

Southern Illinois University
TUITION AND FEE WAIVER POLICIES AND PROCEDURES

(Updated as 1.11.02)

I. Introduction

Southern Illinois University (SIU) developed these Tuition and Fee Waiver Policies and Procedures in response to concerns raised in the April 1998 report of the Management Audit of Tuition and Fee Waivers conducted at all Illinois public four-year institutions. The staff of Illinois Auditor General William G. Holland conducted this audit in accordance with the July 25, 1996, Legislative Audit Commission Resolution Number 108.

These Tuition and Fee Waiver Policies and Procedures also comply with the Illinois Board of Higher Education (IBHE) Tuition and Fee Waiver Guidelines for Illinois Public Universities issued June 23, 1999.

All SIU campuses will adhere to these policies and procedures in the administration of tuition and fee waiver programs. As needed, each campus will develop additional guidance that is specific to the programs administered at the campus level.

II. Categories and Purposes of Waivers

A waiver represents an agreement between the university and the student to reduce or eliminate the tuition and/or fees that normally would be charged to the student. SIU further defines a waiver as a scholarship or other tuition and/or fee award for which the institution does not receive reimbursement. Awards restricted to tuition and/or fees, but for which the institution receives funds or reimbursement, are not waivers.

As defined by the IBHE, waivers are either Mandatory or Discretionary.

A. Mandatory Tuition Waivers

Mandatory waivers are waivers that an institution is required by State statute to grant to students that meet the specific parameters and criteria included in statute. SIU provides mandatory waivers to all eligible students for the applicable tuition and/or fees amounts without reimbursement from the State of Illinois. The purpose and goals of these programs are described below.

- 1) Teachers Scholarships: Special Education Grants (110 ILCS 947/65.15) provide financial incentives for students to pursue special education teacher training. The goal is to increase the number of certified special education teachers.
- 2) General Assembly Scholarships (105 ILCS 5/30-9) extend opportunities for attending the University of Illinois or other state-supported universities. The goals are to promote scholarship and to provide incentives for students living in a legislator's district.
- 3) Reserve Officers' Training Corps (ROTC) Scholarships (105 ILCS 5/30-16). The General Assembly found that it is essential for national and state defense that among the residents of Illinois receiving higher education, provisions should be made for Reserve Officer's Training Corps training in order to provide officers for the Armed Forces of the United States of America. To that end, scholarships are furnished to eligible residents to encourage their participation in the Reserve Officer's Training Corps (ROTC) programs. The goal of the program is to increase student participation in ROTC programs.
- 4) Department of Children and Family Services (DCFS) Scholarships and Fee Waiver (20 ILCS 505/8) gives financial assistance for college expenses to selected children under the care of the DCFS. The goal is to provide educational incentives for children under the care of the Department with an interest and aptitude for higher education.
- 5) Partial Tuition Waivers for Children of University Employees (110 ILCS 305/7f, 660/5-90, 665/10-91, 670/15-90, 675/20-91, 680/25-91, 685/30-90, and 690/35-90) grants partial tuition waivers to the children of employees to attend the University. The goals are to provide financial incentives for the children of employees to attend the University and to provide an employee benefit for the faculty and staff of state supported universities.

6) Senior Citizen Courses Act (110 ILCS 990) provides tuition free credit courses for senior citizens that attend public institutions of higher education in Illinois. The goal is to provide opportunities for financially disadvantaged senior citizens to enroll in courses in higher education.

B. Discretionary Waivers

IBHE defines discretionary waivers as ones granted at the option of the university. Discretionary waivers may include certain statutory waivers that are granted to specific individuals at the discretion of the institution. SIU has created and authorized discretionary waivers through approved SIU Board of Trustee and campus policies and procedures. SIU or the campus determines provisions and eligibility for discretionary waivers and selection of recipients as appropriate.

Discretionary tuition waiver programs are designed to provide equal opportunity, access and choice to higher education; promote and reward academic excellence and talent; facilitate undergraduate instruction, faculty research, and cultural and economic community initiatives; promote the professional development of faculty and staff; enhance the diversity of the student body and address special needs or problems by:

1) Providing financial assistance to students with academic or other talents. The goals are to attract academically talented students and to increase student diversity by encouraging students with special talents or standing to attend the university. Waivers in this category are Academic/Other Talent, Athletic Waivers, Gender Equity in Intercollegiate Athletics, Foreign Exchange Students, Out-of-State-Students, Foreign Students, and Fellowships.

2) Providing financial assistance to students who demonstrate financial need or hardship. The goal is to attract academically talented students who otherwise would be prohibited from attending due to cost. Waivers in this category are Financial Aid Waivers and Special Program Waivers.

3) Providing educational benefits and financial incentives that aid in student retention. The goal is to provide students with valuable educational experiences. Waivers in this category are: Cooperating Professionals, Research Assistants, Teaching Assistants, Other Assistants, and Contract/Training Grants.

4) Providing educational benefits to the employees of the university, their dependents and employees of other institutions or agencies with reciprocal agreements. The goal is to reward employee service and increase employee retention through free or reduced-cost educational benefits. Waivers in this category are Faculty/Administrators, Civil Service Staff: University Employees, Civil Service Staff: Interinstitutional/Related Agencies, Retired University Employees, Children of Deceased Employees, and Children of Employees.

