

**Agenda**

1. Welcome.....Kelly Wolf
2. Travel Policy (New).....Kelly Wolf
3. Safety – Physical Space and Environment (New).....Kassy Fisher
  - a) 08.00.02 Safety (Revise and Merge)
  - b) 08.00.07 Safety Inspection and Correction (Revise and Merge)
4. OAR 571.050.0035 Key Control (Revise).....Kassy Fisher
5. OUS 24 Administration of FCC Licenses Operated Within OUS (Repeal).....Kassy Fisher
6. OUS 36 Minority Student Enrollment Initiative (Repeal).....Amanda Hatch
7. OAR 580.01.0030 Confidentiality & Inadmissibility of Mediation Comms. (Repeal)...General Counsel
8. Strategic Sourcing Policy (New).....General Counsel

# Policy Concept Form

All policy proposals including new policy concepts, recommendations to revise, or requests to repeal must be submitted via this form to the University Secretary. The Secretary will forward completed concept forms to the President's Policy Advisory Council for consideration pursuant to I.03.01 Policy on University Policies. When submitting a policy concept form, please keep the following university definition of "policy" in mind:

*A University Policy ("Policy") is a policy that (1) has broad application or impact throughout the University community, (2) must be implemented to ensure compliance with state or federal law, (3) is necessary to enhance the University's mission, to ensure institutional consistency and operational efficiency, or to mitigate institutional risks; or (4) is otherwise designated by the Board or the President as a University Policy subject to the Policy- Making Process authorized in section 4. A policy establishes rights, requirements or responsibilities. Excluded from this definition are things such as, but not limited to, implementation guides, operating guidelines, internal procedures, and similar management controls and tools.*

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**Policy Subject Matter** (please included existing policy number(s) if available)

New Policy - University Travel

This replaces OUS Fiscal Policy 95.100.

**Statement of Need and Desired Result** (please describe what we accomplish with the proposed action)

The existing Fiscal Policy was inherited from OUS at the governance transition. It includes restrictions and limitations that were inherited from DAS (and are no longer applicable to UO). This revision removes certain restrictions/limitations and provides for additional discretion at the departmental level.

**Affected Policy Stakeholders** (please list all known impacted stakeholders and the nature of those impacts)

This policy applies to employees, students, board/committee members, prospective employees, volunteers, and independent contractors who travel on behalf of the university or on university business.

**Proposed Action** (i.e., new, revision, repeal)

Adopt new Travel Policy - Repeal Fiscal Policy 95.100

## Travel

### GUIDING PRINCIPLES

- Faculty, staff, and student travel is necessary to support and enhance the university's mission
- Travelers are expected to be, and believed to be, reasonable and prudent utilizing university resources for travel
- Budget Authorities are accountable and responsible for appropriate use of university resources. Departments are free to create policies/limits that are more restrictive (but not less restrictive) than university-wide policies/limits
- University processes related to travel reimbursements should not be overly onerous so as to negatively affect travelers (including guests, visitors, recruits, etc.)
- Travel reimbursement processes should be clear, consistent, transparent, convenient, efficient, and compliant
- Travel reimbursements are for business-related expenses only, not for personal expenses of the traveler or any traveling companions

**Commented [KW1]:** Added section per recommendation of Advisory Group

### APPROVAL

Travel expenses will be reimbursed provided the trip and reimbursement request are approved by authorized campus personnel (generally the traveler's supervisor or designee). Travel authorizations may be verbal or written. Blanket authorization for a series of trips may be approved. Employees whose duties require frequent or continuous travel are considered to have approval when travel is within the usual limits of their duties.

**Commented [KW2]:** Removed language that travel must be approved in advance. Clarified that the reimbursement request must also be authorized/approved.

### PERSONS ELIGIBLE FOR TRAVEL-EXPENSE REIMBURSEMENT

#### [1] Employees

University of Oregon employees may be reimbursed for expenses incurred in connection with official travel.

#### [2] Employees on Leave

Travel expenses incurred during sabbatical leave may be paid/reimbursed when the travel was approved by Academic Affairs as part of the application for sabbatical leave. Payment/reimbursement for travel expenses while on other types of leave is warranted only in exceptional circumstances.

**Commented [KW3]:** Clarified for travel while on sabbatical.

#### [3] University of Oregon Board of Trustees Members and Unpaid Members of university Advisory Committees

University of Oregon Board of Trustees members and unpaid members (non-university personnel) of university advisory committees may be reimbursed for actual and reasonable expenses, including mileage and gratuity.

**Commented [KW4]:** Clarified that this is for non-UO personnel serving on UO committees, not UO personnel serving on non-UO committees.

#### [4] Prospective Employees

Travel expenses incurred in connection with prospective university employee interviews and recruitment are reimbursable when properly authorized.

**Commented [KW5]:** Broadened language to add flexibility.

#### [5] New Employees

New employees may be reimbursed for travel and moving expenses (See [Fiscal Policy Manual 66.200, Moving Expenses Policy.](#))

**Commented [KW6]:** Broadened language to add flexibility.

#### [6] Students

Students who travel as employees or officially-designated representatives of the university may be reimbursed for travel expenses.

#### [7] Non-Employees/Volunteer Workers/Independent Contractors

Individuals not listed above may only be reimbursed for travel expenses incurred in conjunction with providing a service to campus through a formal or informal contractual relationship.

**Commented [KW7]:** Updated section title for IC

### TRAVEL-EXPENSE PAYMENT

Travel expenses may be paid either by reimbursement to the traveler or direct payment to a provider/merchant (e.g., airline ticket through a contract agency, direct billing from hotel).

Requests to reimburse travel expenses must be made via the campus travel reimbursement process. Requests for reimbursement must be accompanied by receipts, when required. Direct payments/reimbursements from the University of Oregon Foundation are subject to that organization's policies and processes.

Travel advance funds may be requested from and approved by Business Affairs.

**Commented [KW8]:** Removed section related to Travel Cards (procedure, not policy). Added this statement re: advances.

When employees travel together, it may be expedient for one employee to pay and claim reimbursement for certain expenses of other employees. Reimbursement for multiple employees is only allowed when actual expenses are being reimbursed and are supported by receipts. Deductions are made from the per diem amounts for employees involved.

### TAX TREATMENT

The university reimburses for travel expenses under an IRS Accountable Plan and in accordance with IRS Publication 463 (Travel, Entertainment, Gift, and Car Expenses) and IRS Publication 519 (U.S. Tax Guide for Aliens).

**Commented [KW9]:** New section to clarify ties to IRS.

Reimbursement of travel expenses for temporary assignments (less than one year in duration) are generally not taxable to the employee. If the assignment is indefinite, the employee is considered to have moved to the new work location. Reimbursement of expenses for indefinite travel is generally taxable to the employee.

### STUDENTS, STUDENT GROUPS, AND TEAMS

#### [1] Student Travel

University policy on Traffic, Parking and Vehicle Safety (former OAR 580-40-0030) provides guidelines regarding transportation of students in a state owned, leased or controlled vehicle.

#### [2] Travel Expenses of Others

When one university employee, such as a coach, athletic director, or group leader, pays for the travel expenses of the team or group members, the following procedures apply when preparing the travel reimbursement request.

- Keep non-employee travel expenses separate from those of employees.
- Include an attachment that provides a detailed itemization of each employee's expenses.
- Include an itemized vendor receipt for meals provided to team or group members. If no receipt is available, such as when individuals are provided cash to buy their own meals, a list of the individuals' names, their signatures, and the amounts disbursed is required.

### [3] One-Day Trips

Meal expenses for an athletic team or student group on a one-day trip may be reimbursed at actual cost (as opposed to per diem). An itemized receipt is required. University employees such as coaches, trainers, or group leaders who accompany and are responsible for the care, custody, or control of the team or group are also eligible for meal-expense reimbursement. The request for reimbursement must state that the expenses result from a trip by an athletic team or student group.

### TRAVEL PAID BY OUTSIDE SOURCE

Outside entities may reimburse the campus, pay a service provider directly, or reimburse a university employee for travel expenses related to university business. The university will not pay or reimburse for any travel expenses that are also being paid by an outside source.

**Commented [KW10]:** Eliminated documentation requirement for payment or reimbursement from an outside source. The current travel reimbursement signature verification includes a statement that nothing being reimbursed is also being paid from an outside source.

### MEAL AND INCIDENTAL EXPENSES

#### [1] General

Generally, meal and incidental expenses are reimbursed at a per diem rate. Meal and incidental expenses may be reimbursed only if the traveler qualifies for lodging-expense reimbursement, except as noted herein.

Travelers are eligible for 75% of the meal and incidental expenses per diem amount on the initial and final day of travel. Travelers are eligible for 100% of the meal and incidental expenses per diem on all other travel days.

**Commented [KW11]:** GSA model. Eliminated current proration schedule that is based upon specific times.

For the day the traveler leaves on a trip, the per diem rate specified for where the traveler will spend the night is used. For the day the traveler returns from a trip, the per diem rate specified for the last location where the traveler stayed overnight is used.

Applicable meal and incidental expense per diem may not be claimed if a meal is provided and consumed as part of a hosted function (e.g., a conference registration fee includes a meal, meals are included with lodging rate). The per diem rate for a full day's meal and incidental expenses is apportioned as follows:

**Commented [KW12]:** Adds flexibility in case traveler wasn't able to eat meal being offered.

- breakfast: 25%
- lunch: 25%
- dinner: 50%.

Meal and incidental expense per diem is not apportioned for the initial and final day of travel (even if a meal is provided and consumed)

#### [2] Actual Meal-Expense Reimbursement

Reimbursement for meals at actual expense (including gratuity) is only allowed when hosting official guests and groups, for athletic team and student group meal expenses, and for University of Oregon Board of Trustees members and unpaid members of university advisory committees. See [Fiscal Policy 56.100 – Non-Travel Meals, Refreshments, and Hospitality Expenses](#). When actual meal expenses are reimbursed, an itemized receipt is required.

Athletic team meal expenses exceeding the per diem rate require documentation as to the reason for the excess and documented approval of the athletic director or the associate athletic director to whom the coach reports. Student group meal expenses exceeding the per diem rate require documentation as to the reason for the excess and documented approval of the department head.

#### [3] Meals on One-Day Trips

When a traveler departs and returns the same day, meal expenses are reimbursed only in the following cases:

[a] When traveling as a University of Oregon Board of Trustees member or unpaid member of a university advisory committee

[b] When a meal at a convention, conference, or meeting is part of the agenda and the cost of the meal has not previously been paid with the registration fee

[c] When directed or required to attend mealtime business meetings, including community or public relations meetings

[d] Trips by athletic teams and student groups (see STUDENTS, STUDENT GROUPS, AND TEAMS above)

Lunches on one-day trips will not be reimbursed except in circumstances [a] - [d] listed above.

The IRS considers breakfast and dinner allowances, figured on the basis of hours worked (such as those permitted under [e] [f] below, to be taxable to the employee. Breakfast and dinner allowances are not available to non-employees.

**Commented [KW13]:** Clarified based upon taxability rules.

[e] When an employee leaves his/her official station two or more hours before his/her regular work shift, s/he will receive the breakfast allowance

[f] When an employee returns to his/her official station two or more hours after his/her regular work shift, s/he will receive the dinner allowance

#### [4] Incidental Expenses

Incidental Expenses are combined with meals into a single rate.

The university references IRS Publication 463 (Travel, Entertainment, Gift, and Car Expenses) for the definition of domestic-travel incidental expenses and the U.S. Department of State for the definition of foreign-travel incidental expenses.

