University of Idaho
2018-2019 FACULTY SENATE AGENDA

Meeting #15

3:30 p.m. - Tuesday, January 15, 2019
Paul Joyce Faculty-Staff Lounge & Zoom

Order of Business

I. Call to Order.

II. Minutes.
   • Minutes of the 2018-19 Faculty Senate Meeting #14, December 4, 2018 (vote)

III. Consent Agenda.

IV. Chair’s Report.

V. Provost’s Report.

VI. Unfinished Business and General Orders.
   • Fall 2018 Graduates (vote)

VII. Other Announcements and Communications.
   • University Annual Report & Strategic Plan Update (Brian Keenan)(FYI)
   • Faculty Secretary/Policy Coordinator Transition (Intro)

VIII. Committee Reports.
University Curriculum Committee
   • FS-19-026 (UCC-19-029a) – New Sales Management Minor (Scott Metlen/Sanjay Sisodiya)(vote)
   • FS-19-027 (UCC-19-029b) – New Marketing Option (Scott Metlen/Sanjay Sisodiya)(vote)
   • FS-19-028 (UCC-19-037) – New Philosophy, Political, and Economics Minor (Graham Hubbs) (vote)

IX. Special Orders. (Deb Shaver/Casey Inge)(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

X. New Business.

XI. Adjournment.

Professor Aaron Johnson, Chair 2018-2019, Faculty Senate
Attachments: Minutes of 2018-2019 FS Meeting #14
FS-19-026 through FS-19-038
University of Idaho
Faculty Senate Meeting Minutes
2018-2019 Meeting #14, Tuesday, December 5, 2018

Present: Benedum, Brandt (w/o vote), Bridges, Cannon (Boise), Caplan, Chopin, DeAngelis, Dezzani, Ellison, Foster, Grieb, Jeffrey, Johnson, Keim, Kern (Coeur d’Alene), Kirchmeier, Laggis, Lawrence (for Wiencek, w/o vote), Lee, Lee-Painter, McKellar (Idaho Falls), Morgan, Raja, Seamon, Tibbals, Vella. Absent: Lambeth, Luckhart, Schwarzlaender, Watson, Wiencek. Guests: 4

Call to Order and Minutes. The chair called the meeting to order at 3:33 pm

A motion to approve the minutes (Lee-Painter/Dezzani) passed unanimously.

Consent Agenda. No interest in removing items (FS-19-024 – Arts Committee and Sabbaticals Fall 2019-Spring 2020) from the consent agenda having been expressed, it was moved (Lee-Painter/Benedum) that the items be approved.

Chair’s Report.

- The chair thanked senators who attended the communication meetings during the past two weeks. Communication is a challenge on campus and senate leadership continues to look for ways to improve. The chair reminded senators that he is available to attend departmental and college meetings to discuss shared governance. He will be attending College of Agriculture and Life Sciences (CALS) all college meeting on Thursday. In addition, Vice Provost Lawrence will be arranging listening sessions within each college. He will coordinate with senators on these arrangements.
- Financial Aid has made a practice of trying to get a letter out to potential students by December 15 to identify the total financial aid available at UI. This year the process has been complicated by several issues. The 2019 Pell Grant chart has yet to be completed by the federal government. Pell grants often influence the rest of the financial aid award. As a result, Financial Aid is waiting until the first part of 2019 in hopes that they will receive the Pell Grant charts. If the Pell Grant information has not been received, they will move ahead with financial aid awards in any case. This issue primarily impacts prospective students.
- The 29th Jazz Choirs Holiday Concert will be held on Friday, December 7, at the Kibbie Activity Center.
- Nominations for the university-wide Teaching, Hoffman and Advising Awards are due by December 7. Nominations should be submitted to provost@uidaho.edu.
- The University Faculty Meeting will be held tomorrow, December 5 in the International Ballroom at the Pitman Center at 3:00 p.m. PST/4:00 p.m. MST. The meeting will be available by Zoom in Boise - IWC 162; Coeur d’Alene - HC 145C; Idaho Falls - TAB 350; and Twin Falls - B-66.
- The Committee on Committees’ survey on committee preferences has been circulated by email. Senators are encouraged to remind their constituents to complete this survey.
- Regulation H concerning exam conflicts, which was discussed and amended at Meeting #13 on November 13, 2018, has been referred back to the University Curriculum Committee (UCC) for re-consideration. The discussion at the meeting and review of amendments after the meeting by the Faculty Secretary indicated that the proposed amendments should be clarified. The amended regulation passed senate. If UCC reconsiders the proposal and changes it in any way, the changes will come back to senate in the spring semester as a substitute motion.
Provost Report.

Vice Provost Lawrence gave the provost report in Provost Wiencek’s absence.

- He reiterated Chair Johnson’s announcement regarding the Jazz Choirs Holiday Concert on Friday, December 7th, and added that admission is free and donations are expected.
- Fall commencement is Saturday, December 8th, faculty are encouraged to attend.
- VP Lawrence is beginning the annual evaluation process for administrators. This year he will be soliciting input from faculty and staff using a Qualtrics survey. This survey will be managed by Dale Pietrzak in the Office of Institutional Assessment and Accreditation. Lawrence is hoping to get more feedback from faculty and staff than has been received in the past.
- Future Budget. Academic Affairs will experience a budget cut of $3.2 million out of a total $5 million budget reduction for the university as a whole. The provost is working with the deans and college financial representatives to plan for this reduction.

University Curriculum Committee (UCC) Report.

- **FS-19-020** (UCC-19-013a). CEHHS Catalog D-6. Taylor Raney from the College of Education Health and Human Services (CEHHS) presented amendments to academic regulation D-6. These changes define professional development credits utilized by CEHHS. Fifteen hours of contact time is required and the credits cannot be used toward a degree. The seconded motion from UCC passed unanimously.

Due to the absence of Interim Registrar Dwaine Hubbard, Taylor Raney, UCC Chair, presented the three amendments to academic regulations regarding general education. These changes were originally proposed by the University Committee on General Education.

- **FS-19-021** (UCC-19-013c). Regulation J-3-b. The proposed change adds Comm150 Online Oral Communication to the courses that may satisfy the oral communication requirement. The proposed amendment passed unanimously.
- **FS-19-022** (UCC-19-013e). Regulation J-3-e. The proposed change updates the list of courses that may satisfy the requirement of Humanistic and Artistic Ways of Knowing. The proposed change passed unanimously.
- **FS-19-023** (UCC-19-013g). Regulation J-3-g. The proposed change revises the courses that may satisfy the Senior Experience requirement. The proposed change passed unanimously.

**Academic Initiatives.** Vice Provost for Academic Initiatives Cher Hendricks presented to senate regarding two student success initiatives in which UI is participating. The first is the Complete College America (CCA) Momentum Pathways Project. UI previously has participated in other CCA programs. Our participation in the Momentum Pathways project is the result of a grant received by the State Board of Education (SBOE). The grant is a $500,000 matching grant. Idaho is one of three state higher education systems that received grant funding. The second initiative is Powered by Publics sponsored by the Association of Public Land Grant Universities (APLU). APLU came late to the student success arena. When Powered by Publics was announced, President Staben applied to be part of the program. We are one of 130 institutions participating and are part of the western cluster group. Both programs focus on access to education, time to graduation, and closing achievement gaps.

VP Hendricks and Chair Johnson recently attended a meeting in Boise regarding the Momentum Pathways Project. Hendricks believes that UI’s participation in the program is helpful and that it will provide us with good strategies. She cautioned, however, that fully engaging the strategies will be a lot of work! UI will be part of a three-year project. We will send an institutional team to Boise in January that includes our data experts and others such as the registrar. All 8 Idaho institutions will have a team at the January meeting. The teams will work with CCA experts to develop an institutional three-year plan. In Hendricks opinion, all of the Idaho institutions are in the same basic place. The only area in which UI may be ahead is support for English pre-requisites as the English Department instituted innovative changes several years ago.
The first strategy UI will tackle is “15 to finish”. This strategy aims to ensure that students take 15 credit hours each semester so they can graduate on time. UI will also be addressing math pathways. Research relied on by CCA indicates that if students complete gateway English and math in their first year and take 9 credit hours in their major, they have a much higher chance of graduation. The second year of the program will involve evaluating our progress in the prior year. The final year of the program will address academic mapping and proactive advising.