C. Standard Tuition and Fee Waiver Chart of Accounts

IBHE guidelines limit in institutions to the waiver categories listed in the Standard Tuition and Fee Waiver Chart of Accounts described above and cited in Appendix A. IBHE must approve all university requests for additional waiver categories not specifically listed. All current waiver categories are applicable to SIU unless noted otherwise.

III. Determining Total Waivers

Per state guidelines, all tuition and fees assessed against students should be recorded as revenue, even though there may be no intention of collecting the revenue from the student. A waiver is the amount of revenue that the university intentionally relinquishes for one of the purposes included in the Standard Tuition and Fee Waiver Chart of Accounts and should be recorded as university expenditures. Tuition and fee waivers should be classified by the university as budgeted, granted, or expended waivers. The classification of tuition and fee waivers is dependent on the point in the budgeting and accounting cycle that the transaction takes place.

A. Budgeted Waivers

Waivers represent an institutional resource that will be included in the university's budget plan annually. Budgeted waivers are estimated amounts identified by the university as the total amount available to students in a particular fiscal year.

Budgeted waivers are not identified with specific students or student positions but should reflect intended expenditures as closely as possible.

The basis for projecting waiver expenditure reflects the waiver type. Mandatory waiver projections reflect prior year usage (unless there has been a change in waiver categories) and new year tuition/fee rates. Discretionary waiver expenditures are projected on the basis of statewide IBHE policy. The policy limits the amount of undergraduate tuition revenue that a public university may waive in discretionary waivers to three percent of the total available undergraduate tuition revenue (i.e., the total of all tuition charged and waived). Currently, there is no limit for graduate discretionary waivers; planned expenditures are based on prior year usage and new year tuition/fee rates.

Undergraduate discretionary waivers: The process for determining total undergraduate discretionary waivers (the estimated amount identified by the university as the total amount to be available to undergraduate students in a particular fiscal year) is part of the University's Resource Allocation Management Plan, which is submitted annually to the IBHE. Based on projected enrollment information, the campus budget offices estimate undergraduate tuition revenue for the coming year. That figure multiplied by three percent is the estimated maximum of undergraduate tuition that may be waived for a given fiscal year.

Graduate discretionary waivers: A tuition waiver is usually carried with graduate assistantships. Graduate assistantships are available from academic departments and administrative units within the University and may be funded by external agencies through contracts and grants. Departments must obtain approval for assistantships through the Graduate School on each campus. The Graduate School tracks overall graduate waiver usage to ensure that it is at a reasonable level.

B. Granted Waivers.

Granted waivers are recognized when waivers are awarded to specific students. Granted waivers are available to students as reductions in tuition and/or fee charges.

C. Expended Waivers

Once an individual student is named the recipient of a waiver and the student's university account is reduced by the granted waiver amount, the waiver becomes an expended waiver. Expended waivers may not exceed granted waivers. In instances when a student withdraws from class and is entitled to a reduction in tuition charges, a concurrent reduction in the expended tuition waiver is recorded to recognize the reduction in charges. An individual student's waiver cannot be paid in excess of the amount granted or the amount of the tuition and fees charged, whichever is less, due to disbursement controls in the student information system.

IV. Allocating Waivers to University Units

The process of allocating waivers to University units varies by campus; nevertheless, the number of waivers allocated will always reflect the approved waiver budget for each campus.

A. Carbondale

Mandatory Waivers: Prior year usage and new year tuition/fee rates are used to project expected mandatory waiver usage. The Financial Aid Office enters mandatory waiver awards into the financial aid system and both awards and expenditures are monitored.

Discretionary Waivers: Graduate discretionary waivers are projected and monitored in the same manner as mandatory waivers. Undergraduate discretionary waivers are allocated on the basis of three percent of the undergraduate tuition revenue projection provided by the Budget Director. The Chancellor and Budget Director develop an allocation plan. Once approved, the Budget Director notifies the Financial Aid Office and the university awarding areas of the approved waiver allocations. All allocations are made in and monitored by dollar amounts. The Financial Aid Office enters the approved waiver allocations into the financial aid system for monitoring purposes. Discretionary waiver awards are entered into the financial aid system and both awards and expenditures are monitored against the approved waiver allocation to prevent over awarding and over expending waivers.

B. Edwardsville

Mandatory Waivers: Prior year usage and new year tuition/fee rates are used to project expected mandatory waiver usage. The Financial Aid Office enters mandatory waiver awards into the financial aid system and both awards and expenditures are monitored.

Discretionary waivers: Graduate discretionary waivers are allocated and monitored in the same manner as mandatory waivers. Undergraduate discretionary waivers are allocated on the basis of three percent of the undergraduate tuition revenue projection provided by the Budget Director. Using the amount projected by the Budget Director, the Director of Financial Aid prepares a draft plan for discretionary undergraduate waivers that is forwarded to the Provost and Chancellor for approval. Once approved, the Director of Financial Aid notifies university awarding areas of their approved waiver amounts, expressed in dollars and in tuition waiver units (a unit is equal to two semesters of Illinois resident undergraduate tuition for 15 hours).