**Commented [KW14]:** Removed specific examples. The IRS definition changes occasionally.

## LODGING

Lodging expenses are normally reimbursed when authorized campus personnel determine that the traveler would not reasonably be expected to return to his or her residence between work shifts. Generally, lodging is reimbursed at actual cost up to per diem rates. Exceptions to per diem maximum may be granted with appropriate justification. Common exceptions include:

**Commented [KW15]:** Changed all policy language to actual-cost model.

- Conferences
- Traditionally high-cost locations (e.g., New York City; Washington, DC; San Francisco Bay Area; Boston; Seattle)
- Cities where a per diem hotel is not available within a reasonable distance [e.g., twenty (20) minute drive] of the primary business location

**Commented [KW16]:** Broadened exceptions allowed to per diem maximum rate.

### [1] Lodging Receipts Requirements

Receipts for lodging are required and must show the following:

- Traveler's name (or names)
- Date(s) occupied
- Room number
- Settlement in Full

**Commented [KW17]:** Removed receipt requirements for single-person rate.

### [2] Taxes on Lodging

Lodging taxes are reimbursed as part of the actual lodging cost calculation, but are not included when determining if lodging cost has exceeded the per diem rate maximum.

**Commented [KW18]:** Clarified how lodging taxes are considered in reimbursement process.

### [3] Non-commercial Lodging

The intent of the non-commercial lodging per diem is to reimburse travelers using non-commercial facilities (e.g., travel trailer, motor home, or staying with friends or family members) and should result in an economic benefit for the university.

**Commented [KW19]:** Added some clarifying statements.

For purposes of reimbursement rates and per diem limits, lodging arranged through services such as Airbnb, VRBO, and HomeAway is considered Commercial Lodging.

In certain circumstances, alternate lodging arrangements (e.g., leased apartment) may be considered most appropriate. Contact the BAO Travel Office for additional information and consideration.

## TRANSPORTATION

Transportation expenses incurred while traveling on official business may be reimbursed. Personal expenses, such as private vehicle repair and maintenance, may not. The following expenses may be reimbursed or paid directly:

- Common carrier fare
- Rental Vehicle charges
- Private-vehicle mileage allowance
- Taxi or shuttle service fare (including gratuity)
- Parking and garage fees

**Commented [KW20]:** Clarified that gratuities are authorized and included with the reimbursement.

## COMMON CARRIER FARES

Transportation by common carrier is recommended when it is more appropriate and economical than travel by state or private vehicle. Common carriers are usually preferred for out-of-state travel. Actual cost is paid or reimbursed for airline, railroad and bus fares for travel.

### [1] Railroads

All employees are encouraged to travel using routes and schedules that provide the most cost-effective, efficient travel that meets the business purpose. A roomette is allowed when sleeping accommodations are needed due to overnight travel. A bedroom is allowed if no roomette is available or if special accommodations are approved because of the trip's nature or the traveler's health. Applicable meal and incidental expense per diem may not be claimed if a meal is provided and consumed as part of the roomette or bedroom rate.

### [2] Bus Lines

Scheduled or charter buses may be used.

### [3] Taxis and Shuttle Services

Taxi and shuttle service is authorized between terminals, lodgings, and work stations.

### [4] Airlines

All employees are encouraged to travel using routes, schedules, and airlines that provide the most cost-effective, efficient travel that meets the business purpose. Economy Plus and/or Business Class airfare are authorized for any leg of international flights where the elapsed time in-the-air is eight hours or greater. First Class airfare is not authorized.

**Commented [KW21]:** Added language.

Air travel paid from federal funds must conform to the Fly America Act.

**Commented [KW22]:** Added language.

### [5] Travel Awards and Frequent Flyer Mileage

Because the cost of record-keeping outweighs any monetary benefit, the university will not recapture airline bonuses awarded employees for frequent flyer miles. Frequent flyer bonuses may be used by employees as they choose unless the terms of a grant or contract require otherwise. The university will not reimburse or trade tickets purchased using frequent flyer miles.

### [6] Payment in Lieu of Air Travel

Common carriers (e.g., airlines, railroads) are usually preferred for out-of-state travel. An employee may choose to travel by private vehicle instead. In such a case, the employee may be reimbursed for ground transportation expenses, including standard mileage, parking, and tolls, up to the cost that would have been incurred had s/he traveled by common carrier.

**Commented [KW23]:** Removed requirement for advance approval. Clarified and added language that comparison airline quote should be obtained in advance of the trip.

The following costs associated with air travel can be used as a basis for comparison:



- The cost of round-trip commercial air fare that would have been incurred. An online quote (i.e., Travelocity, Orbitz) should be obtained prior to the travel dates.
- Private vehicle mileage to and from the air terminal that would normally be used for departure.
- Lodging, meal, and incidental expenses that the employee would normally incur with air travel

## PRIVATE VEHICLES

**Commented [KW24]:** Revised section for clarity.

Private Vehicles may be utilized for business-related travel.

The per-mile reimbursement rate is determined by the Internal Revenue Service (IRS). Employees who receive a Car Allowance Stipend are not eligible for per-mile reimbursement.

Mileage for the most direct, usually-traveled route may be reimbursed.

### [1] Highway mileage

Use standard mileage guides, odometer/tripometer readings, or online mapping tools (e.g., Mapquest.com). Substantial deviations from standard distances or usual routes must be justified. Mileage calculations generally start at the employee's official work station.

### [2] Local mileage

Travel between work places and travel between lodging and restaurants for a traveler's sustenance, health, and comfort may be reimbursed if meals cannot be obtained at the temporary duty or lodging sites. Travel for personal reasons or entertainment may not be reimbursed.

Travel between the employee's home and official work station is considered commuting expense and may not be reimbursed.

Employees and agents authorized to use their privately owned vehicles for official business are required to have personal automobile liability insurance to provide the primary coverage for any accidents involving that vehicle. University-provided automobile liability coverage will apply on a limited basis after the employee's primary coverage limits have been used. The university does not provide physical damage, uninsured motorist and personal injury protection for personal vehicles. For additional information, contact the Office of Risk Management.

## VEHICLE RENTAL

**Commented [KW25]:** Eliminates language that other options should be used first. Eliminates language that Economy-class cars are required.

Vehicle rental expenses may be reimbursed. A car, boat, aircraft or other vehicle may be rented when it is the most cost-effective, efficient means of transportation that meets the business purpose. Receipts are required for vehicle rentals. Employees are encouraged to utilize State of Oregon contracts which provide discount rates, car upgrades, and insurance coverage. Employees are also encouraged to use their corporate travel cards when renting vehicles because of the primary Collision Damage Waiver (CDW) coverage provided.

### [1] Insurance on Rented Vehicles

The university provides self-insurance coverage for rental vehicles if they are to be used exclusively for official business. A certificate of insurance may be obtained from the Office of Risk Management. If a rental vehicle is to be used for a mix of personal and business purposes, the university's self-insurance coverage is only applicable for the portion of travel applicable to official business. The

employee or agent will want to check with his/her insurance agent regarding coverage for personal usage.

If the employee or agent plans to travel outside the United States, its territories and possessions, and Canada, the department should contact the Office of Risk Management for help in obtaining the appropriate coverage.

[2] Responsibilities After an Accident

The renter of a vehicle involved in an accident is responsible for immediately reporting the accident to the Office of Risk Management.

### **LOANED VEHICLES**

Use of loaned vehicles may be authorized when it benefits the campus. Expense reimbursement is for use of the vehicle regardless of the number of passengers. Some companies may lend vehicles to campuses, departments, or individuals for specified purposes. The operator is reimbursed for actual out-of-pocket expenses arising from using the vehicle for official business.

[1] Insurance on Loaned Vehicles

The university provides coverage for loaned vehicles if the campus has agreed in writing to accept responsibility for any liability or damage to the vehicle. The loaned vehicle must be used for official business.

For additional information, including the loan agreement form, contact the Office of Risk Management.

### **STATE-OWNED VEHICLES**

Motor pool vehicles may be used for official state business only. Use of a state vehicle is not authorized when costs are charged to Agency Funds, except for use by Campus Organizations or for other legitimate state business purposes as approved by authorized campus personnel. The department that authorizes a state vehicle's use is financially accountable for damages and all costs resulting from violations of policies relating to state vehicle use.

[1] Private Use Prohibited

Using a state-owned vehicle for private purposes or allowing another person to do so is prohibited (ORS 283.395) and punishable, upon conviction, by a fine (ORS 283.990).

[2] Vehicle Safety Including Authorized Drivers

University policy on Traffic, Parking and Vehicle Safety (former OAR 580-40-0030) provides safety guidelines regarding transportation in a state owned, leased or controlled vehicle.

[3] Overnight Parking at Employee's Residence

A state vehicle may be kept overnight at an employee's residence when doing so is approved in advance by authorized campus personnel.

### **MISCELLANEOUS EXPENSES**

Necessary business-related travel expenses are normally reimbursed. Personal expenses are not reimbursed. The university establishes the definition of miscellaneous expenses. All miscellaneous expenses must be itemized.

Necessary miscellaneous business-related expenses are not reimbursed using a per diem; rather, if the traveler has incurred a miscellaneous business expense as outlined below, that expense is reimbursable at the actual cost.

#### [1] Checked Baggage

Up to two (2) standard-weight bags (standard weight as defined by the airline used)

Charges for the following may be reimbursed only when approved by authorized institution personnel (receipts required):

- additional baggage (more than 2 bags)
- overweight baggage

#### [2] Other Business Related Expenses Normally Reimbursed

- Telephone
- Fax
- Internet
- Postage
- ATM cash advance fees
- Materials and supplies purchased to meet an immediate business need
- Visa and passport expenses
- Parking
- Tolls
- Energy surcharge

#### **PER DIEM RATE REFERENCES**

Per diem rates for the continental United States are determined using the federal rate in the IRS's High-Low Substantiation Method.

Per diem rates for the non-continental United States and Territories (e.g., Alaska, Hawaii, Guam, Puerto Rico) are determined by the US Department of Defense

Per diem rates for foreign locations are determined by the US Department of State

#### **OTHER RESOURCES**

[Link to per diem rates (see next page)]

#### **EXCEPTIONS**

Upon consideration of documented extenuating circumstances, exceptions to these policy provisions may be granted by the Vice President for Finance and Administration (VPFA) or designee.

**Commented [KW26]:** Consolidated existing sections to simply reference the appropriate authorities.

**DOMESTIC PER DIEM RATES (AS OF 09/01/2016)**

Note: Example only. This section will not be included within the formal policy.

<b>Meals &amp; Incidental Expenses</b>	
Standard (low-cost) Localities	57.00
High-cost Localities	68.00

<b>Proration of Meals &amp; Incidental Expenses</b>	<b>Breakfast</b>	<b>Lunch</b>	<b>Dinner</b>	<b>IE</b>
Standard (low-cost) Localities	13.00	13.00	26.00	5.00
High-cost Localities	15.75	15.75	31.50	5.00

<b>Meals &amp; Incidental Expenses (Initial and Final Day; No Proration)</b>	
Standard (low-cost) Localities	42.75
High-cost Localities	51.00

<b>Lodging</b>	
Standard (low-cost) Localities	128.00
High-cost Localities	207.00

Standard non-commercial lodging	25.00
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<b>Other</b>	
Standard Tip/Gratuity Rate	15.00%
Travel by private vehicle	\$0.54/mile

<b>High-cost localities per IRS high-low substantiation method:</b>			
<b>State</b>	<b>Key City</b>	<b>County and Other Defined Location</b>	<b>Effective Dates</b>
CA	Mammoth Lakes	Mono	12/1 - 2/29
	Monterey	Monterey	7/1 - 8/31
	Napa	Napa	5/1 - 10/31
	San Francisco	San Francisco	All year
	San Mateo, Foster City, Belmont	San Mateo	All year
	Santa Barbara	Santa Barbara	All year
	Santa Monica	City limits of Santa Monica	All year
	Sunnyvale, Palo Alto, San Jose	Santa Clara	All year
CO	Aspen	Pitkin	12/1 - 3/31 & 6/1 - 8/31
	Denver, Aurora	Denver, Adams, Arapahoe, Jefferson	All year
	Grand Lake	Grand	12/1-3/31
	Silverthorne/Breckenridge	Summit	12/1-3/31
	Steamboat Springs	Routt	12/1 - 3/31
	Telluride	San Miguel	12/1 - 3/31 & 6/1 -8/31
	Vail	Eagle	12/1 - 3/31 & 6/1 -8/31