The Powered by Public program focuses on using data to support student success, reducing curricular complexity, prioritizing teaching, and improving advising. The core themes of the program are that universities must be more student centered. Every aspect of student experience should be examined to determine whether it is in the student’s best interests. Participating institutions will work together to close the achievement gap. APLU will convene institutions in clusters to attack shared issues. The program will focus on reducing curricular complexity. Hendricks noted that some UI degrees are very difficult for students to complete because they have so many prerequisites. UI also has issues with the availability of gateway courses. Limited access to such courses increases student failure rates. She stated that part of the issue is that UI has too many programs for the number of students. This leads to complexity that makes it hard for students to complete their degree in four years.

Powered by Publics is also focused on prioritizing teaching. This may require changing tenure and promotion guidelines. Our cluster institutions are discussing how to reward teaching.

Finally, the project is focused on improving advising. Hendricks commented that UI is not the only school going through growing pains with centralized advising. Every school in our cluster is struggling!

A senator stated that as advising gets more centralized, she has developed concerns that faculty and advisors are not coordinating regarding academic planning. Hendricks responded indicating that many of the academic maps at UI contain errors. She stated that when faculty work on academic maps, advisors need to be present so they can understand the rationale for the course requirements and sequences. The senator agreed and stated that there needs to be good communication with advisors about the rationale for curriculum changes. Hendricks agreed and also stated that one of her goals is to decrease the number of curriculum changes.

A senator asked for more information regarding achievement gaps. He stated that he is concerned that the initiatives being discussed will lead to mediocrity. In particular he expressed concern about grade inflation and related issues. Hendricks responded that universities must respond to the changing needs of students. Hendricks does not believe this requires lower standards. Rather she is focused on providing increased support to students. However, she agreed that the university has to be attentive to the potential pitfalls particularly in light of the SBOE move toward outcomes-based funding for higher education. A senator agreed and commented that students with Attention Deficit Hyperactivity Disorder (ADHD) are a good example of how support can raise student performance. He commented that, without support, many students with ADHD under-perform other students by significant margins. However, universities that have a support program, including diagnosis and treatment, see significant improvements in student performance and success.

Hendricks stated that the current Vandal Ideas Project is focused on the Transform goal of the strategic plan. Activities will begin again in January. She encouraged faculty to participate.

A senator commented that he is very concerned about simplification of the curricula. He commented that prerequisites are necessary to enable students to understand material. He commented that if a course can be mastered without prerequisites it should have a lower course number. Hendricks responded that degree mapping will provide a better understanding of how individual degrees work. The senator expressed doubt that the initiatives would improve student performance and expressed the belief that the faculty need to return to basics and rely on experience to assist students. Hendricks responded that the old-fashioned approach was to tell students to “look in the catalog.” Universities had relative standardized curricula. She pointed out that
the UI catalog is not simple any more. The complexity means that student have to go multiple places to get the information needed to complete their degrees. She indicated that there are UI programs with no degree maps. Faculty advising to assist students navigate the system is also important.

A senator commented that he has a love/hate relationship with degree maps. Students want certainty and interpret the maps as “gospel” rather than as a suggestion. However, he agreed that degree maps was a good tool for student advising. He would like to see interactive degree maps.

A senator expressed concern that simplification may result in a loss of flexibility and individualized planning. Flexibility assists students who switch majors and transfer students. She indicated that her college had developed an electronic degree map and agreed to share it with Hendricks.

Chair Johnson commented that while the CCA program used a lot of jargon and tends to be rather rigid, at the end of the day he believes the ideas are good and in line with the university’s goals. The reality is that the SBOE has committed the university to participation in CCA. He believes the university will benefit from participation.

The agenda having been completed, a motion (Morgan/Dezzani) to adjourn passed unanimously. The meeting was adjourned at 4:32 p.m.

Respectfully Submitted,

Liz Brandt, Faculty Secretary &
Secretary to the Faculty Senate
Current Report/Support

- Senate Leadership
  - Faculty Secretary & Policy Coordinator (Liz)
    (50% appointment)
  - General Counsel
- Provost Office
  - Policy Assistant, Paralegal & Faculty Gov. Support (Ann)
    (100% appointment)
- Paralegal: Policy, Compliance & Public Records Support (Vacant)
  (100% appointment)
New Report/Support

- Senate Leadership
  - Faculty Secretary (25% appointment)
  - Faculty Governance Support Position (100% appointment)
- Provost Office
  - 50% Policy Coordinator
- General Counsel
  - Paralegal: Policy, Compliance & Public Records Support (Ann) (100% appointment)
  - 50% compliance

- Policy Coordinator & Compliance Officer (100% Appointment)
  - *25% Replacement
  - *75% New

The diagram illustrates the relationships and positions within the Faculty Senate 2018-19 meeting.
Why Change?

• Faculty Secretary position has been difficult to fill for past 15 years!
  • Almost no applicants.

• The Policy Coordinator portion of the position has expanded.
  • Not all Faculty Secretaries have experience with policy drafting and interpretation.
  • Backlog of APM and FSH provisions that must be reviewed and updated.
  • Ambiguities and gaps in policies hurt faculty, staff and the institution.

• At a moment of transition.
Faculty Secretary Changes

**Faculty Secretary**
- Channel of communication for faculty concerning administration/SBOE
- Work with Senate Chair & Vice Chair
  - Propose agenda and supporting documents for senate meetings,
  - Record and publish minutes;
  - forward actions of senate and univ. faculty to pres.
- Serve *ex officio* on Senate, ConC, UCC
- Oversee publication of general policy reports (coordinate w/ policy coordinator?)

**Policy Coordinator**
- Source of info on UI policy
- Oversee FSH & APM
  - Accuracy
  - Access
  - Tracking of policy changes
- Identify policy issues, consult on resolution
- Advise on policy drafting
New 25% Faculty Secretary

• How do we make this an attractive position?
• Should the appointment be multi-year? Term?
• Should a sitting senate rep serve as secretary?
• Should the buyout arrangements be codified in FSH?
PROGRAM COMPONENT (Group B) OR NON-SUBSTANTIVE MINOR REQUEST FORM (Short Form)

Instructions: Please use one form for each request/action. Clearly mark all changes using either (1) Track Change or (2) strikethroughs for deletions and underlines for additions. Following the approval of the appropriate college curriculum committee, the department chair will e-mail the completed form to gracemiller@uidaho.edu.

Deadline: This form must be submitted by October 1 for inclusion in the next available General Catalog and to be available for scheduling beginning with the next summer session.

When applicable, a Curriculum Change Form and Course Approval Forms must accompany the short form.

<table>
<thead>
<tr>
<th>Dept Chair Name:</th>
<th>Scott Metlen</th>
</tr>
</thead>
<tbody>
<tr>
<td>College:</td>
<td>College of Business and Economics</td>
</tr>
<tr>
<td>Department/Unit:</td>
<td>Department of Business</td>
</tr>
<tr>
<td>Dept/Unit Approval Date:</td>
<td>Sep 7</td>
</tr>
<tr>
<td>College Approval Date:</td>
<td>Sep 28</td>
</tr>
<tr>
<td>Primary Point of Contact:</td>
<td>Sanjay R. Sisodiya, Marketing Area Coordinator</td>
</tr>
<tr>
<td>Briefly describe the change you are requesting:</td>
<td>Sales Management Minor Proposal</td>
</tr>
</tbody>
</table>

What is the financial impact of the requested change?

| Greater than $250,000 per FY: | X |
| Less than $250,000 per FY:    |   |

**Note: If financial impact is greater than $250,000, you must complete a Program Proposal form.**

Describe the financial impact: None, as no new courses are being created and using existing capacity in classes being delivered.

Rationale for Program Component Request or Name Change

Explain the change you are requesting, and provide a rationale for this request. Include an explanation of how the department will manage the added workload for a new program component; describe whether the program component curriculum and admissions requirements remain the same; describe the rational for a name change or degree designation change, if applicable.

**Rationale**

Marketing is the set of activities that focus on the interaction between the organization, its products (including goods and services), and its customers. The sales function, a subset of marketing activities, includes the art of selling products and managing the sales activities of the organization. In many organizations, the sales function is performed by individuals with varying backgrounds and educational experiences. The proposed Sales Management Minor is intended to better aid those individuals to be successful in sales careers, as evidence shows that student’s with training from university sales programs ramp up 50% faster when compared to their non-sales educated peers and have lower turnover rates (salesfoundation.org).

The proposed Sales Management Minor is open to business and non-business students to enhance the skillset of students as they consider careers in the field of sales.