V. Establishing a New Institutional Waiver Program

The SIU Board of Trustees has approved the overall definitions, purposes and authority for tuition and fee waivers in Board of Trustee policy. Each campus maintains a listing of approved waivers that is available from the Office of the Chancellor, Provost, or Financial Aid. New institutional waiver programs, at a minimum, must fall within the prescribed IBHE Chart of Accounts categories and have the approval of the campus's Provost and/or Chancellor. New waiver programs that differ significantly from existing university waiver programs usually require Board of Trustees approval.

VI. Timeframe, Cutoff, and Counting in Reporting of Waivers

SIU will report tuition and fee waivers within a consistent State of Illinois fiscal year framework. Further, it considers the tuition and/or fees assessed for all summer terms/classes as "deferred income" for the following year. Therefore, all waivers for summer are reported for the subsequent fiscal year.

Waivers paid to students for the prior fiscal year after the IBHE defined cut-off date of August 31 for the annual IBHE Financial Aid Survey are reported for the following or next fiscal year.

In reporting waiver recipients to IBHE, each student receiving one or more waivers counts once. For example, a student receiving waivers from two different areas of the University will count once in IBHE reporting. Finally, in reporting waivers to IBHE, SIU will use the prescribed formats without modification.

VII. Candidates for Waivers

A. Promotion

Information promoting the availability, eligibility requirements, and application procedures (if appropriate) must be available to potential recipients, including prospective/continuing students, as well as faculty and staff via the internet and in appropriate University publications.

B. Identification of Waiver Candidates

Candidate for waivers may be

- members of a group where all members meet the minimum eligibility requirements for a particular type of waiver (e.g. all seniors in a particular major who have achieved a 3.5 or higher grade point average) or
- those who complete applications and meet minimum eligibility requirements for a particular waiver.

C. Application Forms

When application forms are used, they will include the following:

- Name, description, and type of waiver
- Minimum eligibility criteria
- Deadlines/Timelines for submitting the application
- Name of applicant

- Social Security Number (or alternate ID) of applicant
- Other information appropriate for the particular waiver
- University-approved statement regarding release of information (if not in award notification materials)

D. Checklist

When it is appropriate and/or reasonable, a checklist attached to each application is recommended to ensure that eligibility and selection criteria are met, all necessary documentation and approvals are obtained and maintenance functions, like renewal, occur. A checklist is most frequently used in processes where the applicant pool is managed manually and candidates are reviewed individually. A sample checklist appears in Appendix B.

When the applicant or candidate pool is large, necessitating management through computer reports or similar tools, it may be more reasonable to have a checklist for the overall process that ensures that requirements are met.

VIII. Eligibility Requirements

For each waiver program, minimum eligibility requirements shall be established. Eligibility requirements represent the minimum required for consideration as a waiver recipient. Eligibility criteria vary with each waiver program but may include items such as grade point average, test scores and class rank.

IX. Selection Criteria and the Selection Process for Discretionary Waivers

From the waiver candidates who meet minimum eligibility criteria, recipients will be selected on the basis of objective and measurable criteria. Documents that support the decisions made will be retained for later audit or review. Ultimately, each candidate's status in the selection process (awarded, rejected, or not eligible) should be clear. Information on all candidates, even if not eligible/selected, is retained in each awarding area.

Examples of information to be retained by the awarding unit:

- minimum eligibility criteria to be considered for the award of the waiver,
- a list of all candidates who meet minimum eligibility and how these candidates were identified,
- a description of the selection criteria and selection process used for each waiver program,
- copies of written evaluation instruments and decision documents,
- a list of the selected recipients,
- a record of who was responsible for final approval of the waiver.

X. Notification and Acceptance Requirements

A. Notification Process

The awarding area office shall notify the recipient in writing of:

- his/her selection;
- requirements for receiving the award (e.g. minimum enrollment, academic requirements);
- value of the award;
- time period covered by the award;
- renewal requirements for multi-year awards; and
- the University's legal authority to release information (see below).

B. Acceptance Process

The waiver recipient, in most instances, shall sign and return an acceptance form to confirm that he/she desires the award and accepts the conditions of the award. An acceptance form, agreement or contract is required when services are contracted.

C. Release of Information

The University has the legal authority to release a waiver recipient's name and address, name of former high school or college, name of the waiver award and the award amount. Waiver recipients shall be notified on applications and/or on notification materials (e.g. an acceptance form) of the University's legal authority to release this information as a condition for receiving the award.

Per the advice of University counsel, the following statement will appear on waiver applications and/or on notification materials: "As an applicant for or the recipient of a tuition or fee waiver award from Southern Illinois University, I understand that the University has the legal authority to release my name and address, the name of my former high school or college, the name of my award, and the award amount. This release is valid for the period of time the tuition waiver is in effect."

D. Selective Service

Male waiver recipients of the appropriate age must be registered for Selective Service. The awarding area office is required to confirm Selective Service registration for appropriate recipients.

E. Renewal

The current criteria, process and deadlines for renewing awards shall be clearly communicated to recipients.