DC	Washington D.C.	Washington D.C. (also the cities of Alexandria, Fairfax, and Falls Church, and the counties of Arlington and Fairfax in Virginia; and the counties of Montgomery and Prince George's in Maryland) (See also Maryland and Virginia)	All year
FL	Boca Raton, Delray Beach, Jupiter	Palm Beach and Hendry	1/1 - 4/30
	Fort Lauderdale	Broward	1/1 - 3/31
	Fort Walton Beach, De Funiak Springs	Okaloosa and Walton	6/1 - 7/31
	Key West	Monroe	All year
	Miami	Miami-Dade	12/1 - 3/31
	Naples	Collier	1/1 - 4/31
IL	Chicago	Cook and Lake	3/1 - 11/30
ME	Bar Harbor	Hancock	7/1 - 8/31
	Ocean City	Worcester	6/1 - 8/31
	Washington, D.C. Metro Area	Montgomery and Prince George's	All year
MA	Boston, Cambridge	Suffolk, City of Cambridge	All year
	Falmouth	City limits of Falmouth	7/1 - 8/31
	Martha's Vineyard	Dukes	6/1 - 9/30
	Nantucket	Nantucket	6/1 - 12/31
MI	Traverse City/Leland	Grand Traverse/Leelanau	7/1 - 8/31
NY	Lake Placid	Essex	7/1 - 8/31
	New York City - including boroughs of Manhattan, Brooklyn, The Bronx, Queens and Staten Island	Bronx, Kings, New York, Queens, and Richmond	All year
	Saratoga Springs, Schenectady	Saratoga and Schenectady	7/1 - 8/31
PA	Hershey	Hershey	6/1 - 8/31
	Philadelphia	Philadelphia	3/1 - 6/30 & 9/1 - 11/31
RI	Jamestown, Middletown, Newport	Newport	6/1 - 8/31
SC	Charleston	Charleston, Berkeley and Dorchester	3/1 - 11/30
TX	Midland	Midland	All year
UT	Park City	Summit	12/1 - 3/31
VA	Washington D.C. Metro Area	Cities of Alexandria, Fairfax and Falls Church; counties of Arlington and Fairfax	All year
	Virginia Beach	City of Virginia Beach	6/1 - 8/31
	Wallops Island	Accomack	7/1 - 8/31
WA	Seattle	King	All year
WY	Jackson, Pinedale	Teton and Sublette	6/1 - 9/30

# Travel

## GUIDING PRINCIPLES

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- Travelers are expected to be, and believed to be, reasonable and prudent utilizing university resources for travel
- Budget Authorities are accountable and responsible for appropriate use of university resources. Departments are free to create policies/limits that are more restrictive (but not less restrictive) than university-wide policies/limits
- University processes related to travel reimbursements should not be overly onerous so as to negatively affect travelers (including guests, visitors, recruits, etc.)
- Travel reimbursement processes should be clear, consistent, transparent, convenient, efficient, and compliant
- Travel reimbursements are for business-related expenses only, not for personal expenses of the traveler or any traveling companions

## APPROVAL

Travel expenses will be reimbursed provided the trip and reimbursement request are approved by authorized campus personnel (generally the traveler's supervisor or designee). Travel authorizations may be verbal or written. Blanket authorization for a series of trips may be approved. Employees whose duties require frequent or continuous travel are considered to have approval when travel is within the usual limits of their duties.

## PERSONS ELIGIBLE FOR TRAVEL-EXPENSE REIMBURSEMENT

### [1] Employees

University of Oregon employees may be reimbursed for expenses incurred in connection with official travel.

### [2] Employees on Leave

Travel expenses incurred during sabbatical leave may be paid/reimbursed when the travel was approved by Academic Affairs as part of the application for sabbatical leave. Payment/reimbursement for travel expenses while on other types of leave is warranted only in exceptional circumstances.

### [3] University of Oregon Board of Trustees Members and Unpaid Members of university Advisory Committees

University of Oregon Board of Trustees members and unpaid members (non-university personnel) of university advisory committees may be reimbursed for actual and reasonable expenses, including mileage and gratuity.

### [4] Prospective Employees

Travel expenses incurred in connection with prospective university employee interviews and recruitment are reimbursable when properly authorized.

[5] New Employees

New employees may be reimbursed for travel and moving expenses (See [Fiscal Policy Manual 66.200, Moving Expenses Policy.](#))

[6] Students

Students who travel as employees or officially-designated representatives of the university may be reimbursed for travel expenses.

[7] Non-Employees/Volunteer Workers/Independent Contractors

Individuals not listed above may only be reimbursed for travel expenses incurred in conjunction with providing a service to campus through a formal or informal contractual relationship.

### **TRAVEL-EXPENSE PAYMENT**

Travel expenses may be paid either by reimbursement to the traveler or direct payment to a provider/merchant (e.g., airline ticket through a contract agency, direct billing from hotel).

Requests to reimburse travel expenses must be made via the campus travel reimbursement process. Requests for reimbursement must be accompanied by receipts, when required. Direct payments/reimbursements from the University of Oregon Foundation are subject to that organization's policies and processes.

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### **TAX TREATMENT**

The university reimburses for travel expenses under an IRS Accountable Plan and in accordance with IRS Publication 463 (Travel, Entertainment, Gift, and Car Expenses) and IRS Publication 519 (U.S. Tax Guide for Aliens).

Reimbursement of travel expenses for temporary assignments (less than one year in duration) are generally not taxable to the employee. If the assignment is indefinite, the employee is considered to have moved to the new work location. Reimbursement of expenses for indefinite travel is generally taxable to the employee.

### **STUDENTS, STUDENT GROUPS, AND TEAMS**

[1] Student Travel

University policy on Traffic, Parking and Vehicle Safety (former OAR 580-40-0030) provides guidelines regarding transportation of students in a state owned, leased or controlled vehicle.

[2] Travel Expenses of Others

When one university employee, such as a coach, athletic director, or group leader, pays for the travel expenses of the team or group members, the following procedures apply when preparing the travel reimbursement request.

- Keep non-employee travel expenses separate from those of employees.
- Include an attachment that provides a detailed itemization of each employee's expenses.
- Include an itemized vendor receipt for meals provided to team or group members. If no receipt is available, such as when individuals are provided cash to buy their own meals, a list of the individuals' names, their signatures, and the amounts disbursed is required.

### [3] One-Day Trips

Meal expenses for an athletic team or student group on a one-day trip may be reimbursed at actual cost (as opposed to per diem). An itemized receipt is required. University employees such as coaches, trainers, or group leaders who accompany and are responsible for the care, custody, or control of the team or group are also eligible for meal-expense reimbursement. The request for reimbursement must state that the expenses result from a trip by an athletic team or student group.

## **TRAVEL PAID BY OUTSIDE SOURCE**

Outside entities may reimburse the campus, pay a service provider directly, or reimburse a university employee for travel expenses related to university business. The university will not pay or reimburse for any travel expenses that are also being paid by an outside source.

## **MEAL AND INCIDENTAL EXPENSES**

### [1] General

Generally, meal and incidental expenses are reimbursed at a per diem rate. Meal and incidental expenses may be reimbursed only if the traveler qualifies for lodging-expense reimbursement, except as noted herein.

Travelers are eligible for 75% of the meal and incidental expenses per diem amount on the initial and final day of travel. Travelers are eligible for 100% of the meal and incidental expenses per diem on all other travel days.

For the day the traveler leaves on a trip, the per diem rate specified for where the traveler will spend the night is used. For the day the traveler returns from a trip, the per diem rate specified for the last location where the traveler stayed overnight is used.

Applicable meal and incidental expense per diem may not be claimed if a meal is provided and consumed as part of a hosted function (e.g., a conference registration fee includes a meal, meals are included with lodging rate). The per diem rate for a full day's meal and incidental expenses is apportioned as follows:

- breakfast: 25%
- lunch: 25%
- dinner: 50%.



Meal and incidental expense per diem is not apportioned for the initial and final day of travel (even if a meal is provided and consumed)

#### [2] Actual Meal-Expense Reimbursement

Reimbursement for meals at actual expense (including gratuity) is only allowed when hosting official guests and groups, for athletic team and student group meal expenses, and for University of Oregon Board of Trustees members and unpaid members of university advisory committees. See [Fiscal Policy 56.100 – Non-Travel Meals, Refreshments, and Hospitality Expenses](#). When actual meal expenses are reimbursed, an itemized receipt is required.

Athletic team meal expenses exceeding the per diem rate require documentation as to the reason for the excess and documented approval of the athletic director or the associate athletic director to whom the coach reports. Student group meal expenses exceeding the per diem rate require documentation as to the reason for the excess and documented approval of the department head.

#### [3] Meals on One-Day Trips

When a traveler departs and returns the same day, meal expenses are reimbursed only in the following cases:

[a] When traveling as a University of Oregon Board of Trustees member or unpaid member of a university advisory committee

[b] When a meal at a convention, conference, or meeting is part of the agenda and the cost of the meal has not previously been paid with the registration fee

[c] When directed or required to attend mealtime business meetings, including community or public relations meetings

[d] Trips by athletic teams and student groups (see STUDENTS, STUDENT GROUPS, AND TEAMS above)

Lunches on one-day trips will not be reimbursed except in circumstances [a] - [d] listed above.

The IRS considers breakfast and dinner allowances, figured on the basis of hours worked (such as those permitted under [e] [f] below, to be taxable to the employee. Breakfast and dinner allowances are not available to non-employees.

[e] When an employee leaves his/her official station two or more hours before his/her regular work shift, s/he will receive the breakfast allowance

[f] When an employee returns to his/her official station two or more hours after his/her regular work shift, s/he will receive the dinner allowance

#### [4] Incidental Expenses

Incidental Expenses are combined with meals into a single rate.

The university references IRS Publication 463 (Travel, Entertainment, Gift, and Car Expenses) for the definition of domestic-travel incidental expenses and the U.S. Department of State for the definition of foreign-travel incidental expenses.

## **LODGING**

Lodging expenses are normally reimbursed when authorized campus personnel determine that the traveler would not reasonably be expected to return to his or her residence between work shifts. Generally, lodging is reimbursed at actual cost up to per diem rates. Exceptions to per diem maximum may be granted with appropriate justification. Common exceptions include:

- Conferences
- Traditionally high-cost locations (e.g., New York City; Washington, DC; San Francisco Bay Area; Boston; Seattle)
- Cities where a per diem hotel is not available within a reasonable distance [e.g., twenty (20) minute drive] of the primary business location

### **[1] Lodging Receipts Requirements**

Receipts for lodging are required and must show the following:

- Traveler's name (or names)
- Date(s) occupied
- Room number
- Settlement in Full

### **[2] Taxes on Lodging**

Lodging taxes are reimbursed as part of the actual lodging cost calculation, but are not included when determining if lodging cost has exceeded the per diem rate maximum.

### **[3] Non-commercial Lodging**

The intent of the non-commercial lodging per diem is to reimburse travelers using non-commercial facilities (e.g., travel trailer, motor home, or staying with friends or family members) and should result in an economic benefit for the university.

For purposes of reimbursement rates and per diem limits, lodging arranged through services such as Airbnb, VRBO, and HomeAway is considered Commercial Lodging.

In certain circumstances, alternate lodging arrangements (e.g., leased apartment) may be considered most appropriate. Contact the BAO Travel Office for additional information and consideration.

## **TRANSPORTATION**

Transportation expenses incurred while traveling on official business may be reimbursed. Personal expenses, such as private vehicle repair and maintenance, may not. The following expenses may be reimbursed or paid directly:

- Common carrier fare
- Rental Vehicle charges
- Private-vehicle mileage allowance
- Taxi or shuttle service fare (including gratuity)
- Parking and garage fees

## **COMMON CARRIER FARES**

Transportation by common carrier is recommended when it is more appropriate and economical than travel by state or private vehicle. Common carriers are usually preferred for out-of-state travel. Actual cost is paid or reimbursed for airline, railroad and bus fares for travel.

