APM to coincide with federal regulations.

**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.  
 1640.12 INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)

**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)

## Chapter 45.01 -- Animal Care and Use

January 25, 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]*

**A-4. Animal Housing Facility.** Any facility or location that has been approved by the IACUC where animals being used for Animal Activity are held for longer than 12 hours.

### 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.** 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) ~~(1)~~—Reviewing, at least ~~once every six months~~biannually, the University's program for the humane care and use of animals.
  - ~~(1)(2)~~(2) ~~and the status of the~~Inspecting, at least biannually~~once every six months, all approved Animal~~animal Housing Facilities and locations where surgery is performed. institution's animal facilities, including satellite facilities, laboratories and areas where survival surgery is conducted.
  - ~~(2)(3)~~(3)—Reviewing and approving, requiring modifications to secure approval, or withholding approval of proposed animal activities.
  - ~~(3)(4)~~(4)—Development of procedures and guidelines based on Federal, State, and University policies.
  - ~~(4)(5)~~(4)—Investigating reported concerns regarding the care and use of animals within the University.
  - ~~(5)(6)~~(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 of in accordance with federal, state and IACUC policies and procedures.

## **E. Occupational Health**

**E-1.** The University Animal Care and Use Occupational Health 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.** 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. *[rev. 1-18]*

## **F. Exceptions.**

**F-1. Veterinary Care.** 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]*

**F-2. Authority to Grant Exceptions.** 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](mailto:IACUC@uidaho.edu) or 208-885-7258). *[ed. 1-18]*

**Teaching and Advising  
Committee Proposed Catalog  
Changes - Effective Fall 2023**

**E - Grades****E-1. Grading System****E-1-a**

For purposes of reporting and record, academic work is graded as follows:

~~A+; A-superior; A-; B+; B-above-average; B-; C+; C-average; C-; D+; D-below-average; D-; F-failure; I-incomplete work of passing quality (see regulation F); W-withdrawal; WA-withdrawal to audit; WU-withdrawal from the university; P-pass (see below); IP-in progress (see E-2); N-unsatisfactory and must be repeated (used only in ENGL 101 and ENGL 102); S-satisfactory (used only in CEU courses); CR-Credit, and NC-No Credit (may be used only in professional development courses).~~

**Commented [AT1]:** + removed by Senate 3/19/19

**Commented [AT2]:** -removed by Senate 3/19/9

**E-1-b**

Grades of P may be reported at the option of the department on a course-by-course basis in noncompetitive courses such as practicum, internship, seminar, and directed study. Grades of P are also reported in courses carrying the statement, "Graded P/F," in the course description. In courses in which Ps are to be used, the method of grading will be made known to the students at the beginning of the semester, and the grading system will be uniform for all students in the courses. Grades under the pass-fail option are not affected by this regulation because the conversion of the regular letter grade is made by the registrar after instructors turn in the class rosters.

**E-1-c**

Midsemester grades in undergraduate courses must also conform to the above regulations. It is permissible to report Ps at midsemester ONLY in courses that have been approved for grading on this basis.

**E-2. In-Progress (IP) Grades.****E-2-a. Grades in Undergraduate Senior Thesis or Senior Project**

The grade of IP (in progress) may be used to indicate at least minimally satisfactory progress in undergraduate courses such as senior thesis or senior project that have the statement "May be graded IP" in the course description. When the thesis or project is accepted, the IP grades are to be removed (see E-2-c). Grades of IP in undergraduate courses are considered to represent grades of at least C or P. If, in any given semester,

the instructor considers the student's progress unsatisfactory, an appropriate letter grade (D or F) should be assigned for that semester.

### E-2-b. Grades in Graduate Research Courses

The grade of IP (in progress) may be used in courses 500 (Master's Research and Thesis), 599 (Non-thesis Master's Research), and 600 (Doctoral Research and Dissertation). When the thesis, dissertation, or other research document is accepted, or when a student ceases to work under the faculty member who is supervising his or her research, the IP grades are to be removed (see below). Grades of IP in graduate courses are considered to represent at least grades of B or P. If, in any given semester, the faculty member supervising the student's research considers the student's progress unsatisfactory, a regular letter grade (C, D, or F) should be assigned.

### E-2-c. Removal of IP Grades

Departments may use on a department-wide basis either the P/F grading system, or regular letter grades, as well as P, when removing the previously assigned IP grades (e.g., a student who enrolled for six credits in course 500 one semester, four credits another semester, and five credits an additional semester could have 15 credits of IP grades removed with different grades for each of the blocks of credit registered for each semester, such as six credits of A, four credits of B, and five credits of P).

### E-3. Grades in Law Courses

For additional provisions applicable to grades in law courses, see the College of Law section.