F. Award Disbursement/Monitoring

A current description of the disbursement process, eligibility requirements and deadlines shall be on file in each awarding area. Data entry shall follow generally accepted practices and standards including authorization controls, edits, supervisory reviews and audits. The Provost, or his/her designate, monitors over-all compliance with State of Illinois, IBHE, and SIU requirements.

The Financial Aid Office monitors allocations of discretionary waivers subject to the IBHE limit through the student information system. Payments to students in excess of allocated budgets are not allowed by the system. Reports of recipients and amounts of waivers granted and/or expended shall be generated at reasonable intervals by the Financial Aid Office for the review of the Provost, or his/her designate, and the awarding areas.

G. Deadlines/Timelines

Deadlines/timelines for submitting applications, accepting awards, disbursing awards, and renewing awards should be communicated to applicants/recipients.

XI. Overall Monitoring of Waivers

SIU utilizes its student information system to account for waivers. The normal tuition/fee assessment for a student's registration is charged to the student's university account and is treated as revenue. Each waiver is credited for the applicable tuition and/or fee amounts and is then treated as expenditure.

The Chancellor for each campus, or his/her designate(s), determines the allocations of discretionary waiver amounts, subject to the IBHE limit, to various areas of his/her campus. For each waiver program, the campus financial aid office establishes a payment subcode (with disbursement rules), in the financial aid management component of the student information system. Each subcode is assigned the applicable allocated budget for each waiver program. Awards cannot be granted or expended in excess of the budget for each subcode.

At reasonable intervals, the campus financial aid office produces and distributes reports to the awarding areas allocated discretionary waiver amounts detailing information on recipients, amounts offered, accepted and paid, and totals by area. The awarding areas review these reports, monitor waiver utilization, correct errors and notify the campus financial aid office of any problems to solve. As appropriate, the campus financial aid office shares information with the campus budget office regarding waivers budgeted, granted, and expended for the fiscal year.

XII. Record Keeping and Audits

A. Record Keeping

The department or unit awarding the waiver is required to keep appropriate records in keeping with IBHE guidelines. The Budget Office on each campus is responsible for external reporting.

The Financial Aid Office on each campus collects and/or updates information from every academic department and administrative unit sponsoring tuition and fee waivers regarding the relationship between university and individual program goals, eligibility criteria, and selection and record keeping processes. Ultimately, this information will be maintained on a University web site.

The original or copies of essential documents such as those listed below will be retained in each awarding area:

- documents used in the application and selection process for waivers,
- listings of candidates considered, selected, and rejected,
- letters or memoranda authorizing the award or disbursement of a waiver,
- notification letters,
- acceptance forms, agreements, or contracts, and
- information required in later audits.

B. Archives Policy

Documents are kept on file as required by the State of Illinois Records Commission Archives Policy and IBHE Tuition and Fee Guidelines which require maintenance of records for a minimum of five years provided all audits have been completed and no litigation is pending.

C. Audits

The University participates in all external audits conducted by the Auditor General's Office and will conduct internal audits of tuition and fee waivers periodically.

APPENDIX A - IBHE Standard Tuition and Fee Waiver Chart of Accounts

Institutions will report waivers using only the following waiver categories listed in the Standard Tuition and Fee Waiver Chart of Accounts. The Board of Higher Education must approve all university requests for additional waiver reporting categories not specifically listed in the Standard Tuition and Fee Waiver Chart of Accounts.

1.0 Mandatory Waivers: Tuition and fee waivers authorized by legislation that requires universities to grant to eligible students.

1.1 Teachers Scholarships: Special Education Grants (110 ILCS 947/65.15): Provides tuition and necessary fee awards to encourage current teachers and academically talented students to pursue careers in any area of special education as a public or private elementary or secondary school teacher in Illinois. Recipients are exempt from paying tuition and fees at an eligible institution for up to four years.

Purpose: To provide financial incentives to pursue special education teacher training.

Goals: To increase the number of certified special education teachers.

Eligibility and Criteria: Participants must be a United State citizen or an eligible non-citizen; an Illinois resident; agree to take courses to prepare for the teaching of handicapped children or children with learning disabilities; be an Illinois high school graduate and rank in the upper half of the graduating class, or hold a valid teaching certificate that is not in the discipline of special education; and not have received a waiver under this program in the past. Participants are required to contract with the Illinois State Scholarship Commission and teach special education for two years within the 5-year period following graduation.

1.2 General Assembly Scholarships (105 ILCS 5/30-9): Each member of the General Assembly may grant, annually, two four-year scholarships, one for the University of Illinois, and the other for any state-supported university, to persons from his/her district. The scholarships exempt the holder from paying tuition or fees, with the exception of fees for book rental, service, laboratory, supply, union building, hospital and medical insurance, and any fees pledged for the payment of interest and principal on bonds for the operation and maintenance of buildings.

Purpose: To extend opportunities for attending the University of Illinois or other state-supported universities.

Goals: To promote scholarship, and provide incentives for students living in a legislator's district.

Eligibility and Criteria: Students must live in the nominating legislator's district and are required to sign a waiver of confidentiality concerning scholarship information.