### [1] Railroads

All employees are encouraged to travel using routes and schedules that provide the most cost-effective, efficient travel that meets the business purpose. A roomette is allowed when sleeping accommodations are needed due to overnight travel. A bedroom is allowed if no roomette is available or if special accommodations are approved because of the trip's nature or the traveler's health. Applicable meal and incidental expense per diem may not be claimed if a meal is provided and consumed as part of the roomette or bedroom rate.

### [2] Bus Lines

Scheduled or charter buses may be used.

### [3] Taxis and Shuttle Services

Taxi and shuttle service is authorized between terminals, lodgings, and work stations.

### [4] Airlines

All employees are encouraged to travel using routes, schedules, and airlines that provide the most cost-effective, efficient travel that meets the business purpose. Economy Plus and/or Business Class airfare are authorized for any leg of international flights where the elapsed time in-the-air is eight hours or greater. First Class airfare is not authorized.

Air travel paid from federal funds must conform to the Fly America Act.

### [5] Travel Awards and Frequent Flyer Mileage

Because the cost of record-keeping outweighs any monetary benefit, the university will not recapture airline bonuses awarded employees for frequent flyer miles. Frequent flyer bonuses may be used by employees as they choose unless the terms of a grant or contract require otherwise. The university will not reimburse or trade tickets purchased using frequent flyer miles.

### [6] Payment in Lieu of Air Travel

Common carriers (e.g., airlines, railroads) are usually preferred for out-of-state travel. An employee may choose to travel by private vehicle instead. In such a case, the employee may be reimbursed for ground transportation expenses, including standard mileage, parking, and tolls, up to the cost that would have been incurred had s/he traveled by common carrier.

The following costs associated with air travel can be used as a basis for comparison:

- The cost of round-trip commercial air fare that would have been incurred. An online quote (i.e., Travelocity, Orbitz) should be obtained prior to the travel dates.
- Private vehicle mileage to and from the air terminal that would normally be used for departure.
- Lodging, meal, and incidental expenses that the employee would normally incur with air travel

## **PRIVATE VEHICLES**

Private Vehicles may be utilized for business-related travel.

The per-mile reimbursement rate is determined by the Internal Revenue Service (IRS). Employees who receive a Car Allowance Stipend are not eligible for per-mile reimbursement.

Mileage for the most direct, usually-traveled route may be reimbursed.

### **[1] Highway mileage**

Use standard mileage guides, odometer/tripometer readings, or online mapping tools (e.g., Mapquest.com). Substantial deviations from standard distances or usual routes must be justified. Mileage calculations generally start at the employee's official work station.

### **[2] Local mileage**

Travel between work places and travel between lodging and restaurants for a traveler's sustenance, health, and comfort may be reimbursed if meals cannot be obtained at the temporary duty or lodging sites. Travel for personal reasons or entertainment may not be reimbursed.

Travel between the employee's home and official work station is considered commuting expense and may not be reimbursed.

Employees and agents authorized to use their privately owned vehicles for official business are required to have personal automobile liability insurance to provide the primary coverage for any accidents involving that vehicle. University-provided automobile liability coverage will apply on a limited basis after the employee's primary coverage limits have been used. The university does not provide physical damage, uninsured motorist and personal injury protection for personal vehicles. For additional information, contact the Office of Risk Management.

## **VEHICLE RENTAL**

Vehicle rental expenses may be reimbursed. A car, boat, aircraft or other vehicle may be rented when it is the most cost-effective, efficient means of transportation that meets the business purpose. Receipts are required for vehicle rentals. Employees are encouraged to utilize State of Oregon contracts which provide discount rates, car upgrades, and insurance coverage. Employees are also encouraged to use their corporate travel cards when renting vehicles because of the primary Collision Damage Waiver (CDW) coverage provided.

### **[1] Insurance on Rented Vehicles**

The university provides self-insurance coverage for rental vehicles if they are to be used exclusively for official business. A certificate of insurance may be obtained from the Office of Risk Management. If a rental vehicle is to be used for a mix of personal and business purposes, the university's self-insurance coverage is only applicable for the portion of travel applicable to official business. The

employee or agent will want to check with his/her insurance agent regarding coverage for personal usage.

If the employee or agent plans to travel outside the United States, its territories and possessions, and Canada, the department should contact the Office of Risk Management for help in obtaining the appropriate coverage.

[2] Responsibilities After an Accident

The renter of a vehicle involved in an accident is responsible for immediately reporting the accident to the Office of Risk Management.

## **LOANED VEHICLES**

Use of loaned vehicles may be authorized when it benefits the campus. Expense reimbursement is for use of the vehicle regardless of the number of passengers. Some companies may lend vehicles to campuses, departments, or individuals for specified purposes. The operator is reimbursed for actual out-of-pocket expenses arising from using the vehicle for official business.

[1] Insurance on Loaned Vehicles

The university provides coverage for loaned vehicles if the campus has agreed in writing to accept responsibility for any liability or damage to the vehicle. The loaned vehicle must be used for official business.

For additional information, including the loan agreement form, contact the Office of Risk Management.

## **STATE-OWNED VEHICLES**

Motor pool vehicles may be used for official state business only. Use of a state vehicle is not authorized when costs are charged to Agency Funds, except for use by Campus Organizations or for other legitimate state business purposes as approved by authorized campus personnel. The department that authorizes a state vehicle's use is financially accountable for damages and all costs resulting from violations of policies relating to state vehicle use.

[1] Private Use Prohibited

Using a state-owned vehicle for private purposes or allowing another person to do so is prohibited (ORS 283.395) and punishable, upon conviction, by a fine (ORS 283.990).

[2] Vehicle Safety Including Authorized Drivers

University policy on Traffic, Parking and Vehicle Safety (former OAR 580-40-0030) provides safety guidelines regarding transportation in a state owned, leased or controlled vehicle.

[3] Overnight Parking at Employee's Residence

A state vehicle may be kept overnight at an employee's residence when doing so is approved in advance by authorized campus personnel.

## **MISCELLANEOUS EXPENSES**

Necessary business-related travel expenses are normally reimbursed. Personal expenses are not reimbursed. The university establishes the definition of miscellaneous expenses. All miscellaneous expenses must be itemized.

Necessary miscellaneous business-related expenses are not reimbursed using a per diem; rather, if the traveler has incurred a miscellaneous business expense as outlined below, that expense is reimbursable at the actual cost.

#### [1] Checked Baggage

Up to two (2) standard-weight bags (standard weight as defined by the airline used)

Charges for the following may be reimbursed only when approved by authorized institution personnel (receipts required):

- additional baggage (more than 2 bags)
- overweight baggage

#### [2] Other Business Related Expenses Normally Reimbursed

- Telephone
- Fax
- Internet
- Postage
- ATM cash advance fees
- Materials and supplies purchased to meet an immediate business need
- Visa and passport expenses
- Parking
- Tolls
- Energy surcharge

#### **PER DIEM RATE REFERENCES**

Per diem rates for the continental United States are determined using the federal rate in the IRS's High-Low Substantiation Method.

Per diem rates for the non-continental United States and Territories (e.g., Alaska, Hawaii, Guam, Puerto Rico) are determined by the US Department of Defense

Per diem rates for foreign locations are determined by the US Department of State

#### **OTHER RESOURCES**

[Link to per diem rates (see next page)]

#### **EXCEPTIONS**

Upon consideration of documented extenuating circumstances, exceptions to these policy provisions may be granted by the Vice President for Finance and Administration (VPFA) or designee.

**DOMESTIC PER DIEM RATES (AS OF 09/01/2016)**

Note: Example only. This section will not be included within the formal policy.

<b>Meals &amp; Incidental Expenses</b>	
Standard (low-cost) Localities	57.00
High-cost Localities	68.00

<b>Proration of Meals &amp; Incidental Expenses</b>	<b>Breakfast</b>	<b>Lunch</b>	<b>Dinner</b>	<b>IE</b>
Standard (low-cost) Localities	13.00	13.00	26.00	5.00
High-cost Localities	15.75	15.75	31.50	5.00

<b>Meals &amp; Incidental Expenses (Initial and Final Day; No Proration)</b>	
Standard (low-cost) Localities	42.75
High-cost Localities	51.00

<b>Lodging</b>	
Standard (low-cost) Localities	128.00
High-cost Localities	207.00

Standard non-commercial lodging	25.00
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<b>Other</b>	
Standard Tip/Gratuuity Rate	15.00%
Travel by private vehicle	\$0.54/mile

<b>High-cost localities per IRS high-low substantiation method:</b>			
<b>State</b>	<b>Key City</b>	<b>County and Other Defined Location</b>	<b>Effective Dates</b>
CA	Mammoth Lakes	Mono	12/1 - 2/29
	Monterey	Monterey	7/1 - 8/31
	Napa	Napa	5/1 - 10/31
	San Francisco	San Francisco	All year
	San Mateo, Foster City, Belmont	San Mateo	All year
	Santa Barbara	Santa Barbara	All year
	Santa Monica	City limits of Santa Monica	All year
	Sunnyvale, Palo Alto, San Jose	Santa Clara	All year
CO	Aspen	Pitkin	12/1 - 3/31 & 6/1 - 8/31
	Denver, Aurora	Denver, Adams, Arapahoe, Jefferson	All year
	Grand Lake	Grand	12/1-3/31
	Silverthorne/Breckenridge	Summit	12/1-3/31
	Steamboat Springs	Routt	12/1 - 3/31
	Telluride	San Miguel	12/1 - 3/31 & 6/1 -8/31
	Vail	Eagle	12/1 - 3/31 & 6/1 -8/31

DC	Washington D.C.	Washington D.C. (also the cities of Alexandria, Fairfax, and Falls Church, and the counties of Arlington and Fairfax in Virginia; and the counties of Montgomery and Prince George's in Maryland) (See also Maryland and Virginia)	All year
FL	Boca Raton, Delray Beach, Jupiter	Palm Beach and Hendry	1/1 - 4/30
	Fort Lauderdale	Broward	1/1 - 3/31
	Fort Walton Beach, De Funiak Springs	Okaloosa and Walton	6/1 - 7/31
	Key West	Monroe	All year
	Miami	Miami-Dade	12/1 - 3/31
	Naples	Collier	1/1 - 4/31
IL	Chicago	Cook and Lake	3/1 - 11/30
ME	Bar Harbor	Hancock	7/1 - 8/31
	Ocean City	Worcester	6/1 - 8/31
	Washington, D.C. Metro Area	Montgomery and Prince George's	All year
MA	Boston, Cambridge	Suffolk, City of Cambridge	All year
	Falmouth	City limits of Falmouth	7/1 - 8/31
	Martha's Vineyard	Dukes	6/1 - 9/30
	Nantucket	Nantucket	6/1 - 12/31
MI	Traverse City/Leland	Grand Traverse/Leelanau	7/1 - 8/31
NY	Lake Placid	Essex	7/1 - 8/31
	New York City - including boroughs of Manhattan, Brooklyn, The Bronx, Queens and Staten Island	Bronx, Kings, New York, Queens, and Richmond	All year
	Saratoga Springs, Schenectady	Saratoga and Schenectady	7/1 - 8/31
PA	Hershey	Hershey	6/1 - 8/31
	Philadelphia	Philadelphia	3/1 - 6/30 & 9/1 - 11/31
RI	Jamestown, Middletown, Newport	Newport	6/1 - 8/31
SC	Charleston	Charleston, Berkeley and Dorchester	3/1 - 11/30
TX	Midland	Midland	All year
UT	Park City	Summit	12/1 - 3/31
VA	Washington D.C. Metro Area	Cities of Alexandria, Fairfax and Falls Church; counties of Arlington and Fairfax	All year
	Virginia Beach	City of Virginia Beach	6/1 - 8/31
	Wallops Island	Accomack	7/1 - 8/31
WA	Seattle	King	All year
WY	Jackson, Pinedale	Teton and Sublette	6/1 - 9/30





# Policy Concept Form

All policy proposals including new policy concepts, recommendations to revise, or requests to repeal must be submitted via this form to the University Secretary. The Secretary will forward completed concept forms to the President's Policy Advisory Council for consideration pursuant to I.03.01 Policy on University Policies. When submitting a policy concept form, please keep the following university definition of "policy" in mind:

*A University Policy ("Policy") is a policy that (1) has broad application or impact throughout the University community, (2) must be implemented to ensure compliance with state or federal law, (3) is necessary to enhance the University's mission, to ensure institutional consistency and operational efficiency, or to mitigate institutional risks; or (4) is otherwise designated by the Board or the President as a University Policy subject to the Policy- Making Process authorized in section 4. A policy establishes rights, requirements or responsibilities. Excluded from this definition are things such as, but not limited to, implementation guides, operating guidelines, internal procedures, and similar management controls and tools.*

<b>Name:</b>	Andre Le Duc
<b>Email:</b>	leduc@uoregon.edu
<b>Phone:</b>	541-346-5833
<b>University Affiliation:</b>	Employee/Chief Resilience Officer and Associate VP for Safety and Risk Services

**Policy Subject Matter** (please included existing policy number(s) if available)

Formerly UO Policy 08.00.02, the policy addresses responsibilities, corrective action and reporting, etc., related to physical and environmental safety on campus.