The proposed Sales Management Minor includes courses that provide a foundation in marketing knowledge (Econ 202 or 272; Mktg 321), the sales function (AgEc 333 and Mktg 422), an opportunity for hands-on learning, and supporting electives. Students taking the economics courses have the underpinning knowledge to understand the role between the types and quantity of products produced by an organization, prices products sell for, and the effect on income of the organization. Mktg 321 is the marketing course that introduces students to the concept of marketing and the interconnectedness of marketing activities. Introduction to Sales (AgEc 333) introduces students to the sales function and process of personal selling. Sales Management (Mktg 422) emphasizes the management of the sales force and considers topics that includes recruiting, selecting, training, compensating, motivating, supervising, and directing sales staff and managing selling efforts. The Sales Practicum Electives provides students with hand on opportunities to develop sales skills. The Sales Electives allow students to learn more about related fields and support functions that may assist a student considering a career in sales. The Sales Electives have been carefully selected to support training in sales, and includes courses in pricing (Mktg 424), the fields of channel relationships (Mktg 425, Mktg 426, and OM 470) and managing human capital (MHR 417).
We believe the offering of a Sales Management Minor is timely for a number of reasons. Per the US Bureau of Labor statistics, the sales function is identified as a business career with high pay (US Bureau of Labor Statistics; Career Outlook 2016). There is an anticipated annual growth rate of 5% for careers in sales (US Bureau of Labor Statistics; Projection of Occupational Employment, 2014-24) and identified as an occupation having some of the most career openings during the 2016-26 period (US Bureau of Labor Statistics; Projection of Occupational Employment, 2016-26). Additionally, with the right sequence of courses, a student could position themselves in a marketing specialist field (identified as #10 in the Idaho Hot Jobs 2014-24 report). Salaries in the field of sales vary widely, for example, median salary for an insurance sales agent is $48,200 while a sales engineer has median salary of $97,600 (US Bureau of Labor Statistics; Career Outlook 2016). After having completed a Sales Management Minor, students pursuing a non-marketing major may be able to position themselves for a career in sales.

Workload and Admission Requirements

The Sales Management Minor is designed to use existing courses. All College of Business and Economics (CBE) and College of Agricultural and Life Sciences (CALS) courses for the minor exist, have capacity and are offered regularly. The minor is open to all business and non-business students.

Assessment

Each area in the CBE conducts annual reviews to evaluate programs, and this includes the evaluation of courses. The data from these assessments are used to make changes to teaching and learning practices, update courses, and add/drop courses. Faculty in the marketing area will continue to work with faculty in Agricultural Economics to assess AgEc 333.

Name or Degree Change Only Requests

Leave blank if not making a name and/or degree change only request

This section to be completed ONLY for changes to the name of: degree, major, minor, option, emphasis, certificate, teaching endorsement.

Current Name: 

New Name: 

Current Degree: 

New Degree: 

Other Details: 

Effective Date: 

Please indicate if any course or curriculum changes are occurring as a result of this name or degree change request: □ Yes □ No

**Note: A substantive change to a program degree, major, or program component may require a program proposal form.**

If there are accompanying curriculum or course changes, complete the next section and attach the curriculum and/or course forms.

Please indicate whether 25% or more of the program learning outcomes are changing: □ Yes □ No

**Note: If you answered YES to this question, complete the table below:**

<table>
<thead>
<tr>
<th>List Old Learning Outcomes</th>
<th>New Learning Outcome, if changed (if no change, write N/A and move to next outcome)</th>
<th>New Direct Measure (list student work product and explain how it will be evaluated)</th>
<th>Have you updated the assessment cycle to include this change? (yes/no)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SLO#1</td>
<td></td>
<td></td>
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<tr>
<td>SLO#2</td>
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<td>SLO#3</td>
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<td>SLO#4</td>
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<tr>
<td>SLO#5</td>
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Program Component Request

Leave blank if not adding, discontinuing, or modifying a program component. Program components consist of option, emphasis, minor, academic certificate less than 30 credits, or teaching endorsement

Clearly mark all changes to existing program components by using either (1) Track Change or (2) strikethroughs for deletions and underlines for additions. A curriculum change form and/or course approval forms associated with this request are required to be submitted with this short form.

<table>
<thead>
<tr>
<th>X Create New</th>
<th>Discontinue</th>
<th>Implementation Date:</th>
<th>Summer 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Level</td>
<td>X Undergraduate Level</td>
<td>Law Level</td>
<td>Credit Requirement: 18 Credits</td>
</tr>
</tbody>
</table>
Are new courses being created: (circle your response) **No** [Yes]  **If yes**, how many courses will be created: 

If the request is for an option or emphasis, enter the associated major and degree:

<table>
<thead>
<tr>
<th>Major:</th>
<th>CIP Code: 52.1804</th>
<th>Degree:</th>
</tr>
</thead>
</table>

Enter the name of the program component in the appropriate row:

<table>
<thead>
<tr>
<th>Option:</th>
<th>Emphasis:</th>
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<tbody>
<tr>
<td>Minor:</td>
<td>Sales Management Minor</td>
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</table>

<table>
<thead>
<tr>
<th>Academic Certificate less than 30 credits:</th>
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<tbody>
<tr>
<td>Teaching Endorsement (Major/Minor):</td>
</tr>
</tbody>
</table>

Provide a summary/description of the program component using 50 words or less:

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**Learning Outcomes and Assessment Information**

This section must be completed if program component request section is completed

1. List the intended learning outcomes for the program component. Use learner centered statements that indicate what will students know, be able to do, and value or appreciate as a result of completing the program:

**Sales-Oriented Learning Objectives:**

1. Describe the personal selling process.
2. Understand and apply the various techniques of personal selling.
3. Determine the appropriate level of sales effort (through sales management) to meet the objectives of the organization.
4. Develop skills in designing and executing sales management programs.

2. Describe the assessment process that will be used to evaluate how well students are achieving the intended learning outcomes of the program component:

The assessment process includes a combination of evaluating project deliverables, assignments, exams, and presentations. With respect to the Sales-Oriented Learning Objectives, assessment is performed:

- Learning Objectives 1 and 2 are assessed in Mktg 321 and AgEcon 333 using a combination of assignments, exams, and a project. Learning Objectives 3 and 4 are evaluated using assignments, exams, simulation, and reflection paper in Mktg 422. Additional assessment for Learning Objectives 1-4 are done in the Sales Practicum Electives, and will be through the evaluation of work products (typically projects).

3. How will you ensure that the assessment findings will be used to improve the program?

Each area in the CBE conducts annual reviews to evaluate programs, and this includes the evaluation of courses (including those in Sales Minor Option). The data from these assessments are used to make changes to teaching and learning practices, update courses, and add/drop courses. Faculty in the marketing area will continue to work with faculty in Agricultural Economics to assess AgEc 333.

4. What direct and indirect measures will be used to assess student learning?

We will be using direct measures to assess student learning. Here, we will evaluate a combination of project deliverables, assignments, exams, and presentations (Mktg 321, AgEc 333, and Mktg 422). Also, Mktg 422 uses a sales simulation, and students will be evaluated on their performance in the simulation and the reflection paper written after the simulation is completed.

5. When will assessment activities occur and at what frequency?
Assessment is performed for each course each semester.

Distance Education Availability
This section must be completed if program component request section is completed

To comply with the requirements of the Idaho State Board of Education (SBOE) and the Northwest Commission on Colleges and Universities (NWCCU), the University of Idaho must declare whether 50% or more of the curricular requirements of a program may be completed via distance education. If the program component is to be offered via distance education, additional or different formwork may be required. Contact provost@uidaho.edu for assistance.

The U.S. Department of Education defines distance education as follows:
Distance education means education that uses one or more of the technologies listed below to deliver instruction to students who are separated from the instructor and to support regular and substantive interaction between the students and the instructor, either synchronously or asynchronously. The technologies may include--

1. The internet;
2. One-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices;
3. Audio conferencing; or
4. Video cassettes, DVDs, and CD-ROMs, if the cassettes, DVDs, or CD-ROMs are used in a course in conjunction with any of the technologies listed in paragraphs (1) through (3).

Can 50% or more of the curricular requirements of this program component be completed via distance education?  
Yes* X No  

*If Yes, can 100% of the curricular requirements of this program component be completed via distance education? 
Yes No X

Geographical Area Availability
This section must be completed if program component request section is completed

Identify the geographical area(s) this program component can be completed in:

<table>
<thead>
<tr>
<th>Location</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Moscow</td>
<td>X</td>
</tr>
<tr>
<td>Coeur d’Alene</td>
<td></td>
</tr>
<tr>
<td>Boise*</td>
<td></td>
</tr>
<tr>
<td>Idaho Falls*</td>
<td></td>
</tr>
<tr>
<td>Other**</td>
<td>Location(s):</td>
</tr>
</tbody>
</table>

*Note: Programs offered in locations other than Moscow may require additional formwork from the State Board of Education. Contact the Office of the Provost and Executive Vice President for additional information.