1.3 Reserve Officers' Training Corps (ROTC) Scholarships (105 ILCS 5/30-16): Scholarships are offered to residents of Illinois whose scholastic standing enables them to enroll in ROTC programs. The scholarships exempt the holder from paying tuition or fees, with the exception of fees for book rental, service, laboratory, supply, union building, hospital and medical insurance, and any fees pledged for the payment of interest and principal on bonds for the operation and maintenance of buildings.

Purpose: The General Assembly declared that it is essential for the national defense and for the defense of the state of Illinois that among those residents of this State receiving higher education, provisions should be made for Reserve Officer's Training Corps training. In order to provide officers for the several Armed Forces of the United States of America, scholarships should be furnished to eligible residents, in order to encourage their participation in the Reserve Officer's Training Corps programs.

Goals: To increase the participation of students in the Reserve Officer's Training Corps programs.

Eligibility and Criteria: Residents of the State of Illinois whose scholastic standing will enable them to enroll in the Reserve Officer's Training Corp programs available at universities supported by the state of Illinois. Applicants are required to take an examination each year according to rules prescribed by the presidents, or designees, of participating institutions. Scholarships are awarded on a merit basis to those eligible recipients receiving the highest grades with evidence of leadership ability. Applicants also must submit to the institution Selective Service registration compliance documentation. Waivers shall be awarded at each university on the basis of the equivalent of 10 scholarships per class, per branch of service, each academic year to eligible recipients.

- 1.4 Department of Children and Family Services (DCFS) Scholarships and Fee Waiver (20 ILCS 505/8):** DCFS annually selects 48 children, at least four of whom are children of veterans, for scholarship and fee waivers for four consecutive years at any university or college maintained by the state of Illinois. Selection is based on scholastic record, aptitude, and general interest in higher education.
- Purpose:** To give financial assistance for college expenses to selected children under the care of the Department.
- Goals:** To provide educational incentives to children under the care of the Department with an interest and aptitude for higher education.
- Eligibility and Criteria:** The Department may select 48 students under their care, at least four of whom must be children of veterans, on the basis of scholastic record, aptitude, and interest in higher education, and who have completed four years of high school.
- 1.5 Partial Tuition Waivers for Children of University Employees (110 ILCS 305/7f, 660/5-90, 665/10-91, 670/15-90, 675/20-91, 680/25-91, 685/30-90, and 690/35-90):** Public university governing boards must offer fifty percent tuition waivers for undergraduate education to the children of employees who have been employed by the granting university and/or any public university in Illinois for an aggregate of at least seven years. Participants must be under the age of 25 and qualify for admission to the university.
- Purpose:** To grant partial tuition waivers to the children of employees to attend the university.
- Goals:** To provide financial incentives for the children of employees to attend the university and to provide an employee benefit for the faculty and staff of state supported universities.
- Eligibility and Criteria:** The parent or guardian of the waiver recipient must have been employed by any public university for at least seven years. Children receiving the waivers must be undergraduates, under age 25 at the commencement of the academic year the waiver takes effect, must qualify for admission, and can only receive a maximum of four years of partial tuition waiver benefits.
- 1.6 Senior Citizen Courses Act (110 ILCS 990):** Permits senior citizens, over the age of 65, to enroll in regularly scheduled credit courses at public institutions of higher education without payment of tuition. Does not include payment of fees. Limited to persons whose annual income is less than the threshold amount in the Senior Citizens and Disabled Persons Property Tax Relief and Pharmaceutical Assistance Act.
- Purpose:** To provide tuition free credit courses for senior citizens that attend public institutions of higher education in Illinois.
- Goals:** To provide opportunities for financially disadvantaged senior citizens to enroll in courses in higher education.
- Eligibility and Criteria:** Must be age 65 or older with an annual household income below the threshold amount of the Senior Citizens and Disabled Persons Property Tax Relief and Pharmaceutical Assistance Act.
- 1.7 Honorary Scholarships (110 ILCS 305/9):** Each county is entitled, annually, to one four-year honorary scholarship at the University of Illinois for children of persons who served in the armed forces of the United States during the periods of hostility specified in statute. Preference is given to children of such persons deceased or disabled. Does not include payment of fees.
- Purpose:** To provide four-year scholarships to the children of veterans of the armed forces who served during a period of hostility.
- Goals:** To provide an educational benefit for the children of veterans.
- Eligibility and Criteria:** Each Illinois county is entitled to award one scholarship to the University of Illinois. Preference is given to the children of deceased or disabled veterans. Recipients must have attained proficiency in the courses usually taught in secondary schools, be of good moral character, be older than 15 years of age, and qualify for admission to the university.
- 2.0 Discretionary Waivers:** Tuition and fee waivers determined by legislation or university policy that may be awarded at the discretion of the institution.

2.1 Faculty/Staff Waivers: Tuition and fee waivers awarded to university faculty, staff, or other employees or their dependents. Includes tuition and fee waivers given to other university employees or agencies as a condition of employment or through reciprocal agreements.

Purpose: To provide educational benefits to the employees of the university, their dependents and employees of other institutions or agencies with reciprocal agreements.

Goals: To reward employee service, and increase employee retention through free or reduced-cost educational benefits.