**Statement of Need and Desired Result** (please describe what we accomplish with the proposed action)

The proposed changes are to provide accurate and useful information about the responsibilities for establishing and maintaining health and safety at the university and the oversight mechanisms in place when hazards and risk need to be addressed.

**Affected Policy Stakeholders** (please list all known impacted stakeholders and the nature of those impacts)

All members of the university community are affected by the Safety policy and have responsibility to protect human health and the environment.

**Proposed Action** (i.e., new, revision, repeal)

Revision

### Reason for Policy

To protect human health and the environment, ensure regulatory compliance, and preserve university interests and assets.

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### Entities Affected by this Policy

All members of the UO community and visitors.

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### Web Site Address for this Policy

<http://policies.uoregon.edu/policy/by/1/08-health-and-safety/safety>

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### Responsible Office

Safety and Risk Services, (541) 346-2021, [entriskserv@uoregon.edu](mailto:entriskserv@uoregon.edu)

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### Enactment & Revision History

10/05/2010 Title change from University Safety to Safety  
02/08/2010 Policy number revised from 8.000 to 08.00.02  
10/11/2000 Approved by President's staff

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### Policy Text

#### RED-LINED COPY OF PROPOSED POLICY:

~~Under the laws of Oregon, certain federal regulations and ordinances of the City of Eugene, the University of Oregon is responsible "...to assure as far as possible safe and healthful working conditions..." (ORS 654.003). The University also interprets this statute to include responsibility for assuring safe and healthful living and studying conditions for its students and safe environment for campus visitors.~~

~~To monitor its safety and health responsibilities, the University has established Department of Campus Operations, which is responsible for the oversight of the University's total safety and health environment. As needed, the University establishes advisory committees to review and make recommendations on general safety matters or special areas of safety or health concerns. The charges of such committees are described in Section 1.000 of University Policy statements.~~

- I. **Responsibilities**
  - a. Safety is the **shared** responsibility of **everyone** ~~all employees~~. The ~~University~~ **president** expects all **university personnel to support the university's safety policy and associated procedures** ~~its employees to cooperate fully and as promptly as possible to all~~

applicable regulations issued under state, federal and local authorities, to correct defects of deficiencies in its environment. The University expects

- b. The provost and vice presidents are responsible to ensure implementation and enforcement of this policy in all facilities and operations within their respective portfolios.
- c. All administrators, deans, department heads, directors, supervisors and/or principal investigators officers of administration are directly accountable responsible for the safety and health of the total environment(s) (work and/or living) for which they are responsible. That This includes all students, visitors, staff, and the environment and University property for which they have oversight. This also includes establishment and management of safety programs and ongoing support by each unit for safety, including the provision of appropriate training and personal protective equipment.
- d. Safety and Risk Services is responsible for providing training, technical expertise and assistance to campus partners regarding compliance with laws, regulations, and policies and the protection of human health and the environment.
- e. All employees are responsible for reporting accidents, unsafe working conditions or hazards of any nature. Such a report shall be made to an first to their immediate supervisor who shall report the situation to the appropriate person or office for action except in instances of immediate medical attention needs when 9-1-1 should be the first notification.
- f. The University will annually advise employees of the name and contact information of the University Safety Representative.

## II. Imminent Danger

In case of imminent danger to life or health, Environmental Health and Safety (EHS), the University Fire Marshal, and/or a designee of either has authority to suspend an activity immediately until the hazardous condition is abated or adequate measures are taken to minimize exposure of students, faculty, staff, visitors and the environment to that danger.

## III. Corrective Action and Reporting

- a. If after reporting to the supervisor that a specific task or assignment may jeopardize personal health or safety, and correction is not made, the employee may refuse to perform such activity without penalty until the appropriate health or safety representative has reviewed the situation and made a finding. Any employee has the right to report any unsafe or hazardous condition directly to a safety representative or to appropriate local, state or federal authorities.
- b. Safety violations, injury reports, and corrections made will be reviewed and reported to the university's Safety Advisory Committee at its regularly scheduled meeting.

## IV. Committees

Safety and Risk Services unit may form such committees as the head of that unit deems necessary and appropriate to ensure and maintain regulatory compliance.

One criterion for evaluation of administrative personnel shall be their administration of safety procedures, including prompt and appropriate reporting of safety hazards, implementation of safety corrective actions, cooperation with and responsiveness to safety and environment health professionals.

The University is committed to providing appropriate safety and environmental training for all employees.

**CLEAN COPY OF PROPOSED POLICY:**

**Safety - Physical Space and Environment Policy**

**I. Responsibilities**

- a. Safety is the shared responsibility of everyone. The president expects all university personnel to support the university's safety policy and associated procedures.
- b. The provost and vice presidents are responsible to ensure implementation and enforcement of this policy in all facilities and operations within their respective portfolios.
- c. All administrators, deans, department heads, directors, supervisors and/or principal investigators are directly accountable for the safety and health of the total environment(s) (work and/or living) for which they are responsible. This includes all students, visitors, staff, the environment and university property for which they have oversight. This also includes establishment and management of safety programs and ongoing support by each unit for safety, including the provision of appropriate training and personal protective equipment.
- d. Safety and Risk Services is responsible for providing training, technical expertise and assistance to campus partners regarding compliance with laws, regulations, and policies and the protection of human health and the environment.
- e. All employees are responsible for reporting accidents, unsafe working conditions or hazards of any nature. Such a report shall be made to an immediate supervisor who shall report the situation to the appropriate person or office for action except in instances of immediate medical attention needs when 9-1-1 should be the first notification.
- f. The University will annually advise employees of the name and contact information of the University Safety Representative.

**II. Imminent Danger**

In case of imminent danger to life or health, Environmental Health and Safety (EHS), the University Fire Marshal, and/or a designee of either has authority to suspend an activity immediately until the hazardous condition is abated or adequate measures are taken to minimize exposure of students, faculty, staff, visitors and the environment to that danger.

**III. Corrective Action and Reporting**

- a. If after reporting to the supervisor that a specific task or assignment may jeopardize personal health or safety, and correction is not made, the employee may refuse to perform such activity without penalty until the appropriate health or safety representative has reviewed the situation and made a finding. Any employee has the right to report any unsafe or hazardous condition directly to a safety representative or to appropriate local, state, or federal authorities.
- b. Safety violations, injury reports, and corrections made will be reviewed and reported to the university's Safety Advisory Committee at its regularly scheduled meeting.

**IV. Committees**

Safety and Risk Services unit may form such committees as the head of that unit deems necessary and appropriate to ensure and maintain regulatory compliance.

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**Related Resources**

The UO has a number of standing committees and teams, such as: Safety Advisory Committee, Laboratory Safety Committee, Radiation Safety Committee, Environmental Issues Committee, Accident Review Board, Institutional Biosafety Committee, Incident Management team, and Strategic Enterprise Risk Management and Compliance Committee to uphold the expectations of this policy and to develop procedures for compliance. It also maintains plans required to maintain regulatory compliance.

The responsibilities of the committees include:

- Promoting occupational and personal safety, wellness and environmental consideration.
- Protecting life, property, the environmental, and mission critical essential services and facilities.
- Identifying and correcting health and safety hazards and encouraging students, faculty and staff to report potential hazards.
- Providing information and training related to potential safety hazards.
- Adhering to compliance requirements by federal, state and local authorities.
- Increasing the university's resilience to health and safety conditions impacting its ability to achieve the core mission of teaching, discovery, and service.



## RECOMMENDATION

The changes proposed are intended to accurately reflect the multiple modes of access to UO facilities, including keys and electronic cards. The changes reflect changes in titles and add clarity with regard to Housing facilities' authority and roles of the Access Control Advisory Committee.

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## ENTITIES AFFECTED BY THIS POLICY

The policy has wide impact to all employees who work at university facilities or off-campus leased properties.

This policy was reviewed by the Key Request Advisory Group (Director of Security and Special Events, Security Manager, Lock and Door Support Supervisor, Director of Enterprise Risk Management and Director of Finance and Administration Shared Services). The group met in September 2015 to review the policy and outline initial changes; subsequent revisions were made via email.

This policy maintains oversight with Vice-President for Finance and Administration and assigns the University of Oregon Police Department with administering the access control. Delegation is also granted to the University Housing Director and University ID card services – this is language that was in the previous policy.

Director Finance and Administration Shared Services will be overseeing the fee structure process.

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## WEB SITE ADDRESS FOR THIS POLICY

<http://policies.uoregon.edu/key-control>

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## RESPONSIBLE OFFICE

For questions about this policy, please contact University of Oregon Police Department at 541-346-2919.

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## ENACTMENT & REVISION HISTORY

Technical revisions enacted by the University Secretary on September 4, 2015.

Became a University of Oregon Policy by operation of law on July 1, 2014.

Former Oregon Administrative Rule Chapter 571 Division 50 Section 0035.

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## POLICY

Marked version:

*Reason for Policy:*

This policy outlines regulations pertaining to the access control to University Facilities, ~~authorization of use and issuance of University of Oregon facility keys.~~

*Policy:*



## Introduction

To regulate ~~the control, authorization of use and issuance of access to~~ University of Oregon ~~facility~~ ~~keys~~ ~~Facilities~~, the President of the University designates the Vice-President for ~~Finance and Administration~~ ~~or designee~~ to administer the University's ~~key access~~ control policy. ~~The Director of Public Safety~~ ~~University of Oregon Police Department Chief~~ shall administer the University's ~~key access control program~~.

### (1) Definitions. As used in this policy, the following definitions apply:

- (a) "University" shall mean University of Oregon;
- (b) "Facility(ies)" shall mean any University building, house, room or area to which access is controlled by a key, electronic access device or by another device normally restricting access;
- (c) "Grand Master Key" shall mean a key which opens all doors in two or more University buildings ~~or departments~~;
- (d) "Master Key" shall mean a key which opens all doors in a University building ~~or department~~;
- (e) "Sub-Master Key" shall mean a key which opens more than one door in a portion of a University building;
- (f) "Change Key" shall mean a key which opens a door within a University building;
- (g) "Outside Door Key" shall mean a key which opens an exterior door of a University building;
- (h) "Access Card" shall mean an ID card or similar object used in an electronic reader to permit access into a University ~~building~~ ~~Facility~~;
- (i) "Access Level" shall mean the software control uses to determine time and place an access card holder may enter a University ~~building or electronically controlled door~~ ~~Facility~~.