**Note: If Other is selected, identify the specific area(s) this program component will be offered.

Required Courses (9 credits)

- AgEc 333 Introduction to Sales
- Mktg 321 Marketing
- Mktg 422 Sales Management

Economics Elective (3-4 credits):

- Econ 202 Principles of Microeconomics
- Econ 272 Foundations of Economic Analysis
Sales Practicum Electives (3 credits)
AgEc 433   Advanced Sales
Bus 429   Vandal Solutions
Mktg 398   Internship

Sales Elective (3 credits)
MHR 417   Deploying and Developing Human Capital
Mktg 424   Pricing Strategy and Tactics
Mktg 425   Retail Distribution Management
Mktg 426   Marketing Channels Management
OM 470   Supply Chain Management

Courses to total 18 or 19 credits for this minor
Note: This minor is not open to students pursuing the B.S. Business Administration, Marketing - Sales Management Option.
PROGRAM COMPONENT (Group B) OR NON-SUBSTANTIVE MINOR REQUEST FORM (Short Form)

Instructions: Please use one form for each request/action. Clearly mark all changes using either (1) Track Change or (2) strikethroughs for deletions and underlines for additions. Following the approval of the appropriate college curriculum committee, the department chair will e-mail the completed form to gracemiller@uidaho.edu.

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Program Component or Name Change Only – Group B -- Updated 8/2017

Program Component or Name Change Only – Group B -- Updated 8/2017

Submission Information
This section must be completed

<table>
<thead>
<tr>
<th>Dept Chair Name:</th>
<th>Scott Metlen</th>
<th>Email:</th>
<th><a href="mailto:metlen@uidaho.edu">metlen@uidaho.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>College:</td>
<td>College of Business and Economics</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department/Unit:</td>
<td>Department of Business</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dept/Unit Approval Date:</td>
<td>Sep 7, 2018</td>
<td>Vote Record:</td>
<td>24-0</td>
</tr>
<tr>
<td>College Approval Date:</td>
<td>Sep 28, 2018</td>
<td>Vote Record:</td>
<td>19-0</td>
</tr>
<tr>
<td>Primary Point of Contact:</td>
<td>Sanjay R. Sisodiya, Marketing Area Coordinator</td>
<td>Email: <a href="mailto:sisodiya@uidaho.edu">sisodiya@uidaho.edu</a></td>
<td></td>
</tr>
<tr>
<td>Briefly describe the change you are requesting:</td>
<td>Addition of Sales Management Option in Marketing</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What is the financial impact of the requested change?

<table>
<thead>
<tr>
<th>Greater than $250,000 per FY:</th>
<th>X</th>
<th>Less than $250,000 per FY:</th>
</tr>
</thead>
</table>

**Note: If financial impact is greater than $250,000, you must complete a Program Proposal form.**

Describe the financial impact: None, as no new courses are being created and using existing capacity in classes being delivered.

Rationale for Program Component Request or Name Change
This section must be completed

Marketing is the set of activities that focus on the interaction between the organization, its products (including goods and services), and its customers. The sales function, a subset of marketing activities, includes the art of selling products and managing the sales activities of the organization. Many organizations struggle with their sales efforts whereby as many as 80% of marketers indicate sales efforts can be only slightly or somewhat effective (BrightTalk, 2015). With the importance of the sales function driving revenue and the growth of revenue, it is imperative that firms employ individuals that have the skillset to be successful in sales. Unfortunately, the rate at which individuals are being hired in sales is not keeping up with the rate at which new positions are being offered (Forbes, 2014). Additionally, from conversations with employers of our students (e.g., Gallo, Stryker, CES, Farmer’s Insurance, Silvaris) it is apparent there is a market demand for students trained in the field of sales. The proposed Sales Management Option is intended to provide students with a mechanism to build knowledge and differentiate themselves from the competition when they seek employment in the marketplace.

Upon graduating, over 50% of business graduates in the US enter the work forces in some form of a sales function (salesfoundation.org, 2018). Additionally, there is market demand for sales occupation, as there is a 5% annual growth rate for sales positions (US Bureau of Labor Statistics; Projection of Occupational Employment, 2014-24) and is a career option that has some of the most career openings during the 2016-26 period (US Bureau of Labor Statistics; Projection of Occupational Employment, 2016-26). If a student identifies a particular domain to specialize, they could possibly position themselves as marketing specialist (identified as #10 in the Idaho Hot Jobs 2014-24 report). Salaries in the field of sales vary widely, for example, median salary for an insurance sales agent is $48,200 while a sales engineer has median salary of $97,600 (US Bureau of Labor Statistics; Career Outlook 2016).

“New sales leaders need skills different than those of an earlier generation – skills essential for interpreting new data, leveraging technology, and aligning their organizations with shifting customer and market requirements” (Salesmanagement.org). By enhancing marketing education with a Sales Management Option, students are better able to differentiate themselves from other...
Marketers seeking these same positions. Students graduating from sales programs, on average, have a 90% placement rate within two years of graduation (salesfoundation.org).

Those individuals with a college degree who increase their managerial responsibilities as they progress down the track of sales managers earn a median salary of $51.98 per hour when compared to marketing executives who have a median salary of $44.66 (Forbes, 2014). Thus graduates who have a sales based education not only have the skillsets to better prepare themselves for careers in sales, but also have the potential to earn higher salaries. While there is a market demand for sales training, only 3% of universities in the US have recognized sales training programs (salesfoundation.org, 2018).

“To optimize their sales channels and drive greater levels of revenue, companies around the globe are closely aligning their strategic priorities, go-to-market initiatives, and on-the-ground sales forces.” (hbs.org) Aligning Strategy and Sales executive education series from Harvard Business School highlights the market need for programs that tie sales education to the alignment of strategic goals of the organization. Since all University of Idaho marketing students take courses in consumer behavior, market research, and marketing strategy, they have developed the foundational knowledge to align marketing activities to organizational goals and objectives. Augmenting this foundation with sales specific courses and other supporting electives to help strengthen the skillset of students pursuing this Sales Management Option, students have a sounder grasp of the sales function in enhancing organizational outcomes.

All College of Business and Economics (CBE) students pursuing the BS Business degree have a common business core. The proposed Sales Management Option within Marketing is intended to provide students with a comprehensive educational foundation in core marketing courses (Mktg 324, 421, and 428) aligned with courses spanning the sales function (AgEcon 333 and Mktg 422), an opportunity for hands-on learning, and supporting electives. Introduction to Sales (AgEcon 333) introduces students to the sales function and the process of personal selling. Sales Management (Mktg 422) emphasizes the management of the sales force and considers topics that includes recruiting, selecting, training, compensating, motivating, supervising, and directing sales staff and managing selling efforts. The Sales Practicum electives provides students with hand on opportunities to develop sales skills. These very skills not only allow students to practice what they are learning, but can also serve as points of discussion when interviewing for careers in sales. The Sales Elective allows students to learn more about related fields and support functions that may assist someone considering a career in sales. The Sales Electives have been carefully selected to support training in sales, and includes courses in pricing (Mktg 424), the fields of channel relationships (Mktg 425, Mktg 426, and OM 470) and managing human capital (MHR 417).

The importance of connecting the sales function to marketing is clear, as sales is a sub-field of the promotions element of the marketing mix (Kotler and Armstrong, 2017). Thus when we combine the strength of the marketing major with sales course offerings, we can better help prepare students for careers in sales. The core of the business degree stresses the interconnectedness of business functions, and sales people will work with individuals from a variety of disciplines within in business. A sound understanding of these various domains will enable students to be able to “speak the speak” of these fields. Additionally, all marketing students are required to take a course in each of consumer behavior, market research, and marketing management. Here they will have a common core foundation in marketing topics, and will then be able to consider managerial implications in Mktg 422 and Mktg 428.

Students completing this Sales Management Option have the ability to seek sales employment in a wide array of industries with roles in business-to-consumer and business-to-business. A majority of students will be in a role involving personal selling (business-to-consumer or business-to-business), and then through experience, may transition to sales manager roles. US News ranks the role of Sales Manager as being the second best career within Sales and Marketing, with the occupation of Insurance Sales Agent being the third best (US News 2018). This analysis is based on the projection of jobs, median salary, and unemployment rate in the field.