Eligibility and Criteria: Must be a member of the university faculty or administrative staff or an employee covered by the State Universities Civil Service System.

2.1.1 Faculty/Administrators: Waivers granted to faculty and administrative staff of the university. Does not include civil service employees under the State Universities Civil Service System.

2.1.2 Civil Service Staff: Tuition waivers recommended by the University Civil Service Merit Board and adopted by public university governing boards for tuition charges for their own university employees covered under the State Universities Civil Service System. These waivers are excluded from the Board of Higher Education's tuition waiver limitation.

2.1.3 Interinstitutional/Related Agencies: Tuition waivers granted at the discretion of the University or through reciprocal agreements for employees of other institutions or agencies whose positions are considered equivalent to positions of the university and who are under the University Civil Service System.

2.1.4 Retired University Employees: Waivers granted at the discretion of the University to retired university employees.

2.1.5 Children of Deceased Employees: Waivers granted at the discretion of the University to dependents of deceased university employees.

2.1.6 Children of Employees: Waivers granted to dependents of employees of the university, other universities, or related agencies, other than those waivers authorized by state statute as partial tuition waivers for dependents of university employees. May include waivers granted to children of employees who have been employed by the university system for less than seven years, or waiver amounts that exceed 50 percent of the tuition rate. (This category is being phased-out and no waivers will be allowed in this category after fiscal year 2005.)

2.2 Student Talent/Merit Waivers: Tuition and fee waivers awarded to students based on student talent in a particular field, academic merit, or special status such as minority students, foreign exchange students, out-of-state students, or academically disadvantaged students.

Purpose: To provide financial assistance to students with academic talent or special status.

Goals: To attract academically talented students to the institution and to increase student diversity by encouraging students with special talents or standing to attend the institution.

Eligibility and Criteria: Based on academic record, other academic talent, or special status.

2.2.1 Academic/Other Talent: Waivers granted to students based on their enrollment and abilities in a particular academic program or activity or students belonging to underrepresented groups. This includes waivers granted to student government leaders, student members of debate teams, music or theater groups, or minority students.

2.2.2 Athletic Waivers: Waivers granted to students who are part of an institution's intercollegiate athletic program, including athletes, trainers, and assistants. This category would include full or partial waivers for the non-resident portion of tuition for out-of-state recipients, but does not include waivers issued to achieve gender equity in intercollegiate athletics pursuant to 110 ILCS 205/9.24.

2.2.3 Gender Equity in Intercollegiate Athletics (110 ILCS 205/9.24): Public university governing boards may grant tuition waivers, in an amount not to exceed one percent of all tuition income, for the

purpose of attaining gender equity in intercollegiate athletics. Waivers may be granted only for those sports sanctioned by the National Collegiate Athletic Association or the National Association of Intercollegiate Athletics. These waivers are excluded from the Board of Higher Education's tuition waiver limitation.

2.2.4 Foreign Exchange Students: This category should only be used as part of an exchange program where students are enrolled in a foreign university and enroll in the Illinois university by paying tuition at the foreign university or paying the Illinois resident rate. In these cases, the difference between the foreign student tuition rate and the Illinois resident tuition rate should be included as a foreign exchange student waiver. In cases where a foreign student receives a waiver for the full tuition amount in exchange for providing a service to the university, such as a teaching or research assistant, the entire waiver should be reported as a student service waiver. Foreign exchange student waivers are excluded from the Board of Higher Education's tuition waiver limitation.

2.2.5 Out-of-State-Students: Waivers granted to students whose home of record is outside Illinois, but within the United States of America at the time of first admission to the university. This category includes both full tuition and fee waivers and waivers for the difference between residential tuition rates and non-residential rates. These waivers should be valued at the difference between the actual amount of tuition and fees paid by the student and the established out-of-state tuition and fee rate. Waivers to out-of-state students receiving full or partial waivers in other categories, for example athletic or talent waivers should not be reported here.

2.2.6 Foreign Students: Waivers granted to students whose official home of record for the purpose of determining tuition and fee charges is outside the United States of America. This category includes both full tuition and fee waivers and waivers for the difference between residential tuition rates and non-residential rates. These waivers should be valued at the difference between the actual amount of tuition and fees paid by the student and the established tuition and fee rate for foreign students. Waivers for foreign students receiving full or partial waivers in other categories, for example athletic or talent waivers should not be reported here.

2.2.7 Fellowships: Waivers granted to students who also are receiving a fellowship for which no service is required.

2.3 Student Need Waivers: Tuition and fee waivers granted to students demonstrating financial need.

Purpose: To provide financial assistance to students who demonstrate financial need or hardship.

Goals: To attract academically talented students to the institutions who otherwise would be prohibited from attending due to cost.

Eligibility and Criteria: Recipients must demonstrate financial need and/or be enrolled in special academic programs or other university activities.

2.3.1 Financial Aid Waivers: Tuition and fee waivers awarded by the university through the financial aid office for students demonstrating financial need.

2.3.2 Special Program Waivers: Tuition and fee waivers awarded to economically disadvantaged students based on enrollment or participation in special academic programs or other university activities.

