

# RNUA: Step-by-Step Instructions for Administrative Review and Approval at UIS

## General Instructions

- Review the information provided by employees on page 1 of the form, Parts I – III, and indicate the results of your review on page 2 of the form, Parts IV-VI.
- Attend carefully to the RNUA forms, consulting with employees and asking follow up questions as needed. You may request details from academic staff to clarify any reported activities *as well as any activities you think may have been overlooked or unreported*. Careful administrative review is required of forms originally submitted in the fall as well as any revised forms received during the academic year.
- Inform academic staff that forms, detailed instructions and additional resources are available at [www.uis.edu/grants/policies/rnua.html](http://www.uis.edu/grants/policies/rnua.html). Academic staff include faculty, academic professionals, and postdoctoral associates. Civil Service employees are covered under a different policy and do not complete the RNUA.
- Note and follow the deadlines:
  - September 18, 2009: RNUA forms released.
  - October 2, 2009: Completed forms due from employees to primary reviewers.
  - October 23, 2009: Reviewed forms due from primary reviewers to Division Heads
  - November 13, 2009: All checklists and forms due to the Provost's Office
- Update the checklist for your unit as needed by adding or drawing a line through names on the list. For questions about the checklist, contact Deb Koua at 206-7409.
- **Do not delete or obliterate any names on the checklist.** All names must be legible, even if the individual has left UIS. For each name that is crossed out, please provide an explanation (e.g., left UIS, transferred to another college, etc.).
- Ensure that each academic staff member has completed the form. Follow up as needed to obtain completed forms from all employees who are required to report. Academic staff should understand that compliance with university policies is included in the terms of employment, and that the university [Policy on Conflict of Commitment and Interest](http://www.vpaa.uillinois.edu/Policies/conflict_toc.cfm) [http://www.vpaa.uillinois.edu/Policies/conflict\\_toc.cfm](http://www.vpaa.uillinois.edu/Policies/conflict_toc.cfm) includes sanctions for noncompliance.
- If an individual who is still an employee is unable to complete a form, the unit head must:
  - Indicate on the checklist the reason the form was not completed (e.g., on medical leave, sabbatical, etc.), and
  - Prepare an RNUA form on behalf of the individual to forward on to the Provost's Office. The unit head cannot "report" information on behalf of others, but must note on page 1 of the form why the individual did not complete the form, and must sign page 2 to indicate administrative review.
- If anyone in your unit has a paid joint appointment greater than 0% with another department, the other unit must also review and approve the information. These reports

should be returned to the home unit and processed with the home unit's complete set of forms.

## **Conducting the Review: Step by Step Instructions for Primary Reviewers**

Review the information provided by employees on page 1 of the form. Indicate the results of your review on page 2 of the form.

You must respond within 14 days of receiving an employee's request for approval of activities. If 14 days pass without a response, the academic staff member has the right to take the request to the next higher administrative level.

### **Reviewing Part I: Conflict of Interest Screening Questions**

❖ Has the employee checked "yes" to *any* of the questions in Part I, the conflict of interest screening questions?

**NO** Proceed to Part IV (A) and check the first box

**YES** The employee must provide a statement explaining each "yes" response. Read and evaluate the statement (or obtain one if not provided), then respond as follows.

**NOTE:** Any form with a declaration of activity is a potential conflict and requires a second level of review.

- If you require more information from the employee regarding any reported activities or any activities you think may have been overlooked or unreported, obtain it. If you have sufficient information to evaluate the situation, indicate your response in Item A, Part IV (Conflict of Interest/Commitment Review). Confer with the employee as needed, and request any information you require to conduct your evaluation. Check one box on the form to indicate whether you believe a conflict may exist but is being monitored by the college/division, or you believe a conflict may exist that warrants further review.
- Provide an explanation of your response. This should be as simple or as detailed as necessary. A simple explanation, particularly if there is no conflict or it is being monitored and managed, can be written in the blank space right on the form itself.

❖ Did the employee check "yes" to Question 4 in Part I, indicating University student/faculty/staff involvement?

**NO** No action needed.

**YES** Read and evaluate the statement provided by the employee (obtain one if needed). Statements should include the names of the UI individuals involved in the

external activities. Confer with the employee as needed, and request any information you require to conduct your evaluation. Indicate the results of your review in Item B, Part IV.

- Check the box labeled “Agree” if you believe such involvement is *not* detrimental to the others; check the box labeled “Disagree” if you believe such involvement *is* detrimental to the others.
- Provide an explanation of all “Disagree” responses.

## **Reviewing Part II: List of Non-University Income Producing Activities**

- ❖ Determine the extent of activity reported in Part II. Calculate how many days of external activity, *total*, the employee reported. A day is defined as *any* 8-hour period during the contract period, including nights and weekends.

For *either* the prior reporting period (retrospective activities) *or* the upcoming reporting period (prospective activities) did the employee indicate any activities?

**NOTE:** Any form with a declaration of activity is a potential conflict and requires a second level of review.

- **NO** Proceed to Part V and check the first box under items A. and B.
- **YES** Consider the Retrospective and the Prospective Activities separately. Keep in mind that any forms reporting a total of more than one day per week of external activity during the contract period (40 days for 9-month employees; 52 days for 12-month employees) may require a conflict management plan.

### Retrospective Activities –

- If the activities listed were previously approved, proceed to Part V, item A and check the first box.
- If some or all of the activities listed were NOT previously approved, discuss the activity with the staff member before indicating non-approval. If the activities are still not approved, check the box labeled “some or all retrospective activities are not approved.” Provide employees the opportunity to respond before the form is transmitted to the next administrative level if you deny any activities or don’t reach voluntary agreement with the employee about how to manage or eliminate the conflict. Attach an explanation and forward the form to your Division Head.

### Prospective Activities –

- If the activities listed are approved, proceed to Part V, item B and check the first box.
- If some or all of the activities listed are NOT approved, discuss the activity with the staff member before indicating non-approval. If the activities are still not approved, check the box labeled “some or all prospective activities are not approved.” Provide employees the opportunity to respond before the form is transmitted to the next administrative level if

you deny any activities or don't reach voluntary agreement with the employee about how to manage or eliminate the conflict. Attach an explanation and forward the form to the Provost's Office.

### **Completing the Review**

- Sign and date the form at the bottom of Part V of the administrative review and approval.
- When you have completed reviewing forms for all of the academic staff in your unit, complete and sign/date the checklist.
- Forward the signed checklist and the RNUA forms, including statements and explanations, to your Division Head.
- Division Heads – review all forms for which an explanation has been attached for Part IV or Part V on page 2, sign where indicated under Part V. Then return all forms and checklists to:

Patti Brown  
Office of the Provost  
MS PAC 525

### **Questions?**

Contact Deb Koua at [koua.deb@uis.edu](mailto:koua.deb@uis.edu) or 206-7409, or consult the frequently asked questions (FAQs) available at [www.uis.edu/grants/policies/rnua.html](http://www.uis.edu/grants/policies/rnua.html).