### E-4. Computing Grade-Point Averages

Grades are converted by assigning the following number of points per credit for each grade: ~~A+ (4.0); A- (3.7); B+ (3.3); B- (3.0); B- (2.7); C+ (2.3); C- (2.0); C- (1.7); D+ (1.3); D- (1.0); D- (1.07); F- (0.0)~~. In computing the grade-point average, neither credits attempted nor grade points earned are considered for the following: courses graded I, IP, P, S, W, WU, N, CR, NC, correspondence courses, continuing education units, credits earned under regulation I, or courses taken at another institution. Credit earned at non-U.S. institutions is recorded as pass (P) or fail (F), except for some courses taken through an approved study abroad program.

[The UI considers only the *Institutional* grade-point average official. Although both institutional and overall grade-point averages are printed on transcripts, the overall grade-point average (which includes transfer courses) is informational only. To calculate a grade-point average divide the *Quality Points* (course credits times the points assigned for the grade earned) by the *GPA Hours*

Commented [AT3]: + removed by Senate 3/19/19

Commented [AT4]: -removed by Senate 3/19/19

(course credits attempted *not* including grades of I, IP, P, W, WU, or N). *Earned Hours* indicate the total number of semester credits successfully completed (course grades of ~~A+~~, A, ~~A-~~, B+, B, ~~B-~~, C+, C, ~~C-~~, D+, D, ~~D+~~ or P earned). Grades of P are included in *Earned Hours* but do not earn any quality points; grades of F are included in *GPA Hours*-, but not in *Earned Hours*-.]

Commented [AT5]: + removed by Senate 3/19/19

Commented [AT6]: - removed by Senate 3/19/19

## E-5. Replacing Grades

### E-5-a

Some courses are listed in this catalog as "repeatable" (i.e., the credits listed for the courses show a maximum number of credits that may be earned or show "cr arr" or "max arr" indicating that the courses may be repeated for credit without restriction as to maximum). Other courses show one credit entry for the course (e.g., "1 cr," "2 cr," etc.) and may be taken only once for credit (see procedure for repeating to replace a grade below). [See the section entitled "Credit Designations" for more information.]

### E-5-b. Replacing a Grade by Repeating a Course

A student who has received a ~~D+~~, D, ~~D-~~ or F in a course at UI may repeat the course at the UI provided credit has not been earned in a more advanced vertically related course in the same subject area. Although all grades remain on the record, the first repeat will replace the grade and credit earned initially in the course. The second and subsequent repeats of the same course will be averaged in the student's institutional GPA. See the College of Law section for the exception to this regulation applicable to students in that college.

Commented [AT7]: Senate removed 3/19/19

## E-6. Reports of Grades and Grade Corrections

Grades are reported to the registrar for all courses at the end of each academic session and at mid semester for undergraduate courses (see deadlines in the academic calendar). The assignment of grades and corrections of grades are the sole prerogative of the instructor and are reported by the instructor directly to the Registrar's Office via the UI Faculty Web. All grades except I and IP (see regulation F and E-2) are considered final when assigned by an instructor at the end of a term. An instructor may request a grade correction when a computational or procedural error occurred in the original assignment of a grade. No final grade may be revised as a result of re-examination or the submission of additional work after the close of the semester. Grade corrections must be processed within one year of the end of the term for which the original grade was assigned. In the event the instructor leaves the university, the departmental administrator may assign the final grade.

**Teaching and Advising Committee  
Proposed Catalog Changes – Effective Fall 2023**

**E - Grades**

**E-1. Grading System**

**E-1-a**

For purposes of reporting and record, academic work is graded as follows: A; A-; B+; B; B-; C+; C; C-; D+; D; F-failure; I-incomplete work of passing quality (see regulation F); W-withdrawal; WA-withdrawal to audit; WU-withdrawal from the university; P-pass (see below); IP-in progress (see E-2); N-unsatisfactory and must be repeated (used only in ENGL 101 ad ENGL 102); S-satisfactory (used only in CEU courses); CR-Credit, and NC-No Credit (may be used only in professional development courses).

**E-1-b**

Grades of P may be reported at the option of the department on a course-by-course basis in noncompetitive courses such as practicum, internship, seminar, and directed study. Grades of P are also reported in courses carrying the statement, "Graded P/F," in the course description. In courses in which Ps are to be used, the method of grading will be made known to the students at the beginning of the semester, and the grading system will be uniform for all students in the courses. Grades under the pass-fail option are not affected by this regulation because the conversion of the regular letter grade is made by the registrar after instructors turn in the class rosters.

**E-1-c**

Midsemester grades in undergraduate courses must also conform to the above regulations. It is permissible to report Ps at midsemester ONLY in courses that have been approved for grading on this basis.