2.4 Student Service Waivers: Tuition and fee waivers granted to students to support the university mission, goals, and objectives through participation in outside contracts; graduate or undergraduate research, teaching, or other assignments; training or grant programs; external internship programs; clinical portions of degree programs conducted at other institutions; or other student experiences.

Purpose: To provide educational benefits and financial incentives to students.

Goals: To provide students with valuable educational experiences.

Eligibility and Criteria: Recipients must be enrolled in the university or under contract, and, for the educational experiences and benefits, agree to perform related services.

2.4.1 Cooperating Professionals: Waivers granted to outside professionals who cooperate with the university or supervise clinical experiences for university students. Includes local elementary and secondary school district personnel that work with student teachers, librarians, health care professionals, industrial relations field supervisors, and social welfare supervisors.

2.4.2 Research Assistants: Waivers granted to graduate or undergraduate students that have a research assignment with the university for an academic term, including waivers for summer sessions.

2.4.3 Teaching Assistants: Waivers granted to graduate or undergraduate students that have a teaching assignment with the university for an academic term, including waivers for summer sessions.

2.4.4 Other Assistants: Waivers granted to graduate or undergraduate students that have an assignment, other than research or teaching, with the university for an academic term, including waivers for summer sessions.

2.4.5 Contract/Training Grants: Tuition and fee waivers awarded to students as a condition for receiving funds for an outside grant program. Includes waivers for students participating in federally funded programs at the university or for tuition for required courses necessary for participation in outside internship programs. (No waiver should be recognized when student charges are paid from an outside funding source.)

Appendix B - Checklist for SIU Waivers

Checklist for SIU Waivers (Use this checklist to ensure complete documentation for each waiver recipient or waiver process. Information should be retained for a minimum of five years.)		
Recipient		
Social Security #		
Waiver Program		
Class		
Grade point average		
YES	No	Provide the following documentation and check either Yes, No, or NA.
		1. Grade point average Unofficial transcript or Student Information System (SIS) data. Do not use self-reported information.
		2. Application Copy of waiver application or Student Information System (SIS) data.
		3. Eligibility criteria List below of minimum eligibility criteria or attach that information.
		4. Selection criteria and process Description below of the process used to select recipient(s) from eligible applicants, including selection criteria. If subjective criteria used, provide completed evaluation instrument (e.g. interview notes).
		5. Evaluation Document(s) that indicate the recipient(s) was evaluated, using the eligibility and selection criteria.
		6. Authorization/Recommendation Description below indicating who recommended the awarding of this waiver and who gave final approval to award the waiver. Copy of related documents as appropriate.
		7. Notification Copy of award notice.
		8. Acceptance/Agreement Copy of response form or contract.

Eligibility Criteria:

Selection Criteria and Process:

Authorization/Recommendation:

Appendix C – University Written Procedures

This information is to be used as a reference in the writing of SIU policy and procedures.

IBHE University Written Procedures

A. Waiver Approvals and Allocations.

“Each public university must adopt written policies that specify the institutional processes for authorizing specific tuition and fee waiver programs and the purposes of such programs, establishing waiver budget and expenditure levels, and allocating waivers to waiver programs.”

“Each public university must adopt an official list of waiver programs in which the university has chosen to participate. Allowable waiver programs include only those listed in the Standard Tuition and Fee Waiver Chart of Accounts. The list of waiver programs offered by the university may be amended at the university’s discretion and must be available to students, upon request. All waiver programs added to the university’s list of available waiver programs also must be listed in the Standard Tuition and Fee Waiver Chart of Accounts. The university’s list, and all amendments to the list, must be provided to the Board of Higher Education. Each university will develop written procedures to assure that the total amount of budgeted tuition and fee waivers and the amount of expended tuition and fee waivers, by type, academic or administrative unit, and instructional level, are fully disclosed to the university board of trustees.”

Note: The SIU Board of Trustees has approved the definitions, purposes and authority for tuition and fee waivers in Board of Trustee policy. The official SIU list of waiver programs per the IBHE Standard Tuition and Fee Waiver Chart of Accounts is included in these SIU Tuition and Fee Waiver Policies and Procedures. These documents are published on each campus homepage and are available from each campus Provost’s Office. Detail on the waiver provisions is available from a central record maintained by the Provost’s Office. Reports on the amounts of budgeted and expended waivers by type, academic or administrative unit and instructional level, can be obtained from the student information system. The Chancellor of each campus reports annually to the President who reports annually to the SIU Board of Trustees regarding tuition and fee waivers.

B. Waiver Applications.

“Each university must adopt written procedures concerning waiver applications. Universities may have separate waiver applications for various waiver programs. Each university will adopt and publish eligibility criteria for each waiver program in which it participates. Waiver applications will collect the information needed to determine whether a student meets the published eligibility criteria.”

Note: SIU has adopted these SIU Tuition and Fee Waiver Policies and Procedures to assure IBHE requirements for applications are met. Eligibility criteria are published and collected on applications and/or acceptance or contract forms and records related to eligibility are kept on file.

C. Student Eligibility and Selection.

“Each university must adopt written procedures to assure that waivers are granted only to students eligible for such waivers. The written procedures also should include the criteria and processes for selecting waiver recipients when the number of eligible students applying for such waivers exceeds the amount of available waivers.”