### (2) Regulation of ~~Keys and Access Cards~~:

- (a) The issuance of all keys and assignment of card access levels to University ~~F~~ ~~facilities~~ shall be subject to the provisions of this policy;
- (b) ~~The University Department of Public Safety~~ ~~Campus Planning and Facilities Management Operations (Lock and Door Shop)~~ shall be the sole source for the making, duplicating, manufacturing, ~~or and~~ cutting of ~~any all non-Housing~~ University ~~F~~ ~~facility~~ keys. ~~The University Housing Director shall be responsible for access control to Housing Facilities.~~ The University ID card services shall be the sole source for making and duplicating "Access Cards" ~~for academic buildings~~. These departments or the departments' designees shall be subject to ~~all the regulations in~~ this policy and responsible for maintaining accurate key and access card inventory issuance, ~~and~~ return records ~~as well as~~ access information, and access records;
- (c) Persons to whom keys and access cards to University ~~F~~ ~~facilities~~ are issued are prohibited from duplicating such keys and access cards;
- (d) Persons violating the University ~~key access control~~ policy are subject to disciplinary sanctions;
- (e) A three- or four-member ~~Key Access~~ Control Advisory Committee shall be appointed by the Vice-President for ~~Finance and~~ Administration each year. ~~The committee shall serve from September to June. It shall review all department requests for multiple key issuance and perform other advisory functions outlined in the key control policy.~~ It shall be advisory to the Vice-President for ~~Finance and~~ Administration. ~~The Director of Public Safety shall act as staff advisor to the committee~~;
- (f) Keys to University ~~F~~ ~~facilities~~ may be issued to departments, University faculty, staff, graduate assistants and students, and to non-University persons authorized in writing by the appropriate dean, director or department head to have access to University ~~F~~ ~~facilities~~;
- (g) ~~Departments may request a consignment of change and outside door keys to be issued to and administered by the department for use limited within that department. This written request shall be reviewed by the Key Committee, which is authorized to grant, deny, or modify the request. The~~



~~department request shall include statements to justify the need for the number of keys requested and shall outline how it plans to assure the proper use and control of keys placed in its custody. These keys may be acquired by department requisition. Departments shall designate a department designee to The department's administrative officer shall maintain accurate records of all keys issued to the department. Upon written request of the Director of Public Safety or the Director of Business Affairs, the department's administrative officer shall present a current accounting of all keys issued to the department. An annual accounting of keys shall be filed with the Director of Public Safety University of Oregon Police Department Chief by June 30 of each year;~~

~~(h) An emergency key board shall be maintained by the Department of Public Safety and by the University Housing to be used by Public Safety or Physical Plant personnel in emergencies after normal business hours;~~

~~(i) The University Housing Director, subject to the regulations of this policy, shall be responsible for the issuance of keys for University housing and the maintenance of accurate key inventory, issuance and return records. An annual accounting of University Housing keys shall be filed with the Director of Public Safety by June 30 of each year.~~

### **(3) Conditions of Issuance:**

(a) ~~A Grand Mmaster Key and or Mmaster Kkeys~~ shall be issued only upon the written authorization of the ~~Director of Public Safety or, in the case of keys issued to supervisory personnel in the Physical Plant, upon the written authorization of the Director of the Physical Plant~~ [Vice-President for Finance and Administration or designee](#) ~~University of Oregon Police Department Chief or designee;~~

(b) A ~~sSub-Mmaster Kkey~~ shall be issued only upon the written authorization of department head, director, ~~or dean, or the Director of the Physical Plant;~~

(c) A ~~Cchange Kkey~~ shall be issued only upon receipt of the standard key request authorization form issued by the University department to which key applicant is assigned;

(d) An ~~Ooutside Ddoor Kkey~~ shall be issued only upon receipt of the standard key request authorization form issued by a department head, director, dean, ~~other administrative officer~~ or designated representative.

### **(4) Conditions of ~~Key-Use~~ Access and Key Use:**

(a) Any person or department issued University key(s) accepts the responsibility for promptly notifying the ~~Department of Public Safety University of Oregon Police Department~~ and the person's immediate supervisor in the event the key(s) disappears, is lost, stolen, or otherwise misplaced;

(b) If the loss, theft, disappearance or misplacement of a key requires the changing of a lock or locks, the cost of changing the lock(s) shall be borne by the responsible University department. Appeals for exception to this requirement may be made to the [Key-Access Control Advisory Committee](#);

(c) Authorized non-University persons, ~~such as contractors on job sites, window washers, elevator maintenance personnel, etc.,~~ requiring short-term key access to University ~~F~~facilities shall obtain needed keys from ~~the Department of Public Safety or the office of the Director of the Physical Plant~~ [Campus Planning and Facilities Management Campus Operations](#) ~~and providing appropriate payment. after paying a deposit or a monetary consideration in the contract for services.~~ Keys for such short-term access shall be issued for a specified time period and must be returned to the issuing office as specified;

~~(d) The University building inspector shall obtain any needed keys from the Department of Public Safety on the inspector's personal signature.~~

### **(5) ~~Deposit~~ Fees:**





~~(a) A deposit fee structure for the issuance of keys will be maintained and reviewed annually. made at the time keys are obtained from the Department of Public Safety, deposit to be returned upon return of the key;~~

~~(b) Deposit fees and lost key replacement charges for grand master, master or sub-master keys are published annually in the Public Safety subsection of Special Fees, Fines, Penalties, Service Charges (UO Policy 571.060(A)).~~

~~(6) Sanctions:~~

~~(a) The University reserves the right to impose reasonable sanctions, including disciplinary actions upon persons violating the University key policy;~~

~~(b) The University Payroll office shall, upon written request of the Director of Public Safety, withhold from the paychecks of University employees the appropriate amount as listed in UO Policy 571.060(A) for change of, unreturned or lost grand master, master or sub-master as well as outside door or dorm keys;~~

~~(c) Students who have not paid a deposit and who do not return issued keys as specified or upon demand shall be reported to the Director of Public Safety who may assess a fine. Appeals of the fine may be made to the Key Control Advisory Committee;~~

~~(d) When a key deposit in excess of \$1 per key is required or the use of multiple keys is an integral part of a job, classified employees may elect to sign an agreement promising to return the key(s) upon demand or to authorize a deduction from their pay of an amount equal to the required deposit(s) if the key(s) are not returned.~~

Clean version:

*Reason for Policy:*

This policy outlines regulations pertaining to the access control to University Facilities.

*Policy:*

### **Introduction**

To regulate access to University of Oregon Facilities, the President of the University designates the Vice-President for Finance and Administration or designee to administer the University's access control policy.

### **(1) Definitions. As used in this policy, the following definitions apply:**

(a) "University" shall mean University of Oregon;

(b) "Facility(ies)" shall mean any University building, house, room or area to which access is controlled by a key, electronic access device or by another device normally restricting access;

(c) "Grand Master Key" shall mean a key which opens all doors in two or more University buildings;

(d) "Master Key" shall mean a key which opens all doors in a University building;

(e) "Sub-Master Key" shall mean a key which opens more than one door in a portion of a University building;

(f) "Change Key" shall mean a key which opens a door within a University building;

(g) "Outside Door Key" shall mean a key which opens an exterior door of a University building;

(h) "Access Card" shall mean an ID card or similar object used in an electronic reader to permit access into a University Facility;

(i) "Access Level" shall mean the software control uses to determine time and place an access card holder may enter a University Facility.

### **(2) Regulation of Access:**



- (a) The issuance of all keys and assignment of card access levels to University Facilities shall be subject to the provisions of this policy;
- (b) Campus Planning and Facilities Management (Lock and Door Shop) shall be the sole source for the making, duplicating, manufacturing, and cutting of all non-Housing University Facility keys. The University Housing Director shall be responsible for access control to Housing Facilities. The University ID card services shall be the sole source for making and duplicating "Access Cards" for academic buildings. These departments or the departments' designees shall be subject to this policy and responsible for maintaining accurate key and access card inventory issuance, return records, access information, and access records;
- (c) Persons to whom keys and access cards to University Facilities are issued are prohibited from duplicating such keys and access cards;
- (d) Persons violating the University access control policy are subject to disciplinary sanctions;
- (e) A three- or four-member Access Control Advisory Committee shall be appointed by the Vice-President for Finance and Administration each year. It shall be advisory to the Vice-President for Finance and Administration;
- (f) Keys to University Facilities may be issued to departments, University faculty, staff, graduate assistants and students, and to non-University persons authorized in writing by the appropriate dean, director or department head to have access to University Facilities;
- (g) Departments shall designate a department designee to maintain accurate records of all keys issued to the department. An annual accounting of keys shall be filed with the University of Oregon Police Department Chief by June 30 of each year;

**(3) Conditions of Issuance:**

- (a) A Grand Master Key or Master Key shall be issued only upon the written authorization of the Vice-President for Finance and Administration or designee;
- (b) A Sub-Master Key shall be issued only upon the written authorization of department head, director, or dean,;
- (c) A Change Key shall be issued only upon receipt of the standard key request authorization form issued by the University department to which key applicant is assigned;
- (d) An Outside Door Key shall be issued only upon receipt of the standard key request authorization form issued by a department head, director, dean, or designated representative.

**(4) Conditions of Access and Key Use:**

- (a) Any person or department issued University key(s) accepts the responsibility for promptly notifying the University of Oregon Police Department and the person's immediate supervisor in the event the key(s) disappears, is lost, stolen, or otherwise misplaced;
- (b) If the loss, theft, disappearance or misplacement of a key requires the changing of a lock or locks, the cost of changing the lock(s) shall be borne by the responsible University department. Appeals for exception to this requirement may be made to the Access Control Advisory Committee;
- (c) Authorized non-University persons, requiring short-term access to University Facilities shall obtain needed keys from Campus Planning and Facilities Management and providing appropriate payment. Keys for such short-term access shall be issued for a specified time period and must be returned to the issuing office as specified;

**(5) Fees:**

A fee structure for the issuance of keys will be maintained and reviewed annually. ;

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UNIVERSITY OF OREGON

## **RELATED RESOURCES**

Key Request Advisory Group Request Memo, May 11, 2015

# Policy Concept Form

All policy proposals including new policy concepts, recommendations to revise, or requests to repeal must be submitted via this form to the University Secretary. The Secretary will forward completed concept forms to the President's Policy Advisory Council for consideration pursuant to I.03.01 Policy on University Policies. When submitting a policy concept form, please keep the following university definition of "policy" in mind:

*A University Policy ("Policy") is a policy that (1) has broad application or impact throughout the University community, (2) must be implemented to ensure compliance with state or federal law, (3) is necessary to enhance the University's mission, to ensure institutional consistency and operational efficiency, or to mitigate institutional risks; or (4) is otherwise designated by the Board or the President as a University Policy subject to the Policy- Making Process authorized in section 4. A policy establishes rights, requirements or responsibilities. Excluded from this definition are things such as, but not limited to, implementation guides, operating guidelines, internal procedures, and similar management controls and tools.*

<b>Name:</b>	Angela Wilhelms
<b>Email:</b>	wilhelms@uoregon.edu
<b>Phone:</b>	6-5561
<b>University Affiliation:</b>	University Secretary (submitted on behalf of VPFA, General Counsel)

**Policy Subject Matter** (please included existing policy number(s) if available)

Former Oregon University System (OUS) Policy "Administration of FCC Licenses Operated Within OUS" (listed as OUS 24) (attached), which governed the OUS and State Board's role in oversight and administration of such licenses.

**Statement of Need and Desired Result** (please describe what we accomplish with the proposed action)

OUS 24 is no longer necessary following the governance transition and the abolishment of the OUS and State Board. First, the policy delegated authority to universities, which no longer necessary given independent authority. Second, there is no longer oversight by OUS/SBHE. The UO directly handles such licenses, which were signed over to the UO directly by OUS in 2014. The UO is obligated to follow federal law and regulation. There are no operational components to the policy that would otherwise need to remain in tact.

**Affected Policy Stakeholders** (please list all known impacted stakeholders and the nature of those impacts)

None. Repeal has no impact on current authority, oversight, responsibility or operations. This repeal has been reviewed and recommended by VPFA (owner and responsible party for FCC licenses) and General Counsel.