**E-2. In-Progress (IP) Grades.**

**E-2-a. Grades in Undergraduate Senior Thesis or Senior Project**

The grade of IP (in progress) may be used to indicate at least minimally satisfactory progress in undergraduate courses such as senior thesis or senior project that have the statement "May be graded IP" in the course description. When the thesis or project is accepted, the IP grades are to be removed (see E-2-c). Grades of IP in undergraduate courses are considered to represent grades of at least C or P. If, in any given semester, the instructor considers the student's progress unsatisfactory, an appropriate letter grade (D or F) should be assigned for that semester.

### **E-2-b. Grades in Graduate Research Courses**

The grade of IP (in progress) may be used in courses 500 (Master's Research and Thesis), 599 (Non-thesis Master's Research), and 600 (Doctoral Research and Dissertation). When the thesis, dissertation, or other research document is accepted, or when a student ceases to work under the faculty member who is supervising his or her research, the IP grades are to be removed (see below). Grades of IP in graduate courses are considered to represent at least grades of B or P. If, in any given semester, the faculty member supervising the student's research considers the student's progress unsatisfactory, a regular letter grade (C, D, or F) should be assigned.

### **E-2-c. Removal of IP Grades**

Departments may use on a department-wide basis either the P/F grading system, or regular letter grades, as well as P, when removing the previously assigned IP grades (e.g., a student who enrolled for six credits in course 500 one semester, four credits another semester, and five credits an additional semester could have 15 credits of IP grades removed with different grades for each of the blocks of credit registered for each semester, such as six credits of A, four credits of B, and five credits of P).

### **E-3. Grades in Law Courses**

For additional provisions applicable to grades in law courses, see the College of Law section.

### **E-4. Computing Grade-Point Averages**

Grades are converted by assigning the following number of points per credit for each grade: A(4.0); A- (3.7); B+ (3.3); B(3.0); B- (2.7); C+ (2.3); C(2.0); C- (1.7); D+ (1.3); D (1.0); F(0.0). In computing the grade-point average, neither credits attempted nor grade points earned are considered for the following: courses graded I, IP, P, S, W, WU, N, CR, NC, correspondence courses, continuing education units, credits earned under regulation I, or courses taken at another institution. Credit earned at non-U.S. institutions is recorded as pass (P) or fail (F), except for some courses taken through an approved study abroad program.

[The UI considers only the *Institutional* grade-point average official. Although both institutional and overall grade-point averages are printed on transcripts, the overall grade-point average (which includes transfer courses) is informational only. To calculate a grade-point average divide the *Quality Points* (course credits times the points assigned for the grade earned) by the *GPA Hours* (course credits attempted *not* including grades of I, IP, P, W, WU, or N). *Earned Hours* indicate the total number of semester credits successfully completed (course grades of, A, A-, B+, B, B-, C+, C, C-, D+, D, or P earned). Grades of P are

included in *Earned Hours* but do not earn any quality points; grades of F are included in *GPA Hours*, but not in *Earned Hours*.]

## **E-5. Replacing Grades**

### **E-5-a**

Some courses are listed in this catalog as "repeatable" (i.e., the credits listed for the courses show a maximum number of credits that may be earned or show "cr arr" or "max arr" indicating that the courses may be repeated for credit without restriction as to maximum). Other courses show one credit entry for the course (e.g., "1 cr," "2 cr," etc.) and may be taken only once for credit (see procedure for repeating to replace a grade below). [See the section entitled "Credit Designations" for more information.]

### **E-5-b. Replacing a Grade by Repeating a Course**

A student who has received a D+, D, or F in a course at UI may repeat the course at the UI provided credit has not been earned in a more advanced vertically related course in the same subject area. Although all grades remain on the record, the first repeat will replace the grade and credit earned initially in the course. The second and subsequent repeats of the same course will be averaged in the student's institutional GPA. See the College of Law section for the exception to this regulation applicable to students in that college.

## **E-6. Reports of Grades and Grade Corrections**

Grades are reported to the registrar for all courses at the end of each academic session and at mid semester for undergraduate courses (see deadlines in the academic calendar). The assignment of grades and corrections of grades are the sole prerogative of the instructor and are reported by the instructor directly to the Registrar's Office via the UI Faculty Web. All grades except I and IP (see regulation F and E-2) are considered final when assigned by an instructor at the end of a term. An instructor may request a grade correction when a computational or procedural error occurred in the original assignment of a grade. No final grade may be revised as a result of re-examination or the submission of additional work after the close of the semester. Grade corrections must be processed within one year of the end of the term for which the original grade was assigned. In the event the instructor leaves the university, the departmental administrator may assign the final grade.