Workload and Admission Requirements

The Marketing-Sales Management Option is designed to use existing courses. All CBE and College of Agricultural and Life Sciences (CALS) courses for the Sales Management Option exist, have capacity and are offered regularly. The Sales Management Option has the same admission requirements as those that exist for entry into the CBE.

Assessment

Each area in the CBE conducts annual reviews to evaluate programs, and this includes the evaluation of courses. The data from these assessments are used to make changes to teaching and learning practices, update courses, and add/drop courses. Faculty in the marketing area will continue to work with faculty in Agricultural Economics to assess AgEc 333.

Name or Degree Change Only Requests

This section to be completed ONLY for changes to the name of: degree, major, minor, option, emphasis, certificate, teaching endorsement.

Current Name:
New Name: 

Current Degree: 

New Degree: 

Other Details: 

Effective Date: 

Please indicate if any course or curriculum changes are occurring as a result of this name or degree change request: □ Yes □ No

If there are accompanying curriculum or course changes, complete the next section and attach the curriculum and/or course forms. **Note: A substantive change to a program degree, major, or program component may require a program proposal form.**

Please indicate whether 25% or more of the program learning outcomes are changing: □ Yes □ No **Note: If you answered YES to this question, complete the table below:**

<table>
<thead>
<tr>
<th>SLO#</th>
<th>List Old Learning Outcomes</th>
<th>New Learning Outcome, if changed (if no change, write N/A and move to next outcome)</th>
<th>New Direct Measure (list student work product and explain how it will be evaluated)</th>
<th>Have you updated the assessment cycle to include this change? (yes/no)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SLO#1</td>
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<tr>
<td>SLO#2</td>
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<td>SLO#3</td>
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<tr>
<td>SLO#4</td>
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<tr>
<td>SLO#5</td>
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</tbody>
</table>

**Program Component Request**

Leave blank if not adding, discontinuing, or modifying a program component. Program components consist of option, emphasis, minor, academic certificate less than 30 credits, or teaching endorsement

Clearly mark all changes to existing program components by using either (1) Track Change or (2) strikethroughs for deletions and underlines for additions. A curriculum change form and/or course approval forms associated with this request are required to be submitted with this short form.

<table>
<thead>
<tr>
<th>X</th>
<th>Create New</th>
<th>Discontinue</th>
<th>Implementation Date:</th>
<th>Summer 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Graduate Level</td>
<td>X</td>
<td>Undergraduate Level</td>
<td>Law Level</td>
</tr>
</tbody>
</table>

Are new courses being created: (circle your response) □ No □ Yes **If yes, how many courses will be created:**

If the request is for an option or emphasis, enter the associated major and degree:

| Major: Marketing | CIP Code: 52.1401 | Degree: BS Business |

Enter the name of the program component in the appropriate row:

<table>
<thead>
<tr>
<th>Option: Sales Management Option</th>
<th>Emphasis:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minor:</td>
<td>Academic Certificate less than 30 credits:</td>
</tr>
<tr>
<td>Teaching Endorsement (Major/Minor):</td>
<td></td>
</tr>
</tbody>
</table>

Provide a summary/description of the program component using 50 words or less:

The Sales Management Minor is open to business and non-business students prepares them for a career in sales. Academic coursework includes marketing, economics, personal selling, sales management, a practicum, and electives.

Learning Outcomes and Assessment Information

This section must be completed if program component request section is completed
1. List the intended learning outcomes for the program component. Use learner centered statements that indicate what will students know, be able to do, and value or appreciate as a result of completing the program:

**Sales-Oriented Learning Objectives:**
1. Describe the personal selling process.
2. Understand and apply the various techniques of personal selling.
3. Determine the appropriate level of sales effort (through sales management) to meet the objectives of the organization.
4. Develop skills in designing and executing sales management programs.

**Marketing-Oriented Learning Objectives:**
1. Develop skills in designing and executing consumer research to address specific marketing questions.
2. Determine the appropriate level, scope, and depth of information required for decision making.
3. Understand difference between marketing strategy and marketing mix.

2. Describe the assessment process that will be used to evaluate how well students are achieving the intended learning outcomes of the program component:

The assessment process includes a combination of evaluating project deliverables, assignments, exams, and presentations.

With respect to the Sales-Oriented Learning Objectives, assessment is performed:

Learning Objectives 1 and 2 are assessed in Mktg 321 and AgEcon 333 using a combination of assignments, exams, and a project. Learning Objectives 3 and 4 are evaluated using assignments, exams, simulation, and reflection paper in Mktg 422. Additional assessment for Learning Objectives 1-4 are done in the Sales Practicum Electives, and will be through the evaluation of work products (typically projects).

With respect to the Marketing-Oriented Learning Objectives, assessment is performed:

The student learning outcomes in marketing are based on knowledge obtained in the three core marketing courses that all marketing majors must complete regardless of their option or emphasis. Learning Objective 1 is measured primarily in Mktg 324 using exams. Learning Objective 2 is measured using exams and assignments in Mktg 421. Learning Objective 3 is measured in Mktg 428 primarily using exams. Data will be gathered in each course during both semesters of the academic year.

3. How will you ensure that the assessment findings will be used to improve the program?

Each area in the CBE conducts annual reviews to evaluate programs, and this includes the evaluation of courses (including those in Sales Management Option). The data from these assessments are used to make changes to teaching and learning practices, update courses, and add/drop courses. Faculty in the marketing area will continue to work with faculty in Agricultural Economics to assess AgEc 333.

4. What direct and indirect measures will be used to assess student learning?

We will be using direct measures to assess student learning. Here, we will evaluate a combination of project deliverables, assignments, exams, and presentations (Mktg 321, AgEc 333, and Mktg 422). Also, Mktg 422 uses a sales simulation, and students will be evaluated on their performance in the simulation and the reflection paper written after the simulation is completed.

5. When will assessment activities occur and at what frequency?

Assessment is performed for each course each semester.

**Distance Education Availability**

This section must be completed if program component request section is completed

To comply with the requirements of the Idaho State Board of Education (SBOE) and the Northwest Commission on Colleges and Universities (NWCCU), the University of Idaho must declare whether 50% or more of the curricular requirements of a program may be completed via distance education. **If the program component is to be offered via distance education, additional or different formwork may be required.** Contact provost@uidaho.edu for assistance.

The U.S. Department of Education defines distance education as follows:

*Distance education means education that uses one or more of the technologies listed below to deliver instruction to students who are*...
separated from the instructor and to support regular and substantive interaction between the students and the instructor, either synchronously or asynchronously. The technologies may include--

1. The internet;
2. One-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices;
3. Audio conferencing; or
4. Video cassettes, DVDs, and CD-ROMs, if the cassettes, DVDs, or CD-ROMs are used in a course in conjunction with any of the technologies listed in paragraphs (1) through (3).

Can 50% or more of the curricular requirements of this program component be completed via distance education? Yes* | No | X

*If Yes, can 100% of the curricular requirements of this program component be completed via distance education? Yes | No

Geographical Area Availability

Identify the geographical area(s) this program component can be completed in:

| Moscow | X |
| Coeur d’Alene |
| Boise* |
| Idaho Falls* |
| Other** Location(s): |

*Note: Programs offered in locations other than Moscow may require additional formwork from the State Board of Education. Contact the Office of the Provost and Executive Vice President for additional information.