**Proposed Action** (i.e., new, revision, repeal)

Repeal

**Reason for Policy**

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**Entities Affected by this Policy**

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**Web Site Address for this Policy**

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**Responsible Office**

Office of the Vice President for Finance and Administration: (541) 346-3003, [vpfa@uoregon.edu](mailto:vpfa@uoregon.edu)

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**Enactment & Revision History**

Became a UO policy by operation of law on July 1, 2014.  
Adopted by the SBHE June 21, 2002.

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**Policy**

Oregon's public universities operate a variety of wireless telecommunications services that are licensed by the Federal Communications Commission (FCC).

As the legal owner of the FCC licenses, the Oregon State Board of Higher Education (Board) has the responsibility to see that the licenses are administered accurately and in accordance with FCC regulations. In addition, the Board has the authority to delegate these administrative functions within OUS.

The Chancellor, as the administrative officer of the Board, is delegated the oversight for those administrative functions required by FCC licensure. The Chancellor is the repository for such license documentation deemed necessary to protect the rights of the Board. The Chancellor is authorized to further delegate responsibility to the institutions of OUS. In this capacity, the institutions would serve as agents of the Board.

It is the institutions' responsibility for those functions delegated to them, to provide capable management of those functions, to conduct business with the FCC in accordance with FCC regulations, to report such business proceedings to the Chancellor, and to provide necessary documentation concerning these licenses to the Chancellor as required.

1. Purpose

The purpose of these procedures is to provide standards for the administration of FCC licenses within the Oregon University System consistent with the adopted Oregon State Board of Higher Education (Board) policy regarding FCC licenses.

2. Delegation of FCC License Administration

Pursuant to the Board policy on FCC Licenses, and in accordance with the Chancellor's authority as the administrative officer of the Board, the administration of all FCC licenses owned by the Board and operated by the institutions of the Oregon University System (OUS) is hereby delegated to the institution presidents. This delegation includes the signature authority to conduct business with the FCC as a legal agent of the Board.

3. Chancellor's Oversight Function

In accordance with the Chancellor's authority to provide oversight of these administrative functions, the Chancellor shall specify the data to be reported and the frequency of reporting. The Chancellor has determined that a current copy of each FCC license owned by the Board will be required for storage within the Chancellor's Office files and for each group of FCC licenses the institution decides to administer as a unit (a unit is defined as one or more FCC licenses administered by the same person), the institution must provide the following information to the Chancellor:

- A list of the FCC Call Signs being assigned to the unit.
- The FCC Registration Number (FRN) for each Call Sign in the unit.
- The position that has been delegated the responsibility, by the institution president, for administering the unit. Include the name, title, phone number, and e-mail address of the person in that position.
- The name of the engineer that maintains the licensed equipment in the unit. If more than one engineer performs the maintenance, list the call signs with which each is responsible. Engineer is defined as the lead OUS engineer, or if other than OUS staff, the name of the firm contracted to perform the maintenance.
- A completed Signature Authorization Request form signed by the person administering the unit.

4. Reporting Requirements

- (a) Maintenance of Information: It will be the responsibility of the institution to keep the information listed under Chancellor's Oversight Function current with the Chancellor. This means that whenever changes occur to a call sign, a copy of the final status that is granted by the FCC for each filing will be forwarded to the Chancellor. For example, when a license is renewed, a copy of the document granting the renewal must be forwarded. Likewise, when an application for a



**Related Resources**

NA





## Policy Concept Form

As part of the University of Oregon Policy development process, all new Policy proposals, as well as proposals for the revision or repeal of existing Policies, must be submitted via this form to the University Secretary (the policy custodian). The Secretary will forward completed concept forms to the President’s Policy Advisory Council for consideration pursuant to the University’s Policy on University Policies. Please remember:

A “Policy” as defined by the University Policy on Policies (1) has broad application or impact throughout the University community, (2) must be implemented to ensure compliance with state or federal law, (3) is necessary to enhance the University’s mission, to ensure institutional consistency and operational efficiency, or to mitigate institutional risks; or (4) is otherwise designated by the Board or the President as a University Policy subject to the Policy-Making Process authorized in Section 4. A policy establishes rights, requirements or responsibilities. Excluded from this definition are things such as, but not limited to, implementation guides, operating guidelines, internal procedures, and similar management controls and tools.

[Complete the following information as thoroughly as possible; response boxes will expand as filled.]

**CONCEPT SUBMITTED BY:**

<b>NAME:</b>	Steve Robinson and Rosa Chavez
<b>PHONE:</b>	6-9386/6-2848
<b>EMAIL:</b>	sr1@uoregon.edu & rosaura@uoregon.edu
<b>ORGANIZATION:</b>	Enrollment Management & CMAE

**POLICY CONCEPT SUBJECT MATTER (including existing policy number if appropriate):**

Repeal of OSBHE OUS 36 Minority Student Enrollment Initiative.
----------------------------------------------------------------

**STATEMENT OF NEED FOR THIS POLICY CONCEPT (i.e. What is the problem this concept seeks to address, and how does this proposal do so?):**

This policy is no longer necessary as units are addressing through other mechanisms including the University's IDEAL plan. Additionally this policy, effective in 1987, set targeted recruitment goals and addressed fee waivers systemwide featuring a campus specific distribution. These goals and fee waivers are moot as both goal setting and granting of waivers are handled in a very different manner today. The Office of Admissions, as part of their strategic planning process, sets regular goals that are reactive to changes in high school graduation patterns and other pressures. This allows for more fluidity and adaptation than placing specific goals in policy. Fee waivers are handled by the Office of Financial Aid and Scholarships. Their number and dollar amount value are calibrated on a regular basis to match enrollment.

**WHO OR WHAT MIGHT BE AFFECTED BY THIS POLICY CONCEPT, AND HOW? *List all individuals, groups, etc. that would be impacted by this concept and the nature of any possible impacts (both positive and negative).***

Faculty, staff and students as it pertains to enrollment numbers and diversity of students body.

**WHAT COSTS MIGHT BE ASSOCIATED WITH THIS CONCEPT, BOTH IMPLEMENTATION AND RECURRING?**

None

**WHAT OTHER RESOURCES (HUMAN, PHYSICAL, OPERATIONAL, FINANCIAL, TECHNOLOGICAL, ETC.), WILL BE NEEDED TO IMPLEMENT AND MAINTAIN COMPLIANCE WITH THIS POLICY?**

None

**DOES THE PROPOSED CONCEPT IMPACT EXISTING POLICIES, GUIDELINES OR PROCEDURES? DOES THE PROPOSED CONCEPT RELATE TO A MATTER WITHIN A UNION CONTRACT? IF SO, PLEASE LIST.**

Yes - please see above.

**ADDITIONAL INFORMATION YOU WISH TO SHARE?**

The Division of Enrollment Management, through their overall strategic planning will develop policies and goals that will allow flexibility but remain true to the goals of increasing access, equity and diversity within the student body of the UO.

**PLEASE PROVIDE ANY SUGGESTED LANGUAGE AS AN ATTACHMENT TO THIS FORM.**

FOR OFFICE USE ONLY  
Date Received:

**Reason for Policy**

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**Entities Affected by this Policy**

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**Web Site Address for this Policy**

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**Responsible Office**

Division of Equity and Inclusion: 541-346-3175, [vpinclusion@uoregon.edu](mailto:vpinclusion@uoregon.edu) OR

Office of Enrollment Management: 541-346-9386, [vpem@uoregon.edu](mailto:vpem@uoregon.edu)

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**Enactment & Revision History**

Became a UO policy by operation of law on July 1, 2014.

Adopted by the Oregon State Board of Higher Education May 15, 1987.

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**Policy**

The Minority Student Enrollment Initiative was proposed to achieve the goal of a more diverse student body in Oregon's eight public colleges and universities. The initiative is described below:

The Proposal

The goal of the Minority Student Enrollment Initiative is to double the enrollment of new freshmen, underrepresented minority students (145 in 1986) to 290 by fall 1989. Concurrently, all institutional student services and academic support programs would be directed to make every effort to improve the retention of those students once enrolled.

The Minority Student Enrollment Initiative has two components:

1. Better and more intensive recruitment efforts, and
2. Special financial incentives and support through a waiver of mandatory fees required for enrollment. Currently, all mandatory fees total approximately \$1,500.

First, extra and special recruitment efforts would be undertaken Systemwide and by each institution to identify, contact, and encourage qualified underrepresented minority students in Oregon to attend a state college or university.

Second, a waiver of mandatory fees for enrollment (about \$1,500) would be awarded to 146 Black, Hispanic, and Native American students enrolling as first-time freshmen who are Oregon residents and meet all regular admission requirements. Waivers would be awarded on a competitive basis by a committee on each System campus. The award would be renewed annually for up to five years (or a maximum of 15 regular academic terms) as long as the student completes 36 credit hours of coursework with a 2.00 GPA each academic year and makes normal progress toward an undergraduate degree. Applications for the awards would be solicited through recruitment activities and from schools, appropriate agencies, and organizations.

A total of 146 fee waivers would be allocated Systemwide each academic year of the biennium as follows:

<u>Institution</u>	<u>Number</u>	<u>Approximate Fee Waiver Amount</u>	<u>Approximate Totals (1 Year)</u>
UO	32	\$1,500	\$48,000
OSU	32	1,500	48,000
PSU	32	1,500	48,000
OHSU	10	1,500	15,000
SOU	10	1,500	15,000
WOU	10	1,500	15,000
EOU	10	1,500	15,000
OIT	<u>10</u>	1,500	<u>15,000</u>
TOTAL	146		\$219,000

Projected program cost for 1987-1989 biennium: \$569,400.

If an institution does not fully use its annual allocation by June 1, the remaining allocations would become available to other System institutions until all allocations are utilized. (Because this program is being considered late in the academic year, institutions would have until August 14, 1987, to fill their quotas for the fall 1987 class.)

**Summary**

The Minority Student Enrollment Initiative would immediately and realistically address the need in Oregon to provide a more representative pattern of enrollment by all segments of the population in Oregon's state colleges and universities. The System is confident that the benefits of this effort will also stimulate the enrollment of underrepresented minority students in other postsecondary institutions in Oregon. Lastly, and in addition, the System will pursue vigorously

other programs that enhance the college enrollment and success of underrepresented minority students.

In approving the program, the Board noted that consideration would be given to the request to include the GED student population within the scope of the program. Flexibility should be maintained to permit necessary changes. Brief yearly reports should be submitted to the Board for information. At the end of four years from the inauguration of the program, the staff shall prepare a report for submission to the Board on the effectiveness of the program, describing how the program is working and evaluating what changes, if any, should be made to improve it.

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**Related Resources**

NA

# Policy Concept Form

All policy proposals including new policy concepts, recommendations to revise, or requests to repeal must be submitted via this form to the University Secretary. The Secretary will forward completed concept forms to the President's Policy Advisory Council for consideration pursuant to I.03.01 Policy on University Policies. When submitting a policy concept form, please keep the following university definition of "policy" in mind:

*A University Policy ("Policy") is a policy that (1) has broad application or impact throughout the University community, (2) must be implemented to ensure compliance with state or federal law, (3) is necessary to enhance the University's mission, to ensure institutional consistency and operational efficiency, or to mitigate institutional risks; or (4) is otherwise designated by the Board or the President as a University Policy subject to the Policy- Making Process authorized in section 4. A policy establishes rights, requirements or responsibilities. Excluded from this definition are things such as, but not limited to, implementation guides, operating guidelines, internal procedures, and similar management controls and tools.*

<b>Name:</b>	Angela Wilhelms
<b>Email:</b>	wilhelms@uoregon.edu
<b>Phone:</b>	6-5561
<b>University Affiliation:</b>	University Secretary

**Policy Subject Matter** (please included existing policy number(s) if available)

Former OAR 580.01.0030 - Confidentiality and Inadmissability of Mediation Communications.

**Statement of Need and Desired Result** (please describe what we accomplish with the proposed action)

This policy should be repealed; not applicable post-governance. Language in this policy was adopted by OUS and follows the AG's model language for state agencies. The UO is not a state agency; however, UO is still governed by applicable statutes, including those cited in the OAR (see ORS Chs 36, 40, 192). Thus, parties and records are still protected even w/o OAR needed by OUS. Recommendation stemmed from OGC. HR agrees. The Office of Community Dispute Resolution reviewed to ensure repeal doesn't impact its operations.