Each department or unit granting waivers must have a clear description of the processes used to assign waivers, criteria used to award waivers (beyond the threshold criteria), and identification of persons who participate in the selection of individual waivers. Written documentation should be maintained on why individuals were selected to receive waivers as well as why applicants were not selected to receive waivers.”

Note: SIU has adopted these SIU Tuition and Fee Waiver Policies and Procedures to assure IBHE requirements are met. Waivers are granted only to eligible students, awarding areas have established written procedures for awarding and selecting recipients, a record is kept of all persons involved in selecting recipients and the reasons for selecting or not selecting an applicant are recorded and kept on file.

D. Waiver Agreements.

“Each university must adopt written procedures that provide the requirements for waiver agreements between students and the university. Each student selected to receive a waiver for which the student is required to perform service must sign an agreement at the time of appointment with the university that delineates and determines the conditions of that service. The agreement also must include the level of waiver support that the university will provide to the student.”

Note: SIU has adopted these SIU Tuition and Fee Waiver Policies and Procedures to ensure IBHE requirements are met. Any waiver requiring services requires an agreement to be signed by the recipient delineating the conditions of service and level of waiver support.

E. Records and Records Retention.

“Each university must adopt written procedures for waiver records and records retention incorporating the following principles. Tuition and fee waiver records consist of the complete files for the waiver program. These records include written documentation for the university approved waiver listing, application cutoff dates, eligibility and selection criteria for each waiver program, awarded and rejected applications, selection records, award notifications, records of rejected applicants, and procedures for entering waiver data into the university accounting system. Tuition and fee waiver files must be maintained for a minimum of five years. After five years, the university may dispose of the records providing all audits have been completed under the direction of the Office of the Auditor General, if necessary, and no litigation is pending or anticipated. Each university, at its discretion, may retain records for longer periods.”

Note: SIU has adopted these SIU Tuition and Fee Waiver Policies and Procedures to ensure that IBHE requirements related to record keeping are met.

F. Overall Monitoring of Waiver Programs.

“Each university must identify the administrative unit responsible for the overall monitoring of the university waiver program. The unit shall be responsible for assuring that procedures are in place to assure that waivers are awarded within the requirements of the state of Illinois, the policies of the Board of Higher Education, and the policies and procedures of the university board of trustees. The designated administrative unit is responsible for assuring that the university adopt written policies and procedures for the areas outlined above and assuring implementation of appropriate methods of counting and reporting the value and number of waivers.

Annually, each university must provide to the Board of Higher Education the university’s policies and procedures for administering the university waiver program. Board staff will review the policies and procedures and report to the Board the results of that review its evaluation of waiver programs.”

Note: The Provost, or his/her designate(s), at each campus ensures that the written SIU Tuition and Fee Waiver Policies and Procedures are current and on file and all areas with responsibilities related to waivers are in compliance with the State of Illinois, IBHE and SIU requirements. The Provost reports annually to the Chancellor who reports annually to the President who reports to IBHE regarding the status of waivers.

Other Board of Higher Education and University Procedures

A. Board of Higher Education Waiver Limits.

“Undergraduate Tuition and Fee Waivers. In December 1988, the Board of Higher Education adopted a policy that limits the amount of undergraduate tuition revenue that a public university may waive to three percent of total available undergraduate tuition revenue. Total available undergraduate tuition revenue is the total of all tuition charged and waived. Waivers included in the three-percent limit do not include tuition waivers mandated by state statute or those specifically excluded from the limit by state statute. By agreement between the Board of Higher Education and public universities, also excluded from the waiver limit are waivers granted to staff hired under the purview of the State Universities Civil Service System and Foreign Exchange Waivers. Discretionary waivers expended by a university above the three percent limit will result in an equal amount being adjusted from the university budget during the next Board of Higher Education budget cycle.”

Note: SIU limits the applicable waiver amounts to IBHE limits.

“Graduate Tuition and Fee Waivers. The Board of Higher Education will review the amount and use of graduate tuition and fee waivers within one year of the completion of these guidelines and once within each five-year period thereafter.”

Note: SIU will provide information regarding graduate Tuition and Fee Waivers as requested by IBHE.

B. University Internal Audits.

“It shall be the responsibility of each public university to assure that its tuition and fee waiver program is included in the university’s internal audit plan and subject to periodic review by its internal audit staff.”

Note: The SIU Executive Director of Audits includes waivers in the SIU Internal Audit Plan.

C. Other University Recommendations.

“Each public university will develop policies and procedures to implement campus specific recommendations included in the Office of the Auditor General Management Audit of Tuition and Fee Waivers (April 1998).”

Note: SIU has reviewed this audit and implemented the recommendations in these SIU Tuition and Fee Waiver Policies and Procedures.

V. IMPLEMENTATION

“Each public university will incorporate the policies and procedures included in Tuition and Fee Waiver Guidelines into the official university policies and procedures.”

Note: SIU has endorsed the IBHE Tuition and Fee Waiver Guidelines and incorporated them in these SIU Tuition and Fee Waiver Policies and Procedures.