**Note: If Other is selected, identify the specific area(s) this program component will be offered.

B. Sales Management Option

AGEC 333 Introduction to Sales 3
MKTG 422 Sales Management 3

Sales Practicum/Sales Internship/Vandal Solutions

Select 3 credits from the following: 3
AGEC 433 Advanced Sales
BUS 429 Vandal Solutions (Max 6 credits)
MKTG 398 Internship

Sales Electives

Select 6 credits from the following: 6
MHR 417 Deploying and Developing Human Capital
MKTG 424 Pricing Strategy and Tactics
MKTG 425 Retail Distribution Mgmnt
MKTG 426 Marketing Channels Management
OM 470 Supply Chain Management

Total Hours 15
Courses to total 120 credits for this degree
## PROPOSAL TO CREATE MINOR IN PHILOSOPHY, POLITICS, AND ECONOMICS

**CURRICULUM:**

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credits</th>
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</thead>
<tbody>
<tr>
<td>PHIL 103</td>
<td>Introduction to Ethics</td>
<td>3</td>
</tr>
<tr>
<td>OR PHIL 208</td>
<td>Business Ethics</td>
<td></td>
</tr>
<tr>
<td>POLS 101</td>
<td>American National Government</td>
<td>3</td>
</tr>
<tr>
<td>OR POLS 205</td>
<td>Introduction to Comparative Politics</td>
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<tr>
<td>OR POLS 237</td>
<td>Introduction to International Politics</td>
<td></td>
</tr>
<tr>
<td>ECON 201</td>
<td>Principles of Macroeconomics</td>
<td>4-6</td>
</tr>
<tr>
<td>&amp; 202</td>
<td>&amp; Principles of Microeconomics</td>
<td></td>
</tr>
<tr>
<td>OR ECON 272</td>
<td>Foundations of Economic Analysis</td>
<td></td>
</tr>
<tr>
<td>PHIL 352</td>
<td>Philosophy, Politics, and Economics</td>
<td>3</td>
</tr>
<tr>
<td>/POLIS</td>
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<td></td>
<td>One upper-division (300 level or above) course in PHIL</td>
<td>3</td>
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<tr>
<td></td>
<td>One upper-division (300 level or above) course in POLS</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>One upper-division (300 level or above) course in ECON</td>
<td>3</td>
</tr>
</tbody>
</table>

*Courses to total 22 or 24 credits*
PROGRAM COMPONENT (Group B) OR NON-SUBSTANTIVE MINOR REQUEST FORM (Short Form)

Instructions: Please use one form for each request/action. Clearly mark all changes using either (1) Track Change or (2) strikethroughs for deletions and underlines for additions. Following the approval of the appropriate college curriculum committee, the department chair will e-mail the completed form to gracemiller@uidaho.edu.

Deadline: This form must be submitted by October 1 for inclusion in the next available General Catalog and to be available for scheduling beginning with the next summer session.

When applicable, a Curriculum Change Form and Course Approval Forms must accompany the short form.

Submission Information

This section must be completed

<table>
<thead>
<tr>
<th>Dept Chair Name:</th>
<th>Graham Hubbs</th>
<th>Email: <a href="mailto:hubbs@uidaho.edu">hubbs@uidaho.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>College:</td>
<td>CLASS</td>
<td></td>
</tr>
<tr>
<td>Department/Unit:</td>
<td>Politics and Philosophy</td>
<td></td>
</tr>
<tr>
<td>Dept/Unit Approval Date:</td>
<td>8/30/18</td>
<td>Vote Record: Affiliated faculty 6 Y, 0 N</td>
</tr>
<tr>
<td>College Approval Date:</td>
<td>Sept. 19, 2018</td>
<td>Vote Record: 9 Y, 0 N</td>
</tr>
<tr>
<td>Primary Point of Contact:</td>
<td>Graham Hubbs</td>
<td>Email: <a href="mailto:hubbs@uidaho.edu">hubbs@uidaho.edu</a></td>
</tr>
<tr>
<td>Briefly describe the change you are requesting:</td>
<td>New minor in Philosophy, Politics, and Economics</td>
<td></td>
</tr>
</tbody>
</table>

What is the financial impact of the requested change?

| Greater than $250,000 per FY: | X | Less than $250,000 per FY: |

**Note: If financial impact is greater than $250,000, you must complete a Program Proposal form.**

Describe the financial impact: No negative impact. The curriculum for the minor comprises only courses that are already being taught.

Rationale for Program Component Request or Name Change

This section must be completed

Explain the change you are requesting, and provide a rationale for this request. Include an explanation of how the department will manage the added workload for a new program component; describe whether the program component curriculum and admissions requirements remain the same; describe the rational for a name change or degree designation change, if applicable.

Institutional Enhancement and Regional Competitive Advantage.

The minor in Philosophy, Politics, and Economics (PPE) will give students in each of the three home disciplines—Philosophy, Political Science, and Economics—an opportunity to enrich their disciplinary experience through this cross-disciplinary minor. PPE programs attract some of the best students at other elite universities across the country, including Duke University, the University of North Carolina (Chapel Hill), Yale University, the University of Pennsylvania, the University of Massachusetts (Amherst), and Virginia Polytechnic Institute, to name just a few. The PPE minor will give students at UI an opportunity that students at these and other universities enjoy to engage and transform (see below). It will provide a competitive advantage to UI, as there currently no other PPE programs in the state or the region (the nearest programs are at Western Washington University and University of Washington (Tacoma)). The minor will require no additional resources, as its curriculum comprises courses already offered.

Strategic Plan

The proposed minor aligns with the second and third goals of the University’s Strategic Plan. Students in the minor will increase their engagement, developing the skills to make ethically reasoned, politically informed, economically sensitive decisions in their communities and their careers. It will provide an opportunity for transformative educational experiences by integrating the concepts and methods of the three disciplines. This integration supports a strong sense of social and personal responsibility, as it will give them a better understanding of the economic, political, and ethical dimensions of the institutions that shape contemporary global society.
Name or Degree Change Only Requests
Leave blank if not making a name and/or degree change only request
This section to be completed ONLY for changes to the name of: degree, major, minor, option, emphasis, certificate, teaching endorsement.

<table>
<thead>
<tr>
<th>Current Name:</th>
<th></th>
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<tbody>
<tr>
<td>New Name:</td>
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</tr>
<tr>
<td>Current Degree:</td>
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<tr>
<td>New Degree:</td>
<td></td>
</tr>
<tr>
<td>Other Details:</td>
<td></td>
</tr>
<tr>
<td>Effective Date:</td>
<td></td>
</tr>
</tbody>
</table>

Please indicate if any course or curriculum changes are occurring as a result of this name or degree change request: □ Yes □ No
If there are accompanying curriculum or course changes, complete the next section and attach the curriculum and/or course forms.
**Note: A substantive change to a program degree, major, or program component may require a program proposal form.

Please indicate whether 25% or more of the program learning outcomes are changing: □ Yes □ No
**Note: If you answered YES to this question, complete the table below:


<table>
<thead>
<tr>
<th>List Old Learning Outcomes</th>
<th>New Learning Outcome, if changed (if no change, write N/A and move to next outcome)</th>
<th>New Direct Measure (list student work product and explain how it will be evaluated)</th>
<th>Have you updated the assessment cycle to include this change? (yes/no)</th>
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<tbody>
<tr>
<td>SLO#1</td>
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</tr>
<tr>
<td>SLO#5</td>
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</tr>
</tbody>
</table>

Program Component Request
Leave blank if not adding, discontinuing, or modifying a program component. Program components consist of option, emphasis, minor, academic certificate less than 30 credits, or teaching endorsement.

Clearly mark all changes to existing program components by using either (1) Track Change or (2) strikethroughs for deletions and underlines for additions. A curriculum change form and/or course approval forms associated with this request are required to be submitted with this short form.

X Create New Discontinue Implementation Date: August 2019

Graduate Level X Undergraduate Level Law Level Credit Requirement:

Are new courses being created: (circle your response) □ Yes □ If yes, how many courses will be created: No

If the request is for an option or emphasis, enter the associated major and degree:

<table>
<thead>
<tr>
<th>Major:</th>
<th>CIP Code: 45.1004</th>
<th>Degree:</th>
</tr>
</thead>
</table>

Enter the name of the program component in the appropriate row:

<table>
<thead>
<tr>
<th>Option:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Emphasis:</td>
<td></td>
</tr>
<tr>
<td>Minor: Philosophy, Politics, and Economics</td>
<td></td>
</tr>
<tr>
<td>Academic Certificate less than 30 credits:</td>
<td></td>
</tr>
<tr>
<td>Teaching Endorsement (Major/Minor):</td>
<td></td>
</tr>
</tbody>
</table>

Provide a summary/description of the program component using 50 words or less:
This minor will provide an interdisciplinary integration of philosophy, politics, and economics. It will pursue the mission of the PPE Society, which is “to encourage the interaction and cross-fertilization of three intellectual disciplines that are, in their history, deeply intertwined and that now, and going forward, have much to offer one another.”