**Affected Policy Stakeholders** (please list all known impacted stakeholders and the nature of those impacts)

None; protections and statutes related to this issue are in tact and the UO must follow those. This repeals a policy of OUS that is not needed by UO.

**Proposed Action** (i.e., new, revision, repeal)

Repeal

### **Reason for Policy**

This policy outlines the confidentiality pertaining to certain communications generated during or relating to mediation involving the University, to which the University is a party, or for which the University acts as a mediator.

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### **Entities Affected by this Policy**

Those interested in obtaining mediation records; all those involved with mediation or maintaining or working with mediation related communications.

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### **Web Site Address for this Policy**

<http://policies.uoregon.edu/confidentiality-and-inadmissibility-mediation-communications>

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### **Responsible Office**

For questions about this policy, please contact the Public Records Office at 541-346-6823 or General Counsel at 541-346-3043.

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### **Enactment & Revision History**

Technical revisions enacted by the University Secretary on September 4, 2015.

Became a University of Oregon Policy by operation of law on July 1, 2014.

Former Oregon Administrative Rule Chapter 580 Division 1 Section 30.

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### **Policy**

#### **Confidentiality and Inadmissibility of Mediation Communications**

(1) The words and phrases used in this rule have the same meaning as given to them in ORS 36.110 and 36.234.

(2) Nothing in this policy affects any confidentiality created by other law. Nothing in this rule relieves a public body from complying with the Public Meetings Law, ORS 192.610 to 192.690. Whether or not they are confidential under this or other policies of the University, mediation



communications are exempt from the disclosure under the Public Records Law to the extent provided in 192.410 to 192.505.

(3) This policy applies only to mediations in which the University is a party or is mediating a dispute as to which the University has regulatory authority. This policy does not apply when the agency is acting as the "mediator" in a matter in which the agency also is a party as defined in ORS 36.234.

(4) To the extent mediation communications would otherwise compromise negotiations under ORS 40.190 (OEC Rule 408), those mediation communications are not admissible as provided in 40.190 (OEC Rule 408), notwithstanding any provisions to the contrary in section (9) of this policy.

(5) Mediations Excluded. Sections (6)-(10) of this policy do not apply to:

(a) Mediation of workplace interpersonal disputes involving the interpersonal relationships between the University's employees, officials or employees and officials, unless a formal grievance under a labor contract, a tort claim notice or a lawsuit has been filed; or

(b) Mediation in which the person acting as the mediator will also act as the hearings officer in a contested case involving some or all of the same matters;

(c) Mediation in which the only parties are public bodies;

(d) Mediation involving two or more public bodies and a private party if the laws, rule or policies governing mediation confidentiality for at least one of the public bodies provide that mediation communications in the mediation are not confidential;

(e) Mediation involving 15 or more parties if the University has designated that another mediation confidentiality rule adopted by the University may apply to that mediation.

(6) Disclosures by Mediator. A mediator may not disclose or be compelled to disclose mediation communications in a mediation and, if disclosed, such communications may not be introduced into evidence in any subsequent administrative, judicial or arbitration proceeding unless:

(a) All parties to the mediation and the mediator agree in writing to the disclosure; or

(b) The mediation communication may be disclosed or introduced into evidence in a subsequent proceeding as provided in subsections (c) – (d), (j) – (l) or (o) – (p) of Section (9) of this policy.

(7) Confidentiality and Inadmissibility of Mediation Communications. Except as provided in Sections (8) – (9) of this policy, mediation communications are confidential and may not be

disclosed to any other person, are not admissible in any subsequent administrative, judicial or arbitration proceeding and may not be disclosed during testimony in, or during any discovery conducted as part of a subsequent proceeding, or introduced as evidence by the parties or the mediator in any subsequent proceeding.

(8) Written Agreement. Section (7) of this policy does not apply to a mediation unless the parties to the mediation agree in writing, as provided in this section, that the mediation communications in the mediation will be confidential and/or nondiscoverable and inadmissible. If the mediator is the employee of and acting on behalf of a state agency, the mediator or an unauthorized agency representative must also sign the agreement. The parties' agreement to participate in a confidential mediation must be in substantially the following form. This form may be used separately or incorporated into an "agreement to mediate." [Form not included. See ED. NOTE.]

(9) Exceptions to confidentiality and inadmissibility.

(a) Any statements, memoranda, work products, documents and other materials, otherwise subject to discovery that were not prepared specifically for use in the mediation are not confidential and may be disclosed or introduced into evidence in a subsequent proceeding.

(b) Any mediation communications that are public records, as defined in ORS 192.410(4) and were not specifically prepared for use in the mediation are not confidential and may be disclosed or introduced into evidence in a subsequent proceeding unless the substance of the communication is confidential or privileged under state or federal law.

(c) A mediation communication is not confidential and may be disclosed by any person receiving the communication to the extent that person reasonably believes that disclosing the communication is necessary to prevent the commission of a crime that is likely to result in death or bodily injury to any person. A mediation communication is not confidential and may be disclosed in a subsequent proceeding to the extent its disclosure may further the investigation or prosecution of a felony crime involving physical violence to a person.

(d) Any mediation communication related to the conduct of a licensed professional that is made to or in the presence of a person who, as a condition of his or her professional license, is obligated to report such communication by law or court rule is not confidential and may be disclosed to the extent necessary to make such a report.

(e) The parties to the mediation may agree in writing that all or part of the mediation communications are not confidential or that all or part of the mediation communications may be disclosed and may be introduced into evidence in a subsequent proceeding unless the substance of the communication is confidential, privileged or otherwise prohibited from disclosure under state or federal law.

(f) A party to the mediation may disclose confidential mediation communications to a person if the party's communication with that person is privileged under ORS chapter 40 or other provision of law. A party to the mediation may disclose confidential mediation communications to a person for the purpose of obtaining advice concerning the subject matter of the mediation, if all the parties agree.

(g) An employee of the University may disclose confidential mediation communications to another University employee so long as the disclosure is necessary to conduct authorized activities of the University. An employee receiving a confidential mediation communication under this subsection is bound by the same confidentiality requirements as apply to the parties to the mediation.

(h) A written mediation communication may be disclosed or introduced as evidence in a subsequent proceeding at the discretion of the party who prepared the communication so long as the communication is not otherwise confidential under state or federal law and does not contain confidential information from the mediator or another party who does not agree to the disclosure.

(i) In any proceeding to enforce, modify or set aside a mediation agreement, a party to the mediation may disclose mediation communications and such communications may be introduced as evidence to the extent necessary to prosecute or defend the matter. At the request of a party, the court may seal any part of the record of the proceeding to prevent further disclosure of mediation communications or agreements to persons other than the parties to the agreement.

(j) In an action for damages or other relief between a party to the mediation and a mediator or mediation program, mediation communications are not confidential and may be disclosed and may be introduced as evidence to the extent necessary to prosecute or defend the matter. At the request of a party, the court may seal any part of the record of the proceeding to prevent further disclosure of the mediation communications or agreements.

(k) When a mediation is conducted as part of the negotiation of a collective bargaining agreement, the following mediation communications are not confidential and such communications may be introduced into evidence in a subsequent administrative, judicial or arbitration proceeding:

(A) A request for mediation; or

(B) A communication from the Employment Relations Board Conciliation Service establishing the time and place of the mediation; or

(C) A final offer submitted by the parties to the mediator pursuant to ORS 243.712; or

(D) A strike notice submitted to the Employment Relations Board.

(I) To the extent a mediation communication contains information on the substance of which is required to be disclosed by Oregon statute, other than ORS 192.410 to 192.505, that portion of the communication may be disclosed as required by statute.

(m) Written mediation communications prepared by or for the University or its attorney are not confidential and may be disclosed and may be introduced as evidence in any subsequent administrative, judicial or arbitration proceeding to the extent the communication does not contain confidential information from the mediator or another party, except for those written mediation communications that are:

(A) Attorney-client privileged communications so long as they have been disclosed to no one other than the mediator in the course of the mediation or to persons as to whom disclosure of the communication would not waive the privilege; or

(B) Attorney work product prepared in anticipation of litigation or for trial; or

(C) Prepared exclusively for the mediator or in a caucus session and not given to another party in the mediation other than a state agency; or

(D) Prepared in response to the written request of the mediator for specific documents or information and given to another party in the mediation; or

(E) Settlement concepts or proposals, shared with the mediator or other parties.

(n) A mediation communication made to the University may be disclosed and may be admitted into evidence to the extent the University President or his/her designee determines that disclosure of the communication is necessary to prevent or mitigate a serious danger to the public's health or safety, and the communication is not otherwise confidential or privileged under state or federal law.

(o) The terms of any mediation agreement are not confidential and may be introduced as evidence in a subsequent proceeding, except to the extent the terms of the agreement are exempt from disclosure under ORS 192.410 to 192.505, a court has ordered the terms to be confidential under 30.402 or state or federal law requires the terms to be confidential.

(p) The mediator may report the disposition of a mediation to the University at the conclusion of the mediation so long as the report does not disclose specific confidential mediation communications. The University or the mediator may use or disclose confidential mediation communications for research, training or educational purposes, subject to the provisions of ORS 36.232(4).

(10) When a mediation is subject to section (7) of this policy, the University will provide to all parties to the mediation and the mediator a copy of this policy or a citation to the policy and an explanation of where a copy of the policy may be obtained. Violation of this provision does not waive confidentiality or inadmissibility.

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**Related Resources**

N/A



# Policy Concept Form

All policy proposals including new policy concepts, recommendations to revise, or requests to repeal must be submitted via this form to the University Secretary. The Secretary will forward completed concept forms to the President's Policy Advisory Council for consideration pursuant to I.03.01 Policy on University Policies. When submitting a policy concept form, please keep the following university definition of "policy" in mind:

*A University Policy ("Policy") is a policy that (1) has broad application or impact throughout the University community, (2) must be implemented to ensure compliance with state or federal law, (3) is necessary to enhance the University's mission, to ensure institutional consistency and operational efficiency, or to mitigate institutional risks; or (4) is otherwise designated by the Board or the President as a University Policy subject to the Policy- Making Process authorized in section 4. A policy establishes rights, requirements or responsibilities. Excluded from this definition are things such as, but not limited to, implementation guides, operating guidelines, internal procedures, and similar management controls and tools.*

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**Policy Subject Matter** (please included existing policy number(s) if available)

Purchasing and Contracting: Strategic Sourcing and Purchasing

**Statement of Need and Desired Result** (please describe what we accomplish with the proposed action)

The policy will allow UO to save money and purchase goods and services more efficiently by leveraging the University's large purchasing power. This will also reduce duplicative purchases, processes, and procedures. The policy will also result in consistency across campus.

**Affected Policy Stakeholders** (please list all known impacted stakeholders and the nature of those impacts)

This policy affects those involved in purchasing activities on campus. Certain products or services may be required to be sourced centrally or through a centrally administered contract in the future.

**Proposed Action** (i.e., new, revision, repeal)

New Policy - see attached



## Strategic Sourcing Policy Statement

### **1. Background:**

It is critical that the University of Oregon use its resources wisely to operate as effectively and efficiently as possible. In order to obtain the highest quality services and products at the best value, there are times when it is in the best interest of the institution and its units to procure certain services and products from designated vendors using centrally negotiated contracts

### **2. Requirement to Procure from Designated Vendors**

The President, the Vice President for Finance and Administration, or a designee will designate those services and products that must be sourced from designated vendors using centrally negotiated contracts.

### **3. List of Designated Goods, Services, and Vendors; Procedures:**

Purchasing and Contracting Services will maintain and publish a list of the designated services and products that must be procured from approved vendors through centrally administered contracts along with procedures for accessing these strategically sourced items. These procedures must include a list of circumstances when goods and services otherwise required to be purchased from a list of designated vendors may instead be purchased through other means.