### Learning Outcomes and Assessment Information

This section must be completed if program component request section is completed

<table>
<thead>
<tr>
<th>1. List the intended learning outcomes for the program component. Use learner centered statements that indicate what will students know, be able to do, and value or appreciate as a result of completing the program:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Learn and Integrate:</strong> Students will be able to integrate the methods of Philosophy, Political Science, and Economics to study policies, institutions, current events, and decisions in their personal lives.</td>
</tr>
<tr>
<td><strong>Think and create:</strong> Students will be able to discuss the ethical, political, and economic aspects of contemporary global society from a variety of disciplinary perspectives.</td>
</tr>
<tr>
<td><strong>Communicate:</strong> Students will be able to communicate effectively about topics related to politics, ethics, and economics through oral, written, and visual formats.</td>
</tr>
<tr>
<td><strong>Clarify purpose and perspective:</strong> Students will be able to explain their own social responsibilities within their economic and political contexts.</td>
</tr>
<tr>
<td><strong>Practice Citizenship:</strong> Students will be able to explain the interconnected ethical, political, and economic contexts that define our current global society.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Describe the assessment process that will be used to evaluate how well students are achieving the intended learning outcomes of the program component:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Each course offered through the minor will continue to be assessed as it has been historically; we will continue to use current assessment tools to verify the quality of affiliated courses. These are completed at the department level and include feedback from students. Further, the program director will be tasked, in part, with monitoring the quality of the courses and instructors affiliated with the program.</td>
</tr>
<tr>
<td>Further, the director of the program will be tasked with completing an annual assessment through the college and university. This will include developing and disseminating assessment protocols (pre and post tests) to students as they enter and exit the program.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. How will you ensure that the assessment findings will be used to improve the program?</th>
</tr>
</thead>
<tbody>
<tr>
<td>The affiliated faculty will meet each semester to discuss the program and implement needed improvements. The director will be tasked with implementing changes as weaknesses become evident. This will be completed in conjunction with the affiliated faculty.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4. What direct and indirect measures will be used to assess student learning?</th>
</tr>
</thead>
<tbody>
<tr>
<td>The director of the program will develop an assessment tool that will be distributed to students in the gateway course, PHIL 350/POLS 350. It will then be given to people graduating with the minor in order to evaluate the success the minor has had in reaching the learning outcomes outlined above.</td>
</tr>
<tr>
<td>The director will also periodically facilitate a third party’s construction of focus groups and interviews with students to evaluate areas needing improvement.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. When will assessment activities occur and at what frequency?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-tests will be completed each year in PHIL 350/POLS 350. Post-tests will be provided to graduating seniors who have completed the minor. These tests will measure integrated knowledge of Philosophy, Political Science, and Economics. They will also evaluate students’ understandings of the primary methods of each of these disciplines. Interviews or focus groups with enrolled students will occur annually. There will be a faculty meeting every semester.</td>
</tr>
</tbody>
</table>
Distance Education Availability
This section must be completed if program component request section is completed

To comply with the requirements of the Idaho State Board of Education (SBOE) and the Northwest Commission on Colleges and Universities (NWCCU), the University of Idaho must declare whether 50% or more of the curricular requirements of a program may be completed via distance education. **If the program component is to be offered via distance education, additional or different formwork may be required.** Contact provost@uidaho.edu for assistance.

The U.S. Department of Education defines distance education as follows:
**Distance education means education that uses one or more of the technologies listed below to deliver instruction to students who are separated from the instructor and to support regular and substantive interaction between the students and the instructor, either synchronously or asynchronously. The technologies may include:**

1. The internet;
2. One-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices;
3. Audio conferencing; or
4. Video cassettes, DVDs, and CD-ROMs, if the cassettes, DVDs, or CD-ROMs are used in a course in conjunction with any of the technologies listed in paragraphs (1) through (3).

Can 50% or more of the curricular requirements of this program component be completed via distance education?  
<table>
<thead>
<tr>
<th>Yes*</th>
<th>No</th>
<th>X</th>
</tr>
</thead>
</table>

*If Yes, can 100% of the curricular requirements of this program component be completed via distance education?  
<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>X</th>
</tr>
</thead>
</table>

Geographical Area Availability
This section must be completed if program component request section is completed

Identify the geographical area(s) this program component can be completed in:

<table>
<thead>
<tr>
<th>Moscow</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coeur d’Alene</td>
<td></td>
</tr>
<tr>
<td>Boise*</td>
<td></td>
</tr>
<tr>
<td>Idaho Falls*</td>
<td></td>
</tr>
<tr>
<td>Other**</td>
<td>Location(s):</td>
</tr>
</tbody>
</table>

*Note: Programs offered in locations other than Moscow may require additional formwork from the State Board of Education. Contact the Office of the Provost and Executive Vice President for additional information.

**Note: If Other is selected, identify the specific area(s) this program component will be offered.
POLICY COVER SHEET
(See Faculty Staff Handbook 1460 for instructions at UI policy website: www.webs.uidaho.edu/uipolicy)

[3/09]

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

Chapter & Title: ________________________________________________________

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 or fsh@uidaho.edu respectively.

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

Originator(s): Sarah Martonick 5/15/2017
(Please see FSH 1460 C)

Telephone & Email: 208-885-2145 smartonick@uidaho.edu

Policy Sponsor: (If different than originator.) Casey Inge

Telephone & Email: 208-364-4584 cinge@uidaho.edu

Reviewed by General Counsel _X__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.

If not a minor amendment forward to: ____________________________________________

Track # ____________

Date Rec.: _____________

Posted: t-sheet ______

h/c ___________

web ___________

Register:  ______________

(Office Use Only)

Policy Coordinator

Appr. & Date: ____________________

[Office Use Only]

FSH

Appr. _______________

FC _______________

GFM _______________

Pres./Prov. ___________

[Office Use Only]

APM

F&A Appr.: ___________

[Office Use Only]
A. General.

A-1. Early Setup. Frequently, a Principal Investigators ("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 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 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 PI (or unit/college) may request that OSP budget funds in advance allow expenditures beyond the current allocation or end-date or extend the termination date of 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 interruption and 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 proposal. These may take the form of:
- a grant notice, which may or may not require signature by the University; additional 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 budget, 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 is typically the granting or contracting officer; for the University, the authorized 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 an 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 generally established for up to ninety (90) days and twenty-five percent (25%) of an the expected first year's annual funding increment.

- 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 or 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, 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 expenditure 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 all project advance funding approval is to be provided written to OSP from the Dean, Provost,
dean, or 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-32. Non-Receipt of Award Within 90 Days. Barring extenuating circumstances and the approval decision of the Director of OSP or his/her designee to do otherwise, if an official award document or 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 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.
POLICY COVER SHEET

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

[3/09]

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

Minor Amendment □
Chapter & Title: APM 45.06

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

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

Originator(s): Kris Freitag 12-7-18
(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 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.
https://www.uidaho.edu/research/faculty/manage-award/guide/managing-transactional
https://www.uidaho.edu/research/faculty/dga#accordion-row-3e3a13cb-4747-4f4a-a17f-f5d6213d5bc6-
https://www.uidaho.edu/research/faculty/manage-award/guide/budget/unallowable-expenses

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: ____________________________________________
Track #: __________________Date Rec.: __________________
Posted: t-sheet ______________h/c __________________
web __________________
Register: __________________(Office Use Only)

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

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

APM
F&A Appr.: ______________
[Office Use Only]
45.06  Allowable and Unallowable Sponsored Project Expenditures
January 18, 2012December 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 (or 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(bc)).

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). 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.

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 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 cost 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 requirements. The primary responsibility for ensuring that only proper expenditures are charged to sponsored project budgets rests with the Principal Investigator (PI). The Office of Sponsored Programs (OSP) is responsible for monitoring adherence to all federal, state, and other cost-related restrictions on sponsored projects via the methods detailed in Section D.

B-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 unallowable 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 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 be taken on the project on which it was earned, during the time period of the 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 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. Check 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.

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 contractually 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 subcontractor requests for payment-invoices (invoices) must be approved by both the PI and OSP prior to being charged against the purchase order.
• Cumulative amount invoices 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 review 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.
POLICY COVER SHEET

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

[3/09]

**Faculty/Staff Handbook [FSH]**
- □ Addition
- □ Revision*
- □ Deletion*
- □ Emergency

**Chapter & Title:**

**Administrative Procedures Manual [APM]**
- □ Addition X Revision*
- □ Deletion*
- □ Emergency

**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 or fsh@uidaho.edu respectively.

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

**Originator(s):** Kris Freitag 12/2/2018

(See FSH 1460 C)

**Telephone & Email:** 208-885-8994 kfreitag@uidaho.edu

**Policy Sponsor:** Deborah N Shaver

**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: __________________________________________

Track # ____________
Date Rec.: _____________
Posted: t-sheet ________
h/c ___________
web _________
Register: ______________

(Office Use Only)

**Policy Coordinator**

**Appr. & Date:**

[Office Use Only]

**FSH**

**Appr.**

**FC**

**GFM**

**Pres./Prov.**

[Office Use Only]

**APM**

**F&A Appr.:**

[Office Use Only]

**Pres./Prov.**

[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 committed as cost share on a project, they must complete an Effort 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. 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)

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

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 or fsh@uidaho.edu respectively.

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

Originator(s): Kris Freitag 12-7-18
(Please see FSH 1460 C)
Name Date
208-885-8994 kfreitag@uidaho.edu
Telephone & Email:

Policy Sponsor: (If different than originator.) Deborah N Shaver
Name Date
208 885 6651 osp@uidaho.edu
Telephone & Email:

Reviewed by General Counsel _x_ 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: ____________________________
Track # ____________ Date Rec.: _____________
Posted: t-sheet h/c ___________
web ___________
Register: ____________________________ (Office Use Only)

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

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

APM
F&A Appr.: ____________
[Office Use Only]
45.09 -- Effort Reporting and Personnel Activity Reports (PARs)
January 18, 2012December 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 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 is the time spent in pursuit of a particular activity and is expressed as the percentage of one's University appointment devoted to one or more activities.

B-3BA-32. Effort Reporting: Effort Reporting is the process through which the University verifies and documents that the effort expended by an employee 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 the annual compensation paid by the University for the appointment of 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 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)

B-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 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, §110 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, §110 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, §110b(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, §110b(2)(b)

c) 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.

D. Process/ProceduresPolicy. 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.

c) In consultation with the employee, the Grant Administrator (GA) provides the cost shared effort to be included.

DC-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) Faculty 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]

C-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.
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.

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.

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.

The mechanism by which effort is verified and reported is the University of Idaho Personnel Activity Report (PAR).

- The electronic PAR system is located in the University of Idaho VandalWeb System.
- Instructions and training on PARs is available on the Training tab of the OSP website.
- In consultation with the employee and PI, the GA provides the cost-shared effort to be included in effort reports.
- 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.

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.

- 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.

- PARs must be completed within 30 working days of the date they are released for completion.

- 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 **/**/****.”

- 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.

c) 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-21 110(c)(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.
POLICY COVER SHEET
(See Faculty Staff Handbook 1460 for instructions at UI policy website: www.webs.uidaho.edu/uipolicy)

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

Originator(s): Kris Freitag 12-7-18
(Please see FSH 1460 C)
Name Date

Telephone & Email: 208-885-8994 kfreitag@uidaho.edu

Policy Sponsor: Deborah N Shaver
(If different than originator.)
Name Date
Telephone & Email: 208 885 6651 osp@uidaho.edu

Reviewed by General Counsel __x 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:
[Office Use Only]

FSH
Appr.: ____________
FC ____________
GFM ____________
Pres./Prov. ____________
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Track # ____________
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(Office Use Only)
45.10 -- Facilities and Administrative (Indirect) Rate
January-December 2018 - 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 supply 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 – 6th 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
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.

**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 underalso 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)

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Chapter & Title: 

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

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

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<th>Originator(s):</th>
<th>Heather Nelson</th>
<th>12/10/2018</th>
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<td>Telephone &amp; Email:</td>
<td>208-885-6680 <a href="mailto:hnelson@uidaho.edu">hnelson@uidaho.edu</a></td>
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<td>Telephone &amp; Email:</td>
<td>208 885 6651 <a href="mailto:osp@uidaho.edu">osp@uidaho.edu</a></td>
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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]

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.
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 to include final technical reports, billing 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, it is important that closeout activities are finalized in a timely manner.

B. Policy. It is the policy of the University to prepare and submit all required closeout documents within the time period specified by the terms and conditions of the award document. Beginning approximately three (3) months prior to the award termination, OSP will provide departments/units and PIs notifications beginning approximately three (3) months prior to the award termination. Each notification will 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.

C. Process/Procedures. Departmental grant administrators (DGAs) and PIs should work together to review and verify 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 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:

CB-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 shall notify OSP immediately.

CB-2. Expense Changes. Information on additional expenses that have not yet posted to Banner should be included on the final invoice, and any revised circumstances should be submitted to the OSP Financial Unit by the due date specified in the “notice to final invoice” emailed at award termination.

B-2. CB-3. No Changes Required. If there are no corrections, the final invoice and financial report (if required) will be prepared from the information available in Banner. The DGA must verify the accuracy of the Banner numbers to the OSP Financial Unit by the due date specified in the “notice to final invoice” 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.

CB-43. 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.
**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:

- **Original Proposal(*) 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)

**C-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.
**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))

### Faculty/Staff Handbook [FSH]
- □ Addition
- □ Revision*
- □ Deletion*
- □ Emergency

**Minor Amendment**

**Chapter & Title:**

### Administrative Procedures Manual [APM]
- □ Addition X Revision*
- □ Deletion*
- □ Emergency

**Minor Amendment**

**Chapter & Title:** APM 45.13

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

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**Originator(s):** Heather Nelson 12/22/2014  
(Please see FSH 1460 C)  
**Telephone & Email:** 208-885-6680 hnelson@uidaho.edu

**Policy Sponsor:** (If different than originator.) Deborah N Shaver  
**Telephone & Email:** 208 885 6651 osp@uidaho.edu

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**Reviewed by General Counsel**  
___Yes ___X__ No  Name & Date: ___________________________________

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**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.**

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

None.

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

None.

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**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.

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If not a minor amendment forward to: _______________________________________

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**Policy Coordinator**

**Appr. & Date:**

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**APM**

**F&A Appr.:_______**

[Office Use Only]
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 Code of Federal Regulations (245 CFR, §74.2), or such subsequent guidance as may become effective, 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. [repl. 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 that is directly generated by a supported activity or earned as a result of the federal award during the period of performance sponsored 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 24(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.) ([OMB A-110, Section 24(h), 2 CFR §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 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 Federal awarding agency does not specify in its regulations or the terms and conditions of the award how program income is to be used, the additive method shall apply automatically to all projects or programs except research. For awards that support research, the deductive 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 (XXXK99P) 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 fund ending in “P” 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 budget. [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 budget fund. [rev. 9-09, ed. 1-12, 12-18]
- OSP will verify that only allowable costs are charged to the program income budget. [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. [add. 1-12]
POLICY COVER SHEET
(See Faculty Staff Handbook 1460 for instructions at UI policy website: www.webs.uidaho.edu/uipolicy)

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<td>Chapter &amp; Title:</td>
<td>APM 45.14</td>
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All policies must be reviewed, approved and returned by a policy sponsor, with a cover sheet attached to apm@uidaho.edu or fsh@uidaho.edu respectively.

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

Originator(s): Sarah Martonick 5/15/2017
(Please see FSH 1460 C)
Telephone & Email: 208-885-2145 smartonick@uidaho.edu
Policy Sponsor: Deborah N Shaver
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 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.

If not a minor amendment forward to: ____________________________________________
Track # ____________  Date Rec.: ____________
Posted: t-sheet ____________  h/c ____________  web ____________
Register: ______________  (Office Use Only)
45.14 -- Sponsored Projects Changes Requiring Prior Approval from Sponsor

December 2018

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 change to the period of performance;

- 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.);

- 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 requires a justification from the PI to confirm the scope of work is not changing (whether or not sponsor approval is required).

- Rebudgeting of participant support costs;

- A change to the approved scope of work, project methodology, or objectives, or deliverables;

- 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);

- 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 the applicable regulations of the sponsoring agency award (e.g. some equipment purchases, sub-award 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 determined by your specific award terms and conditions and by the general terms and conditions.
applicable regulations of the sponsoring entity. For certain sponsors, there is also a prior approvals matrix that defines the specific requirements for those sponsors of research terms addressing the requirements of many federal sponsors. This 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 recommended 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, requests for extensions of time must be submitted a minimum of five (5) working days prior to the sponsor submission 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 approval of any other changes must be received by OSP and approved by the authorized official of the sponsor prior to the requested effective date of the change. Note that some sponsors require more than 30 days advance notice.

Requests that are received after the fact require approval by the Vice President for Research and Economic Development or his/her designee. Requests made outside of the sponsor submission deadline may be declined by OSP or be rejected by the sponsor. Be denied with few exceptions, not be approved by the University.

The Vice President for Research and Economic Development or his/her designee may 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 include a justification for why the change is needed. This 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.
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: ________________________________

   Track # ____________

   Date Rec.: _____________

   Posted: t-sheet __________

   h/c ___________

   web ___________

   Register: ______________

   (Office Use Only)
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]